



# Brighton & Hove City Council

## Strategic Risk Assessment Report



(see final page for Background information/Terms Used)

Risk Category - BHCC Strategic Risk

<b>ROM Issue:</b>	<b>Financial Outlook for the Council</b>	<b>Responsible Officer:</b>	<b>Rachel Musson</b>
		<b>Risk Code:</b>	<b>SR2</b>

**Identified** Reductions in central government funding are expected to continue well beyond the current Comprehensive Spending Review period through to 2020. The changes to local government funding introduced in 2013/14 will also transfer greater risks to the council, particularly in relation to Business Rate valuation appeals. There is a cumulative impact of reductions in government funding to other public agencies in the city.

**Potential Conseq** Implementing the current budget strategy and devising budget plans for 2016/17 will be challenging and there is increased uncertainty until HM Gov't's spending review and the local government finance settlement for 2016 (expected Dec. 2015). The council will need to continue robust financial planning in a highly complex environment. Failure to do so could impact on financial resilience and mean that outcomes for residents are not optimised.

<b>Initial:</b>	High (L5xI4)		<b>Revised:</b>	High (L4xI4)	
<b>Risk Identified Date:</b>	15/5/2012		<b>Date Modified:</b>	10/6/2014	
<b>Risk Category:</b>	BHCC Strategic Risk Economic / Financial				
<b>Existing Controls:</b>	<ul style="list-style-type: none"> <li>* Ongoing review of the adequacy of risk provisions and reserves to support the budget strategy and to ensure financial resilience;</li> <li>* Modernisation portfolio including VfM projects/programmes reviewed by cross-party Member Oversight group</li> <li>* Close alignment of Corporate Plan and Medium Term Financial Strategy (MTFS) and service and financial planning;</li> <li>* Ongoing review of the MTFS assumptions, the impact of legislative changes; cost and demand pressures; savings programmes; and income and grant assumptions;</li> <li>* Close monitoring of council tax and business rates income and regular updating of forecasts;</li> <li>* Modernisation projects and programmes including VfM in place.</li> </ul>				

- \* City Management Board and Finance Directors review city wide impact & opportunities for joint budget planning;
- \* Consultation and engagement plan for budget setting continues to include staff, partners, businesses and Community & Voluntary Sector;
- \* Development of skills and knowledge to support options appraisal of new delivery models;
- \* Close monitoring of council tax, business rates and other income and regular updating of forecasts;
- \* Continued review of the adequacy of savings programmes alongside other budget measures to support the budget strategy;
- \* Ongoing review and challenge of value for money including Member review, benchmarking, and external audit review;

**Effectiveness of Controls:** Adequate **Issue Type:** Threat

**Solutions:** SR 2 Risk Action: Delivery of value for money programme financial and non-financial benefits as part of the Modernisation Programme  
 SR2 risk action: Incorporating progress on delivery of 15/16 savings within the monthly TBM reports  
 SR 2 Risk Action: Continue to monitor impact of health sector reforms and local savings strategies  
 SR 2 Risk Action: Regular joint updates to City Management Board on partners' financial positions and strategies. Joint action and/or funding options to be agreed where necessary.  
 SR 2 Risk Action: Regular MTFS updates of the City Council's projected financial position for future years  
 SR2 Risk Action: Corporate Modernisation Delivery Board board includes monitoring and RAG review of critical VFM and other savings programmes that support the council's current and medium term financial position.  
 Reporting links to TBM reporting which also monitors savings delivery.  
 SR 2 Risk Action: Meet Targeted Budget Management (TBM) reporting timetable and identify risk mitigation and corrective action where necessary  
 SR 2 Risk Action: Devise and implement Corporate Plan & MTFS service and financial planning timetable and process.

<b>ROM Issue:</b>	<b>Becoming a more sustainable city</b>	<b>Responsible Officer:</b>	<b>Geoff Raw</b>
		<b>Risk Code:</b>	<b>SR8</b>

**Identified** The council has an important civic leadership role in working with others to 'future proof' the impact of severe weather events and the long term impact of climate change. This includes:


- \* reducing where possible the adverse impact of transport, residential and economic activity emissions on local air quality and the wider impact on long term climate change;
- \* protecting ecological and marine environments including the amenity benefits of these habitats;
- \* working with the Environment Agency to review and manage the risks of coastal and surface water flooding;
- \* strengthening the resilience of the city's energy, waste management, water and land resource arrangements;
- \* improving the environmental performance of council owned buildings (including council housing) and facilities;
- \* reducing any adverse environmental impacts arising from the operation and delivery of council services.

**Potential Conseq** Depending on the council's actions, it may affect:

- \* compliance with our commitment to be a One Planet City;
- \* our ability to fulfil our UNESCO Bio-Sphere commitments;
- \* the ability to attract inward investment and environmental industries to the city;

The health and well-being of local residents and visitors;

- \* maintenance of essential routes and services with particular implications for vulnerable residents and businesses in vulnerable locations;
- \* the city's long term resilience to potential increases in the costs of food, energy and travel;
- \* performance against agreed targets and compliance with environmental legislation e.g. air quality;

**Initial:** Significant (L3xI4)  **Revised:** Significant (L3xI4)

**Risk Identified Date:** 8/5/2013**Date Modified:** 10/6/2014**Risk Category:** BHCC Strategic Risk  
Environmental / Sustainability

**Existing Controls:**

- \* One Planet Living principles adopted for the city and establishment of a city-wide One Planet Board to oversee implementation of One Planet Living action plan;
- \* Actions and opportunities arising from gaining Unesco Biosphere status and becoming a world demonstrator for sustainability;
- \* Environmental performance reporting and improvement actions;
- \* Targets and standards introduced as part of the sustainable and ethical procurement process.
- \* The economic strategy & the emerging City Deal proposals for Eco Tech development provide opportunity to reduce the environmental footprint of the city's economic activity and develop products and services which can positively influence environmental management across global markets;
- \* Continuing partnership with East Sussex County Council to reduce landfill as a result of the Energy Recovery Facility at Newhaven.
- \* Living Wage introduced at Council and encouraging other businesses to follow suit in the city, as part of Living Wage Commission (chaired by Chamber of Commerce);
- \* Carbon Management Programme Board in place to oversee internal carbon reduction;
- \* Carbon budgets are reviewed with clear action plans to meet targets
- \* Agreement for council targets on water, waste and sustainable/ethical procurement minimum standards and the installation of monitoring equipment;
- \* Installation of metering of water and energy on council premises to reduce waste;

**Effectiveness of Controls:** Adequate**Issue Type:** Threat

**Solutions:**

- SR8 Risk Action: Review recycling opportunities, notably food waste
- SR8 Risk Action: Work to achieve results set out in council's VFM programmes on Carbon reduction to improve the council's own environmental performance; and establish annual council carbon budget
- SR8 Risk Action: Continue to work with key statutory agencies and energy providers, eg Southern Water and N Power, to reduce waste, improve efficiency and tackle fuel poverty
- SR8 Risk Action: Investigate scope for refurbishment and maintenance of council property to incorporate energy and water performance measures, and other improvements eg, photovoltaic devices
- SR8 Risk Action: Complete the Local Bio-Diversity Action Plan and work to deliver the Biosphere Reserve as detailed to UNESCO
- SR8 Risk Action: Implement the One Planet Living Action Plan
- SR8 Risk Action: Explore Green Deal and ECO investment approach with neighbouring authorities
- SR8 Risk Action: Continue work with partners with aim of implementing a major energy efficiency improvement in homes across the city through HM Government's Green Deal

<b>ROM Issue:</b>	<b>Information Governance Management</b>	<b>Responsible Officer:</b>	<b>Executive Director SR10 Finance &amp; Resources &amp; Senior Information Risk Owner (SIRO)</b>
		<b>Risk Code:</b>	<b>SR10</b>

**Identified** The council must operate to a high standard of information governance and information management within the overall context of openness and transparency. The council must ensure that it not only protects the organisations 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 Conseq** The council recognises that if it fails to manage data effectively then:

- 1) Individuals could suffer reputational, financial or physical harm,

- 2) The council could suffer reputational and/or financial loss along with an inability to function effectively,
- 3) The PSN & HSCIC could impose operational sanctions which would be catastrophic for many services,
- 5) The Information Commissioner's Office could impose financial sanctions,
- 4) It could result in a loss of trust in the council by citizens and partners.

**Initial:** High (L4xL4) Red **Revised:** Significant  
 (L3xL4) Amber

**Risk Identified Date:** 8/5/2012

**Date Modified:** 1/5/2015

**Risk Category:** BHCC Strategic Risk  
Legislative

**Existing Controls:**

- 1) The Senior Information Risk Owner ("SIRO") oversees the organisations approach to Information Risk Management, setting the culture along with risk appetite and tolerances;
- 2) The Information Management Board ("IMB") oversees and provides leadership on Information Risk Management and obligations arising from legislation such as the DPA 1998 & FOI 1998;
- 3) A new suite of Information Governance Policies has been approved and a move towards alignment with ISO27001 is planned for the future;
- 4) An Information Audit has been completed, including business impact assessments for the loss or compromise of Confidentiality, Integrity and Availability;
- 5) Open Government Licence implemented to support open government agenda and records management;
- 6) Code of Connection compliance was achieved in August 2014 and work is ongoing for 2015;
- 7) Freedom of Information requests now available through What Do They Know national website;
- 8) An Information Audit has been undertaken, and completed, across the organisation;
- 9) A new Information Governance training package has been rolled out across the entire organisation;
- 10) Work is taking place to move to a new datacentre.

**Effectiveness of Controls:** Uncertain

**Issue Type:** Threat

**Solutions:**

- SR 10 Risk Action: Continual review and development of the newly approved suite of information governance policy's along with the creation of specific user guidance as part of the wider user education programme.
- SR 10 Risk Action: Refreshed and updated the Information Governance training package and made it available to staff via elearning
- SR 10 Risk Action: Continue to deliver CoCo project programme of works as agreed by Information Management Board
- SR 10 Risk Action: Deliver improved user education programme for both Members and staff
- SR10 Risk Action: Review arrangements for dealing with Freedom of Information Requests
- SR 10 Risk Action: Align our internal controls with ISO27001 (the de facto standard for information security management)
- SR 10 Risk Action: Undertake a corporate-wide Information Audit to establish an up to date corporate information asset register
- SR 10 Risk Action: Sharing of best practice across SE7 authorities particularly for remote access
- SR 10 Risk Action: Business continuity arrangements are being reviewed and updated, then to be considered by decision makers and communicated to service

<b>ROM Issue:</b>	<b>Keeping vulnerable adults safe from harm and abuse</b>	<b>Responsible Officer:</b>	<b>Denise D'Souza</b>
		<b>Risk Code:</b>	<b>SR13</b>

**Identified** 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 last year about

vulnerable people with over 1,000 going into investigation.

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 Conseq**

\*Generally cases are more complex and demands can vary. The council is able to respond appropriately at a time of change to protect those most vulnerable  
 \*Failure to respond to a more personalised approach could result in challenge



**Initial:** High (L4xI4)

**Revised:** Significant (L3xI4)

**Risk Identified Date:** 8/5/2013

**Date Modified:** 10/6/2014

**Risk Category:** BHCC Directorate Risk  
 BHCC Strategic Risk  
 Legislative

**Existing Controls:**

- \* Implement new Care Act requirements;
- \* Awareness through messages and training;
- \* Safeguarding Board workplan arising from review of Board;
- \* Learning from serious case reviews, coroners concerns and case review from national work;
- \* Good multi-agency work: Pilot role and access point from Police;
- \* Audit of Safeguarding investigations and alerts (to check as appropriate);
- \* Maintain the role and numbers of professional social workers through service redesign to ensure capacity;
- \* Multi-agency training in place for better awareness, investigation management;
- \* Highly motivated social workers;
- \* Assessment of need using agreed threshold policies and procedures;
- \* Staff provided with learning opportunities and undertake continuous professional development;
- \* Working with ADASS (association of directors of adult social services) on the impact of recent legal judgement on DoLS ;
- \* Working with Care Providers to ensure requests for Best Interest Assessments are appropriate and provides best and least restrictive practice;
- \* Recruiting independent safeguarding board chair;

**Effectiveness of Controls:** Adequate

**Issue Type:** Threat

**Solutions:** SR13 Risk Action: Continue to learn from serious case reviews, coroners inquests and case reviews  
 SR13 Risk Action: Continue to raise awareness through messages and training  
 SR13 Risk Action: From multi-agency work with Police, review pilot to inform service delivery

<b>ROM Issue:</b>	<b>Keeping children safe from harm and abuse</b>	<b>Responsible Officer:</b>	<b>Pinaki Ghoshal</b>
		<b>Risk Code:</b>	<b>SR15</b>

**Identified** Keeping vulnerable children safe from harm and abuse is a legal responsibility of the Council. Legislation requires all local authorities to act in accordance with national guidance (Working Together) to ensure robust safeguarding practice. This includes the responsibility to ensure an effective Local Safeguarding Children Board (LSCB) which oversees work locally and in partnership with Police, Health and social care providers. The numbers of children in care and Children in Need plans are significantly higher than in similar authorities. The number of children and young people who are sexually exploited is also of concern.

**Potential Conseq**

The complexity of circumstances for many children presents a constant state of risk which demands informed and reflective professional judgement, and often urgent and decisive action, by all agencies using agreed thresholds and procedures. Such complexity inevitably presents a high degree of risk. Children subject to abuse, exploitation and/or neglect are unlikely to achieve and maintain a satisfactory level of health or development, or their health and development will be significantly impaired. In some circumstances, abuse and neglect may lead to a child's death.



**Initial:** High (L4xI4)

**Revised:** Significant (L3xI4)

**Risk Identified Date:** 8/5/2013

**Date Modified:** 10/6/2014

**Risk Category:** BHCC Strategic Risk  
Legislative

**Existing Controls:**

- \* LSCB Work Plan established with strong leadership by the Independent Chair with aligned LSCB sub-group work plans;
- \* Serious Case, Local Management and Child Death Reviews identify learning and action for improvement;
- \* Quality Assurance within the city and also across key agencies monitored by the LSCB sub group;
- \* MASH (Multi Agency Safeguarding Hub) launched in September 2014 to provide robust risk assessments and information sharing between partner agencies which will lead to robust assessment of need using agreed Child Protection threshold document, policies and procedures;
- \* In line with the government's Prevent strategy, work with the police, statutory partners, third sector organisations and communities to reduce radicalisation;
- \* Proportion of children living in poverty is one of the key indicators regularly monitored by ELT;
- \* Early Help Strategy in place and Early Help Hub launched in September 2014;
- \* Stronger Families, Stronger Communities work targets support to the most troubled families;
- \* Reports delivered to LSCB following robust auditing of multi-agency case files and safeguarding practice;
- \* Clarity regarding roles, responsibilities and accountabilities of all professionals and agencies;
- \* Threshold document, agreed by all agencies, signed off by Children and Young People Committee; and LSCB on 2nd, and 3rd June 2014;
- \* Continuous professional development and learning opportunities offered by the LSCB and good multi agency take up of training;

**Effectiveness of Controls:** Adequate

**Issue Type:** Threat

**Solutions:** SR 15 Action: Address failures in ICT information storage and retrieval processes to ensure appropriate access to case files by social workers.

<b>ROM Issue:</b>	<b>School Places Planning</b>	<b>Responsible Officer:</b>	<b>Pinaki Ghoshal</b>
		<b>Risk Code:</b>	<b>SR17</b>

**Identified** The Council has a statutory role to ensure primary and secondary school places meet future need. There has been an upturn in the birth rate so that since 2003, the number of school aged children living the city has been increasing year on year, therefore pupil places are increasingly challenged.  
This is particularly acute in areas when in previous years pupil yield has previously been very much lower. While previously there has been a focus on primary school places in the next few years we will have a significant pressure on secondary school places.

**Potential Conseq**

- \* Parents may not feel able to secure a place for their child in the local community;
- \* There may be increased travelling;
- \* Without identifying new sites, existing schools may become overcrowded or larger.

**Initial:** High(L4x14)  **Revised:** Significant (L3x14) 

**Risk Identified Date:** 25/9/2013 **Date Modified:** 10/6/2014

**Risk Category:** BHCC Strategic Risk  
Customer / Citizen

**Existing Controls:**

- \* Cross party school place planning group chaired by Risk Owner;
- \* Regular review of pupil number forecasting has made it clear that primary growth starts to reach secondary schools by 2014, with the issue becoming acute in subsequent years. The future need focus relates to secondary school places;
- \* Secondary Continuing Education meeting established to raise awareness including and involving all schools, colleges and two city universities. This has focused on school organisation;
- \* School Admission project group established to review current admission arrangements. This includes Schools' and Member representatives;
- \* 465 new primary school places (15.5 classes) added in last five years;
- \* Two new free schools opened in city;

- \* Four class junior site opened on Hove Police Station site September 2014;
- \* One new permanent form of entry opened in September 2014 at West Hove Infant School (Connaught);
- \* Public consultation being undertaken on proposals to provide two permanent additional forms of entry from September 2015 in primary schools serving areas of highest demand, with funding identified in the capital programme;
- \* 80% of schools are currently assessed by Ofsted as good or outstanding and a new School Improvement Strategy has been adopted to support the target of all schools being good or outstanding;
- \* A strategy for providing additional secondary school places has been developed and agreed through the Cross Party School Organisation Group and through a partnership group consisting of all ten secondary schools, the three colleges and the two universities with the local authority;
- \* Council officers are working with schools where there are spare places to assist them in developing and sustaining strong partnership relationships with the primary schools in their catchment area;
- \* Preliminary curriculum and space analyses have been commissioned and completed for the four secondary schools where expansion would be most likely to meet the need for new places.

**Effectiveness of Controls:** Adequate **Issue Type:** Threat

**Solutions:** SR 17: Risk Action: Review of secondary school admissions arrangements commissioned by Children and Young People Committee, to be steered by cross party working group :  
 SR 17: Risk Action: Review of 'lessons learned' from 2014 primary admissions round to be undertaken in consultation with the cross party working group with a view to agreeing earlier any bulge classes required  
 SR 17 Risk Action: Deliver the School Improvement Strategy to support the remaining 20% of schools to be good or outstanding  
 SR17: Risk Action: Provide support to the University of Brighton to develop a free school proposal for submission to the Department for Education in late May 15

<b>ROM Issue:</b>	<b>Effective investment, support and use of technology and ICT services</b>	<b>Responsible Officer:</b>	<b>Rachel Musson</b>
		<b>Risk Code:</b>	<b>SR18</b>

**Identified** There is ever rising expectation and demand for excellent and compelling digital services by citizens, visitors, businesses, partners, Members and officers. This is driven by a collection of needs and desires from increasing staff productivity, ever more complex challenges in safeguarding and demand management, through to citizens experience expectations driven by high quality consumer digital services. The Council's current and future services are highly dependent on user centric, secure, resilient and flexible digital capabilities, ICT infrastructure and services. It is also dependent on a workforce who can exploit, innovate and support these services.

**Potential Conseq** If we do not invest appropriately in technology, digital capabilities and their effective use, we will be unable to deliver on the modernisation agenda and core outcomes within the corporate plan including closing the financial gap and meeting customer expectations. We will also put at risk key responsibilities in safeguarding and protecting the most vulnerable through staff not having access to the information and support needed to carry out their roles. As a high profile digital city, both the Council's and the City's reputation's are at risk if we do not invest to deliver high quality digital services in line with the rising expectations of citizens, visitors, Members and staff. Equally the dependency on the reliability and availability of ICT services increases the reputational and safeguarding damage through failures in business continuity can be severe.

**Initial:** High (L5xI4) Red **Revised:** High (L4xI4) Red  
**Risk Identified Date:** 25/9/2013 **Date Modified:** 31/10/2014

**Risk Category:** BHCC Strategic Risk  
Technological

**Existing Controls:** \* ICT Strategy (to 2016);  
 \* ICT investment plan (partially funded but only through to 2016);  
 \* Infrastructure Programme delivering upgrades of ICT infrastructure, hardware and systems to improve service flexibility, availability, business continuity and cybersecurity



standards including; local networks (wired and wireless), telephony (fixed and mobile);  
 \* Current deployment of the new Network jointly with partners through the LINK (Completed);  
 \* Roll out of new Microsoft Operating Suite (Windows 7 and Office 2010) (Completed);  
 \* Migration of computer rooms to third party data centres and hybrid cloud services(Underway);  
 \* ICT workforce planning ideas shared within council and SE7 partners;  
 \* Review of priority ICT Service needs across Directorates (Completed);  
 \* Customer First in a Digital Age (CFDA) programme is focussed on developing and delivering new digital and ICT capabilities to support business strategies across the Council including digital channels, mobile capabilities and staff capabilities required to make us fit for the future, however this programme will require substantial investment which is as yet not identified.  
 \* Information Management strand of CFDA developing and delivering capabilities for encrypted email, file sharing services and enterprise content management



**Effectiveness of Controls:** Uncertain **Issue Type:** Threat

**Solutions:** SR18 Risk Action: Compare the ICT workload & existing ICT investment priorities for 2014-2016, with the emerging strategic priorities across directorates and for the Council as a whole. Work with ELT and corporate change partners to identify gaps requiring targeted investment to support business strategies and support the Council's outcomes.  
 SR18 Risk Action: Review required ICT skills and training offer requirement for all staff in the light of next round of investment plans.  
 Development of supporting ICT Digital Investment Plan in support of ICT Digital Strategy and Customer First in a Digital Age programme.  
 SR18 Risk Action: Improve clarity & governance of relationship between ICT Investment and business benefits through the oversight by the Corporate Modernisation Delivery Board of the ICT Investment Programmes: Infrastructure and Information Management  
 SR18 Risk Action: Development of Customer First in a Digital Age programme, incorporating current investments in Digital improving Customer Experience (DiCE) and Information Management Programme, targeting required needs to support the new corporate plan and ambitions identified by the board and through emerging strategic priorities engagement.  
 SR18 Risk Action: Development of new ICT Digital Strategy in support of the corporate plan and emerging strategic priorities.  
 SR18 Risk Action: Put in place expert ICT supplier relationship skills to deliver best value from complex contracted services and additional support, planning and advice on sourcing and procurement

<b>ROM Issue:</b>	<b>Impact of Care Act- Phase 1/ Implementation Phase 2</b>	<b>Responsible Officer:</b>	<b>Denise D'Souza</b>
		<b>Risk Code:</b>	<b>SR19</b>

**Identified** \*Impact of Phase 1 of the Care Act on carers and safeguarding have yet to impact on current workload.  
 \*Work underway to undertake 25% of new assessments as part of Phase 2 which are the funding reforms.  
 \*Additional assessments are approximately 500 to be completed between October and March 2016.  
 \*Reduced social work capacity as a result of DOLs.

**Potential Conseq** If we fail to meet our new & existing statutory duties under the Care Act then:  
 \* Service delivery for individuals will be affected  
 \* Reputational damage  
 \* Financial risk

<b>Initial:</b>	High (L5xI4)		<b>Revised:</b>	High (L4xI4)	
<b>Risk Identified Date:</b>	21/5/2014		<b>Date Modified:</b>	10/6/2014	
<b>Risk Category:</b>	BHCC Strategic Risk Legislative				
<b>Existing Controls:</b>	* Adults Social Care Modernisation Board set up and considers detail on timelines and risk rating; * Workstreams in place working both locally, across the South East and nationally to ensure capacity to respond to the changes;				

\* Local workstream identified and will link, where possible, to work on the Better Care Fund.

**Effectiveness of Controls:** Uncertain **Issue Type:** Threat

**Solutions:** SR 19 Risk Action: Work with partners to inform and influence all parties involved in social care provision so that understanding, capacity and performance meets new requirements  
 SR 19 Risk Action: Review progress at Adult Social Care Modernisation Board on a regular basis  
 SR 19 Risk Action: Scan for changes relating to Care Act Phase 2

<b>ROM Issue:</b>	<b>Better Care Fund</b>	<b>Responsible Officer:</b>	<b>Denise D'Souza</b>
		<b>Risk Code:</b>	<b>SR20</b>

**Identified** The changes to funding for Adult Social Care was introduced by the Better Care Fund and affect how the whole system of social care, across the public and private sectors, works together and how funding is agreed.

**Potential Conseq** The impact of funding changes of the Better Care Fund combine with already significant changes to the NHS still being worked through with a submission to the NHS made on 19 September 2014. This needs to deliver more integrated care and show real improvement in Accident & Emergency (A&E) performance.

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.

**Initial:** High (L4x14)



**Revised:** Significant (L3x14)



**Risk Identified Date:** 14/5/2014

**Date Modified:** 10/6/2014

**Risk Category:** BHCC Strategic Risk  
Economic / Financial

**Existing Controls:**

- \* Health & Wellbeing Board reviewed and governance arrangements in place to help deliver an integrated approach, including oversight of the Better Care Fund;
- \* Re-submission of the Better Care Plan was made on 19 September 2014 following changes nationally;
- \* Better Care Board established (high level and cross sector representation) and chaired by Executive Director Adult Social Care;
- \* Partnership work agreed and submitted a Better Care Plan by the deadline in March 2014;
- \* Agreement at Better Care Board to develop a Better Care implementation plan for delivery of Phase 1 from September 2014, based on an integrated model of delivery;
- \* Better Care Board refocusing on commissioning and integrated provider board being set up. June 2015
- \* Cluster areas now designated as 5 around GP practices

**Effectiveness of Controls:** Adequate **Issue Type:** Threat

**Solutions:** SR 20 Risk Action: Deliver Phase 1 Better Care implementation plan from September 2014  
 SR 20 Risk Action: Monitor and react to implications on the Better Care Fund arising from the Care Act  
 Robust Section 75 agreement being developed and will be in place by June 2015

<b>ROM Issue:</b>	<b>Housing Pressures</b>	<b>Responsible Officer:</b>	<b>Geoff Raw</b>
		<b>Risk Code:</b>	<b>SR21</b>

**Identified** The increasing demands for housing continues to outstrip new supply and as a consequence accommodation is becoming less affordable notably in central city areas relative to the local wage rates. Housing is particularly acute for low income families. There are also significant needs associated with an ageing population and more dependant households. Student numbers are also forecast to grow and have a significant impact on the existing residential communities and, in terms of affordable rents for non-student households, local character and impact on neighbourhood amenity.

**Potential Conseq** 1. The city is constrained in its capacity to accommodate economic growth, housing supply

obligations and sustainable development objectives.

2. The city council is unable to meet its strategic housing and planning policy objectives and statutory homelessness obligations.

3. The shortage of homes to meet the accommodation requirements of elderly and vulnerable people which can have an adverse impact on social care provision and cost pressures.

Red

Amber

**Initial:** High (L4xL4)

**Revised:** Significant (L3xL4)

**Risk Identified Date:** 5/6/2014

**Date Modified:** 10/6/2014

**Risk Category:** BHCC Strategic Risk  
Citywide risk  
Environmental / Sustainability

**Existing Controls:** The Council's Housing Strategy sets out objectives and a 4 year action plan. This includes policy and investment concerning: i) Improving Housing Supply; ii) Improving Housing Quality; iii) Improving Housing Support. This strategy has been agreed by Full Council. The City Plan also sets out housing targets across all tenures; policies on securing affordable housing through the planning system, residential development standards. Key controls include:

1. A housing allocation policy which targets the provision (c. 500 Council house lettings p.a.) and nomination of affordable housing to priority households .
2. Long term private sector housing lettings with private landlords in the city and wider city region.
3. A 'New Homes for Neighbourhoods' estate regeneration programme to deliver new affordable homes in the city.
4. Tenancy sustainment initiatives particularly for more vulnerable people.
5. Exploration of off-plan acquisition to support provision of new supply and affordable housing planning policy.
6. Investment schemes to upgrade existing sheltered housing and provide new bespoke housing (e.g. Extra Care).
7. Continued work with Registered Social Landlords to support housing led regeneration initiatives

**Effectiveness of Controls:** Adequate

**Issue Type:** Threat

**Risk Treatment:** Treat

**Solutions:** SR21 Risk Action: Exercise Duty to Co-operate with Neighbouring Authorities to address the shortfall in housing supply that is not deliverable in Brighton & Hove  
SR21 Risk Action: Investigate options to procure more housing for affordable rented and shared ownership use  
SR 21 Risk Action: Work through City Deal with regional partners & LEP to promote Economic development incl increased sub-regional working to meet housing need  
SR 21 Risk Action: Continue to track numbers of Right to Buy Purchases; student houses; HMOs in specific areas and across city  
SR21 Risk Action: Consider use of New Policy Article 4 a) allocates sites for purpose built housing; and b) manages properties to meet student housing needs  
SR21 Risk Action: Investigate options for council resources to develop finance expertise to increase council's ability to negotiate effectively with developers and local private agents re. schemes for housing and to provide affordable housing  
SR21 Risk Action: HRA stock improvement & estate regeneration initiative (New Homes for Neighbourhoods) to increase affordable housing supply  
SR21 Risk Action: Act on outcome of joint partners' bid for £59M for extra care housing to address social care residential needs as part of 2015-18 Affordable Housing Programme  
SR21 Risk Action: Explore options with universities to improve student accommodation provision to meet forecast growth in student numbers.  
SR 21 Risk Action: Greater Brighton Economic Board, City Deal & regional working to find housing solutions.  
SR 21 Risk Action: Affordable housing City Plan policy to be adopted

**ROM Issue:** Modernising the Council

**Responsible Officer:** Penny Thompson

**Risk Code:**

SR22

**Identified** The Corporate Plan sets out, “our purpose to provide strong civic leadership for the well-being and aspiration of Brighton & Hove. We will be successful if we are judged to deliver:  
 A good life: Ensuring a city for all ages, inclusive of everyone and protecting the most vulnerable.  
 A well run city: Keeping the city safe, clean, moving and connected.  
 A vibrant economy: Promoting a world class economy with a local workforce to match.  
 A modern council: Providing open civic leadership and effective public services.”

**Potential Conseq** Modernisation is the council’s portfolio of change management programmes and projects which will support delivery of corporate principles and priorities. This in turn will help evidence achievement of outcomes in relation to council’s purpose as set out in the Corporate Plan. If the programmes/projects are not successful in delivering intended benefits, it will impact on the achievement of these outcomes failing to deliver our Corporate Plan.



**Initial:** High (L4xI4)  
**Risk Identified Date:** 3/11/2014  
**Risk Category:** BHCC Strategic Risk  
**Existing Controls:** \*Corporate Modernisation Delivery Board has been set up to initiate and lead programmes and projects that are intended to achieve the Corporate Plan priorities and principles including cross-cutting programmes and projects  
 \*The Board is chaired by the Chief Executive and consists of directors and other key officers of the council.  
 \* Reporting to the Corporate Modernisation Delivery Board, Directorate Modernisation Boards are set up to drive the programmes and projects forward and deliver outcomes and benefits.  
 \* Reporting to the Directorate Modernisation Boards, there are Programme and Project Boards responsible for planning, set-up and management of programmes and projects.  
 \* A cross-party Member Oversight Group monitor progress and provide support and Challenge as required.  
 \* The financial benefits are reported to the Policy & Resources Committee as part of TBM reports.

**Effectiveness of Controls:** Adequate  
**Issue Type:** Threat  
**Risk Treatment:** Treat

**Solutions:** Risk Action: Corporate Modernisation Delivery Board to continue to regularly review risks escalated by individual programmes and projects and initiate mitigating actions  
 Risk Action: The funding of the Modernisation programme to be regularly reviewed to ensure limited resources are effectively targeted. In addition, resource requirements for the modernisation portfolio to be identified based on business cases.  
 Risk Action: Performance Improvement & Programmes team to support, coordinate and challenge programmes and projects delivery.

**ROM Issue:** Developing an investment strategy to refurbish and develop the city’s major asset of the seafront  
**Responsible Officer:** Paula Murray and Geoff Raw  
**Risk Code:** SR23

**Identified** The seafront is a city asset which is iconic and contributes to the city’s reputation. The council is the lead custodian of the seafront but the benefits are shared by many. At least 5 million people use our seafront every year. It is a very significant attraction in our visitor economy; provides a series of important public spaces for residents; many businesses in the city rely on the draw of the seafront to sustain their organisation’s value and to provide an attractive place for stakeholders and employees. It is being used beyond its original design and, in many ways, is a victim of its own success and affected by the changing patterns and increased demands of usage. the deterioration of Madeira Terraces in particular have reached a critical point, requiring fencing and safety measures whilst a longer term solution is developed.

**Potential Conseq** The heritages structures and infrastructure along the seafront require significant investment and ongoing revenue in order to ensure suitability for modern use, and to preserve and

enhance the reputation of the city and its offer.

**Initial:** High (L5 x14) Red **Revised:** High (L4x14) Red  
**Risk Identified Date:** 3/11/2014 **Date Modified:** 3/11/2014  
**Risk Category:** BHCC Strategic Risk  
**Existing Controls:** \* Develop the investment plan to underpin the Seafront Strategy and long term viability of the seafront infrastructure;  
\* Continue to support financially viable investments in the seafront e.g. i360  
\* Seafront arch repair programme to be delivered over 10 years from 2012  
\* Scrutiny panel report in 2014 has identified recommendations for improved management and development of the Seafront  
\* Project Boards have been established and are actively considering seafront redevelopment opportunities including the Black Rock and King Alfred sites. The King Alfred site is currently in an OJEU compliant procurement process to secure a development partner  
**Effectiveness of Controls:** Adequate **Issue Type:** Threat  
**Risk Treatment:** Treat  
**Solutions:** Risk Action: Officers to respond to Seafront Scrutiny report recommendations.

<b>ROM Issue:</b>	<b>Welfare Reform post election 2015</b>	<b>Responsible Officer:</b>	<b>Rachel Musson</b>
		<b>Risk Code:</b>	<b>SR24</b>

**Identified** Introduction of Universal Credit during 2015/16 with extended roll out during 2016. Implications for staffing levels within services; TUPE issues to DWP; rent collection; council tax collection and pressures on social services and homeless services.

Additionally individual parties have further plans for welfare changes which could mean further very significant cuts post election for families.

**Potential Conseq** Increased service pressures on housing and social services  
Decreased rent and Council Tax collection

**Initial:** High (L4x14) Red **Revised:** Significant (L4x13) Amber  
**Risk Identified Date:** 27/3/2015 **Date Modified:** 4/6/2015  
**Risk Category:** BHCC Strategic Risk  
**Existing Controls:** Welfare Reform team in place to monitor welfare changes and to coordinate a corporate response to them  
Early meetings held with DWP about change to Universal Credit  
Regular links maintained with advice and voluntary sector so impacts can be judged  
Welfare Reform meetings at CMT level booked in for the year to track these changes and enable a corporate response  
**Effectiveness of Controls:** Uncertain **Issue Type:** Threat  
**Solutions:** Work with colleagues in housing to assess impacts on rent collection and plan mitigations  
Analysis of Party political policies to be presented to F&R DMT pre election benefit cap reducing to £23k.  
Work with colleagues in revenues underway to assess impacts on council tax collection  
Programme of work to be scheduled in with DWP to begin work to assess the support that will be required locally to support people on Universal Credit (UC)  
Keep relevant staff and stakeholders up to date with information as it becomes available  
Further meetings with DWP re rollout of universal Credit planned  
The library service is leading digital inclusion for the council. We are working with this project around digital support for claimants of universal credit, this will include an analysis of current staff skills.  
There is also a specific need to identify specific support for UC claimants and fund this through DWP funding streams.

## Strategic Risk Assessment Report: Background Information/Terms Used

**Date Identified:** when the Executive Leadership Team (ELT) first agreed the risk

**Date modified:** when any of these elements of the Risk was authorised by ELT for modification:

- ROM Issue (the title of the risk)
- Identified (the description of the risk)
- Potential Conseq (the potential consequence(s) of the Risk)

**Risk Scores are allocated using this Risk Matrix:**

	MOST LIKELY <b>IMPACT</b> (if in doubt grade up not down)				
<b>LIKELIHOOD</b>	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	5 Yellow	10 Amber	15 Red	20 Red	25 Red
Likely (4)	4 Yellow	8 Amber	12 Amber	16 Red	20 Red
Possible (3)	3 Green	6 Yellow	9 Amber	12 Amber	15 Red
Unlikely (2)	2 Green	4 Yellow	6 Yellow	8 Amber	10 Amber
Almost Impossible (1)	1 Green	2 Green	3 Green	4 Yellow	5 Yellow

Action is taken in accordance with the colour coding of each of the four risk scores as follows:

<b>GREEN</b> 1 – 3
<b>Low</b>

<b>YELLOW</b> 4 - 7
<b>Moderate</b>

<b>AMBER</b> 8 - 14
<b>Significant</b>

<b>RED</b> 15 - 25
<b>High</b>

**Monitor  
periodically**

**Monitor if  
the risk  
levels  
increase**

**Review &  
ensure  
effective  
controls**

**Immediate action  
required & need  
to Escalate to  
the management  
level above**

