



**Brighton & Hove
City Council**

AUDIT & STANDARDS COMMITTEE

SUPPORTING INFORMATION

Item 38 Corporate Risk Assurance Framework 2017-18 Appendix 3

ADDENDUM

| ITEM | | Page |
|------|---|--------|
| 38 | CORPORATE RISK ASSURANCE FRAMEWORK (CRAF) 2017-18 | 1 - 98 |

Brighton & Hove City Council

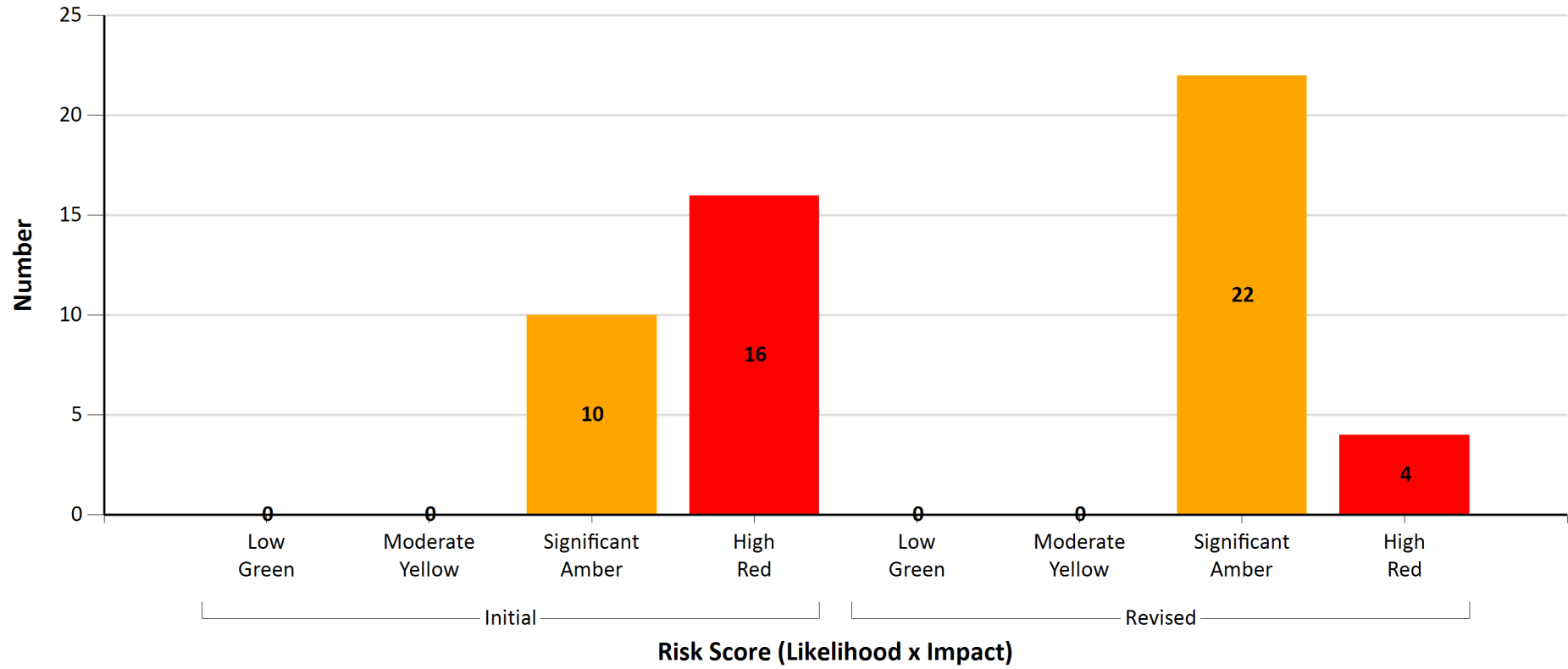
→ Appendix 3

Directorate Risk Registers

All

Print Date: 22-Nov-2017

Risk Summary



Initial Rating

Revised Rating

| | | IMPACT | | | | |
|------------|-----------------------|-------------------|-----------|--------------|-----------|------------------|
| | | Insignificant (1) | Minor (2) | Moderate (3) | Major (4) | Catastrophic (5) |
| LIKELIHOOD | Almost Certain (5) | 0 | 0 | 1 | 5 | 0 |
| | Likely (4) | 0 | 0 | 2 | 7 | 2 |
| | Possible (3) | 0 | 0 | 4 | 3 | 1 |
| | Unlikely (2) | 0 | 0 | 0 | 1 | 0 |
| | Almost Impossible (1) | 0 | 0 | 0 | 0 | 0 |

| | | IMPACT | | | | |
|------------|-----------------------|-------------------|-----------|--------------|-----------|------------------|
| | | Insignificant (1) | Minor (2) | Moderate (3) | Major (4) | Catastrophic (5) |
| LIKELIHOOD | Almost Certain (5) | 0 | 0 | 1 | 0 | 0 |
| | Likely (4) | 0 | 0 | 3 | 3 | 0 |
| | Possible (3) | 0 | 0 | 10 | 7 | 0 |
| | Unlikely (2) | 0 | 0 | 0 | 2 | 0 |
| | Almost Impossible (1) | 0 | 0 | 0 | 0 | 0 |

3

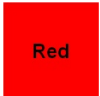

| |
|----------------------|
| 1 - 3 |
| Low |
| Monitor periodically |

| |
|-------------------------------------|
| 4 - 7 |
| Moderate |
| Monitor if the risk levels increase |

| |
|--------------------------------------|
| 8 - 14 |
| Significant |
| Review and ensure effective controls |

| |
|--|
| 15 - 25 |
| High |
| Immediate action required & need to escalate to the management level above |

Risk Details

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|---|-----------------------|---------------|------------|----------------|--|--|---------------|-----------------------|
| EEC DR 01 | Digital capability not in place to meet customer expectations (DP 1.1.4.7 and DP 1.1.4.8) | Executive Director Economy, Environment & Culture Head of Planning Business Manager | BHCC Directorate Risk | 26/10/17 | Threat | Treat |  L5 x I4 |  L4 x I4 | | Revised: Uncertain |

Causes

Link to Directorate Objective 4: Best use of council resources to deliver better outcomes and value for money
 Impact of the functionality and timing of roll out of digital solutions to support Directorate service delivery affects the reputation of the Directorate.
 There is a risk that EEC is not influencing digital roll-out.

Potential Consequence(s)

Expectations of customers not met
 Service delivery compares less well with with other organisations
 Opportunities to enhance service delivery and income generation not taken

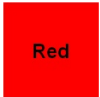

Existing Controls

First Line of Defence: Management Controls
 Specific focus on digital strands in modernisation programmes for EEC (particularly planning, Property & Design, City Clean & City Parks, Transport, and Royal Pavilion & Museums)
 Upgrade work on Visit Brighton website and application
 Three out of six modules of Uniform planning software implemented accounts for 70% of planning activity in terms of volume (Development Management and Enforcement).

Second Line of Defence: Corporate Oversight
 Digital First Programme Board and cross-party modernisation oversight group.

Third Line of Defence: Independent Assurance
 Internal audit

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---------------------|------------|----------|------------|----------|
| Deliver Phase 2 of Uniform to implement 3 additional modules and process improvements | Head of Planning | 55 | 31/03/18 | 02/01/17 | 31/03/18 |
| <p>Comments: Oct 17 -All improvements identified through the BPI process including an Audit by Uniform/IDOX. Work has commenced on a number of inhouse system improvements and these will continue. Commencement of recommendations from audit to start autumn 2017. Project team and project manager need to be put in place to coordinate programme including Enterprise workflow. Resource being sought in Pip Team to be paid for from Modernisation Fund (identified by end October). Meeting to start implementation of Public Access (new planning register) and Consultee Access on 17 October. Completion March 17.</p> <p>March 17 Update: Lead officer identified and will be preparing work programme for implementation from BPI review.</p> <p>Jan 17: Scoping of work underway and budgets identified. Work overseen by Planning Management Team.</p> | | | | | |
| Develop a more firm link between EEC and Digital First Board, report updates on Digital First from Corporate Management Team back to EEC DMT | Business Manager | 50 | 31/03/18 | 30/03/17 | 31/03/18 |
| <p>Comments: Oct 17 update - Corporate Performance Management Office Business Partner to attend all future Board meetings on behalf of EEC DMT. Information will be fed back to DMT. CPMO Business Partner to consider how to develop better links with existing Digital First Product Managers.</p> | | | | | |
| Implement business process reviews actions to improve digitalisation of development management service | Head of Planning | 55 | 30/03/18 | 01/01/17 | 30/03/18 |
| <p>Comments: Oct 17 - BPI completed August 17. Report of non-system and system actions and audit of Uniform by Uniform/IDOX completed. Implementation phase - Project manager to be identified by end of October of coordinate implementation of projects. Target completion - March 2018. Meeting to start implementation of Public Access and Consultee Access on 17 October. In the meantime non system improvements and easy win system wins being implemented.</p> <p>Initial Business Process review planning work completed. Workshops arranged and initial work programme prepared.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|---|--|-----------------------|---------------|------------|----------------|--|--|---------------|-------------------|
| EEC DR 03 | Directorate income and budget targets are not met (DP 1.1.4.5) | Executive Director Economy, Environment & Culture Interim Assistant Director City Environmental Management AD City Development & Regeneration (interim) Assistant Director - Property & Design Head of Tourism & Venues Head of Sport & Leisure Head of Royal Pavilion & Museums Assistant Director City Transport | BHCC Directorate Risk | 26/10/17 | Threat | Treat |  L5 x I4 |  L3 x I4 | | Revised: Adequate |

Causes

Link to Directorate Objective 4: Best use of council resources to deliver better outcomes and value for money

Unpredictable income and events challenge available EEC budgets, uncertainty around Brexit, new income targets increase requiring exploration of new ways to generate income. This combines with increasing demand and customer expectations.

Customers may resist introduction of charges and reduced services.

Increased reliance on new funding arrangements, e.g. LEP.

Demand led services have a consequential impact on the directorate budget.

Potential Consequence(s)

Council increasingly relies on income from capital receipts e.g. through disposal of buildings

Competing demands to balance use of council assets

Limited funds for capital investment in council buildings and land

Difficult decisions to be made to prioritise service delivery

Reduced establishments impacts on remaining workforce

Less ability to generate income

Existing Controls

First Line of Defence: Management Controls

1. Budget mgt, Targeted Budget Management (TBM) process
2. 4 year savings plan & Medium Term Financial Strategy
3. Modernisation Programmes
4. Review of fees and charges/ income generation

Second Line of Defence: Corporate Oversight

1. Corporate Modernisation Delivery Board
2. Policy, Resources & Growth (PR&G) Committee and Service Committees
3. Budget Council
4. Asset Management Board (AMB)
5. Greater Brighton Economic Board (GBEB)
6. Corporate Investment Board (CIB)

Third Line of Defence: Independent Assurance

Government depts. DCLG, Dft, CIPFA, DEFRA

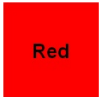

Environment Agency

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|----------|------------|----------|
| <p>Creative programming combined with bidding for grants to increase RPM visitor income, e.g. Constable exhibition. However users of existing services and premises continue to be unpredictable e.g. Royal Pavilion weddings.</p> <p>Comments: admission and retail income exceeding target for April-September 2017 will offset underachievement in weddings this financial year. Bid for Arts Council funding 2018-22 have received conditional offer. Continuing to Explore arrangements with Registry Office connected with Brighton Town Hall to compensate for possible drop in functions income eg wedding bookings.</p> | Head of Royal Pavilion & Museums | 50 | 31/03/18 | 12/04/17 | 31/03/18 |
| <p>Development of new Asset Investment Strategy with a focus upon acquisition of asset to deliver new revenue streams</p> <p>Comments: Presentation to ELT Modernisation Board on the proposed Asset Management re-balancing of the commercial portfolio, having obtained specialist legal advice from Bevan Britten. Presentation given to ELT at ELT Modernisation awayday 050417, well received. Development of the strategy continues and further advice is required from Bevan Brittan on commercial, financial and governance arrangements. It was agreed that the strategy should be progressed through the Asset Management Board.</p> | Assistant Director - Property & Design | 80 | 31/03/18 | 24/10/16 | 31/03/18 |
| Greater Brighton Devolution | Executive Director Economy, Environment & Culture | 65 | 31/03/17 | 04/10/16 | 31/03/17 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|------------------------------------|------------|-----------------|-----------------|-----------------|
| <p>Comments: Devolution prospectus submitted to government September 2015. First ministerial challenge session Jan 2016. Workstreams established to progress detailed proposals Jan - July 2016. Draft final negotiation document in progress and to be completed by Jan 2017.</p> | | | | | |
| <p>Greater Brighton response to the Industrial Strategy submitted to Government April 2017.</p> | | | | | |
| <p>City Region 2-day Charrette / Workshop held with Government Officials on 28th and 29th September 2017 exploring the development of a Local Industrial Strategy for Greater Brighton and to identify the components of a Housing Deal and Cluster Deal for Greater Brighton.</p> | | | | | |
| <p>Next Steps:</p> | | | | | |
| <ul style="list-style-type: none"> - City Region 2-day workshop outcomes report to be considered Greater Brighton Economic Board November 2017 - Further discussions with Government Officials with a view to negotiating a 'deal' for Greater Brighton around delivering a Local Industrial Strategy | | | | | |
| <p>Identify challenges to existing income streams e.g. Volk's loss of income during capital project, variability of income streams, uncertainty of major capital projects and develop financial recovery plans where possible, together with the delivery of letting new sports facilities management contracts as per service plan.</p> | <p>Head of Sport & Leisure</p> | <p>30</p> | <p>31/03/21</p> | <p>01/04/17</p> | <p>31/03/21</p> |
| <p>Comments: Update - October 2017: Financial recovery plan in place for the loss of income from the Volk's Railway this season, comprising of a reduction in seasonal expenditure on the railway, increased income from Seafront properties and reduction in expenditure on Sports Facilities. Sports Facilities Contract re-tender will depend upon whether a new or the existing King Alfred is included in a new contract, with work on-going to achieve the former. Investment project has been completed at Hollingbury Park Golf Course with an extension to the club house to improve sustainability through increased income from functions, food & beverage. Options being developed for the potential procurement of a new management contract for the golf courses as the current contract expires at the end of March 2020.</p> | | | | | |
| <p>July 2017 : Financial recovery plan developed for Volk's railway loss of income for 2017 summer season. Sports Facilities Contract re-tender will depend upon progress of King Alfred Leisure Centre redevelopment. Investment project commenced at Hollingbury Park Golf Course to increase sustainability.</p> | | | | | |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|--|------------|----------|------------|----------|
| Property & Design integration process re. Orbis | Assistant Director - Property & Design | 30 | 30/03/19 | 19/10/16 | 30/03/19 |
| <p>Comments: It is intended that the budget will be agreed by March 2018 and integration by March 2019. Orbis Service Integration plans - attending Property Orbis SMT and leading Orbis plan the collaboration and integration over the next 12-18 months. Orbis soft launch in May . Budget discussions have just commenced again with BHCC finance colleagues to clarify high level MOBO and operating budgets. Behaviours workshop and performance and development training focus in June/ July. Service catalogues and measures being developed. Business Plan being reviewed and developed</p> | | | | | |
| To develop a trend analysis of annual income in liaison with finance and to continue on an annual basis to maximise revenue streams, recognising variability of income with continual monitoring of expenditure budgets. | Head of Tourism & Venues | 100 | 31/03/19 | 11/04/17 | 31/03/19 |
| <p>Comments: 3 year Profit & Loss account monitoring in Venues for each event to identify profit and costs. This assist negotiations and viability of future business. A trend analysis has been undertaken of primary business streams to identify income and occupancy distribution by month, annually and by event genre. Tourism & Venues delivered an underspend 16/17 which continues and will be monitored by TBM and annually.</p> | | | | | |
| Transport sub-national transport body - Transport for the SouthEast (SE7 workstream) 2 years | Assistant Director City Transport | 60 | 30/10/19 | 05/10/16 | 30/10/19 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---------------------|------------|----------|------------|----------|
| <p>Comments: - BHCC agreed at the last ETS Committee to work in collaboration with SE7 partners to develop a 'shadow' Strategic Transport Board (STB) and Regional Transport Strategy. Report taken to GBEB members on 31st January.</p> <p>- Shadow Board has been established with first meeting held on 26th June 2017. It was attended by Leaders and Lead Members of the Constituent Authorities including Brighton & Hove City Council, East & West Sussex, Surrey, Hampshire County Councils, Medway, Isle of Wight, Southampton and Portsmouth Councils and Coast to Capital and Solent LEPs with DfT observing.</p> <p>A second meeting took place on 29th September at which the Board agreed its budget (BHCC annual contribution agreed at £30k).</p> <p>Next steps:</p> <ol style="list-style-type: none"> 1. Shadow Board and officer groups to develop Transport Strategy will commence with an Economic Connectivity Review and a response to the Department for Transport (DfT) major route network consultation 2. On-going work with DfT towards the formal establishment of Transport for the South East in 2019 | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|---|--|-----------------------|---------------|------------|----------------|---|---|---------------|-------------------|
| EEC DR 05 | Loss in resilience of the city's transport infrastructure | Assistant Director City Transport Business Development Manager | BHCC Directorate Risk | 26/10/17 | Threat | Treat |  Red L4 x I4 |  Amber L3 x I4 | | Revised: Adequate |

Causes
 Link to Directorate Objective 1: Getting basic services right to manage, maintain and develop the city for residents, businesses and visitors
 The continuing success of Brighton & Hove is reliant in part on city partners supporting an effective, efficient and sustainable transport system. The transport and travel system must allow for timely movement of people and goods travelling to work, school, medical facilities and for leisure including tourism.
 Key partners are the bus and train companies.

Potential Consequence(s)
 Impact on economy and Tourism
 City reputation
 Impact on devolution arrangements
 Less use of public transport may result in more private vehicle usage with resultant air quality and road maintenance issues

Existing Controls

First Line of Defence: Management Controls

System of highway safety maintenance inspections and repairs to roads, footways and structures and other parts of transport infrastructure

Monthly meetings with transport partners eg rail, bus operators

Transport partnership bi-monthly

Emergency Planning scenario testing to improve response if required

Good arrangements with contractors to respond to and deal with emergencies

Out of hours team respond to incidents and events on transport network

Twitter, Facebook and social media accounts to alert road users

Control Centre for CCTV cameras to deal with events on network, links to bus company and police

Regular work to on Highways Asset Management Plan (HAMP)

Second Line of Defence: Corporate Oversight

Self assessment, signed off by S151 officer and checked and audited by DfT. Assessed as Level One out of Three Levels of Highways Asset Management Plan (HAMP)



Third Line of Defence

DfT inspection of HAMP towards Level 3 which affects funding for BHCC. Last visit May 16

Internal Audits e.g. Shelter Hall

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|-----------------------------------|------------|----------|------------|----------|
| Additional funding secured from Department for Transport (DfT); Shelter Hall £9m; National Productivity Investment Fund (NPIF) £1m; Pothole Fund £135k -Overall Local Transport Plan (LTP) £5.4m | Assistant Director City Transport | 50 | 31/03/18 | 01/04/17 | 31/03/18 |
| <p>Comments: LTP and other specific funding including Pothole and National Productivity Investment Fund being allocated to repair and prevent structural failures. Funding for Shelter Hall will be the subject of a PRG report in December 2017.</p> | | | | | |
| Highway Maintenance Programme | Assistant Director City Transport | 50 | 31/03/18 | 01/04/17 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|-----------------------------------|------------|----------|------------|----------|
| Comments: Implementation of 2017/18 programme on track | | | | | |
| Intelligent Transport Systems (ITS) | Assistant Director City Transport | 50 | 31/03/18 | 01/04/17 | 31/03/18 |
| Comments: Implementation of 2017/18 programme on track | | | | | |
| North Street Works | Assistant Director City Transport | 75 | 30/11/17 | 20/09/17 | 30/11/17 |
| Comments: Road works by Southern Water started on 18 September 2017 and will last until the first half of November. The work will see a number of sections of road strengthened and resurfaced. | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|---|--|--------------------------|---------------|------------|----------------|--|--|---------------|----------------------|
| EEC DR 07 | Major regeneration & infrastructure projects are not strategically co-ordinated (DP 2.1.1.2.1) | Assistant Director - City Development & Regeneration AD City Development & Regeneration (interim) Head of Sport & Leisure Assistant Director City Transport Executive Director Economy, Environment & Culture | BHCC Directorate Risk | 26/10/17 | Threat | Treat |  L3 x I4 |  L3 x I3 | | Revised: Adequate |

Causes

Link to Directorate Objective 2: Drive economic growth and regeneration that benefits everyone

Several major regeneration and infrastructure projects are timetabled to deliver at the same time.

Lack of strategic co-ordination creates risk of disruption through congestion caused by construction traffic and traffic management requirements.

Potential Consequence(s)

Congestion

Reputational damage

Impact upon confidence in ability to deliver complex programmes (and subsequent funding bids)

Loss of trade to businesses caused by congestion

Reduction in visitors

Missed opportunity to strategically manage construction projects eg through joint consolidation centres

Existing Controls

First Line of Defence: Management Controls

Project and programme management used to co-ordinate and deliver projects

Engage with key partners on a project by project basis (eg Southern Water, UK Power Networks, Brighton & Hove Buses)

Second Line of Defence: Corporate Oversight

Corporate Investment Board meets monthly to oversee co-ordination and delivery of major projects.

Member oversight of the cross-party Strategic Delivery Board which meets monthly to oversee co-ordination and delivery of major projects

Third Line of Defence: Independent Assurance

Projects funded by Government departments are overseen by the Greater Brighton Economic Board (quarterly) and Coast to Capital LEP governance arrangements (quarterly) / and by relevant government department (according to their timetable). No funding has been withdrawn to date.

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|--|------------|----------|------------|----------|
| Enable overview and improved co-ordination through development of an integrated timetable that includes all projects | Estate Regeneration Programme Manager | 50 | 31/03/18 | 15/09/16 | 31/03/18 |
| Comments: From January 2017 an integrated timetable has been reported to the Strategic Delivery Board (SDB). Work has been undertaken on refreshing the way in which major projects updates are reported to SDB and TDC. In response to comments raised, the new format will address timescales for delivery to assist with corporate monitoring of strategic co-ordination. | | | | | |
| Improve reporting on timescales to Strategic Delivery Board (SDB) and TDC through an updated Major Projects update report that gives greater clarity on expected work dates. | Assistant Director - City Development & Regeneration | 75 | 31/01/18 | 15/10/17 | 31/01/18 |
| Comments: Work has been undertaken on refreshing the way in which major projects updates are reported to Strategic Delivery Board (SDB) and Tourism Development and Culture (TDC). In response to comments raised, the new format will address timescales for delivery to assist with corporate monitoring of strategic co-ordination. | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|---|---|-----------------------|---------------|------------|----------------|------------------|------------------|---------------|----------------------|
| EEC DR 12 | Failing to make a convincing case for investment in city region | Assistant Director - City Development & Regeneration Executive Director Economy, Environment & Culture Project Manager Greater Brighton Economic Board Business Manager | BHCC Directorate Risk | 26/10/17 | Threat | Treat | Amber L4 x I3 | Amber L4 x I3 | | Revised: Adequate |

Causes

Link to Directorate Objective: 2 Drive economic growth and regeneration that benefits everyone
 Readiness of politicians and management teams to take up opportunity of Devolution could determine the city's profile in the Region.

Potential Consequence(s)

Council preparedness for devolution will be tested by increased regionalisation
 Devolution settlements increasingly linked to new governance arrangements
 Relationship with HM Government affected
 Impact on council ability to drive economic growth and public service delivery

Existing Controls

First Line of Defence: Management Controls

Brighton & Hove City Council is part of Greater Brighton and the Greater Brighton Economic Board has been established

The City Council submitted a bid for devolution deal with government with Greater Brighton Economic Board partners in September 2015. Since then formal devolution has only happened in a limited number of locations, but the Greater Brighton Economic Board continues to work with government to secure devolved powers and funding to deliver investment in the city region.

Governance arrangements for the Greater Brighton devolution proposals are as follows:

- Greater Brighton Economic Board, a joint committee that brings together the Leaders of Greater Brighton alongside business partners (Universities, South Downs National Park Authority, FE representatives, Coast to Capital LEP)
- Greater Brighton Officer Programme Board - provides officer support and oversight

Governance arrangements for the Greater Brighton devolution proposals are as follows:

Second Line of Defence: Corporate Oversight

Corporate oversight through the Modernisation Programme Governance of the devolution proposals established through the corporate modernisation governance structure

Third Line of Defence: Independent Assurance:

Coast to Capital LEP is a partner in seeking devolved powers and funding, and gives independent advice and guidance into the city region's relationship with government.

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|------------|----------|------------|----------|
| Develop appropriate communications programme | Executive Director Economy, Environment & Culture | 80 | 30/03/18 | 20/04/16 | 30/03/18 |
| Comments: The communications strategy for the Greater Brighton Devolution proposals is being led by Adur & Worthing Councils on behalf of the Greater Brighton Economic Board. Communications updates from the chair of Greater Brighton Economic Board following each meeting established. New website for Greater Brighton Economic Board live, January 2017 - www.greaterbrighton.com There was positive publicity arising out of the City Region Charette. Awaiting update of Comms Planner from Adur and Worthing for future schedule of comms. | | | | | |
| Review of Governance arrangements (work with Abraham Ghebre-Ghiorghis . Executive Lead Officer, Strategy, Governance & Law) | Executive Director Economy, Environment & Culture | 75 | 31/03/17 | 26/04/16 | 31/03/17 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|-----------------|-----------------|-----------------|
| <p>Comments: South East 7 partners have agreed to establish a shadow 'Transport for the South East' sub-national transport body</p> <p>Since April 2016 work has been undertaken to incorporate Crawley BC and Gatwick Airport into the Greater Brighton Economic Board, giving the board greater strategic presence. This process has started and will be formally ratified at the February meeting of GBEB (following a sequence of individual ratifications by member authorities).</p> | | | | | |
| <p>Work with government departments to develop the work done as part of the City Region Charrette into a Housing Deal and Local Industrial Strategy</p> | <p>Assistant Director - City Development & Regeneration</p> | <p>50</p> | <p>31/07/18</p> | <p>15/10/17</p> | <p>31/07/18</p> |
| <p>Comments: Report on the Charette outcomes and next steps is going to the Greater Brighton Economic Board in November 2017.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|--|--|---------------|------------|----------------|----------------|------------------|---------------|----------------------|
| FCL DR 01 | Service redesigns do not deliver intended outcomes | Executive Director Families, Children & Learning Service Manager - Directorate Policy & Business Support | BHCC Directorate Risk, Partnership Working/ Management | 12/10/17 | Threat | Treat | Red L3 x I5 | Amber L3 x I3 | | Revised: Adequate |

Causes

Link to Directorate Objective 5: Improve our services in order to drive efficient and effective services

Any increased levels of service design; changes to fees and charges and reductions in service levels requires leadership commitment to ensure appropriate consultation and sustainable support.

The sheer volume of change outweighs capacity to manage it.

Potential Consequence(s)

- * If no clear agreement on need for change, timely decisions not made
- * Directorate less able to plan to deliver and commission services
- * Staff morale affected
- * Opposition to service re-design diverts management capacity, time and resources
- * Opportunities to ensure sustainable service delivery and income may not taken
- * Impact on Directorate Objective 10 (One Children Service)

Existing Controls

First Line of Defence: Management Controls

- *Service redesign toolkit is in use
- *The new social work model of practice continues to be reviewed with feedback from young people and families at the heart
- *Consultation processes are well planned and staff assured of hearing about changes direct first
- *Dedicated CPMO support on major change programmes e.g. review relating to Youth Service; Fostering;SEND review; and Children's Centres
- * DMT monitor success of service changes via customer feedback, budget compliance and staff survey results
- * Children Families & Learning input into Health & Wellbeing Strategy

Second Line of Defence: Corporate Oversight

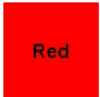

- *All restructures are signed off at Directorate Management Team (DMT) level
- *Where relevant service redesigns are reported to Corporate Modernisation Delivery Board (CMDB) having been monitored via FCL Modernisation Board)
- * Some redesigns require committee sign off eg recommissioning a large service

Third Line of Defence: Independent Assurance

- *Ofsted inspect our social care arrangements and have praised the direction of our New Model of Delivery in social work in May 2015.
- *The Local Government Association (LGA) recently conducted a Peer Review of our safeguarding arrangements which forms part of our wider evaluation on the model of practice.

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|----------|------------|----------|
| Complaints are responded to within statutory timescales and actions are taken to implement the learning from complaints. | Service Manager - Directorate Policy & Business Support | 60 | 31/03/18 | 01/04/16 | 31/03/18 |
| <p>Comments: Timescales for responding to complaints have broadly improved, with all being responded to within the later deadline of 20 days. The new model of practice and new quality assurance framework in social work has embedded learning from complaints as a core part of the process. The customer insight support officer has completed a focused piece of work on this area, working with corporate and Families, Children & Learning colleagues to make further improvements in our response times.</p> | | | | | |
| Explore, develop and implement new models of delivery | Executive Director Families, Children & Learning | 60 | 31/03/18 | 01/04/16 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---------------------|------------|----------|------------|----------|
| <p>Comments: As the directorate continues to reshape in light of both budget concerns and inspection / peer challenge recommendations alternative models of delivery are being explored. These include youth services, regionalised adoption provision and developing an Educational Partnership. These are overseen by the FCL Modernisation Board.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|---|--|--|---------------|------------|----------------|--|--|---------------|-------------------|
| FCL DR 02 | Changes in effective partnership working (including their budget pressures) affects our service delivery | Executive Director Families, Children & Learning Service Manager - Directorate Policy & Business Support | BHCC Directorate Risk, Partnership Working/ Management | 12/10/1 | Threat | Treat |  L4 x I5 |  L3 x I3 | | Revised: Adequate |

Causes
 Link to Directorate Objective 1: Work as one Families, Children & Learning directorate and with partners, taking a whole family approach to improve outcomes for all disadvantaged groups
 The Directorate relies on partners, e.g. education providers, health, police & probation and other council directorates, to contribute to delivery of services for children and families. All are likely to face pressures and changes due to reduced budgets and increasing demand.

Potential Consequence(s)
 *Existing arrangements and resource commitments may need review
 *Less scope for joint commissioning of services
 *Increased management overview of changes to ensure acceptable arrangements for safeguarding and safety
 *Employment issues may arise and will need attention
 *Impact on performance levels and outcomes for children
 *Reduced customer satisfaction

Existing Controls

First Line of Defence: Management Controls

- * A City Employment & Skills Plan has been developed with the Learning Partnership; and the City Employment and Skills Partnership (CESP)
- * Local Safeguarding Children Board (LSCB) full participatory role on safeguarding audits and on relevant subgroups
- * Children's Services Partnership Forum operating well
- * School Partnership Advisers encourage school to school working including sharing of data and training, eg peer review challenge open to all primary headteachers
- * Joint Children's Health & Wellbeing Strategy agreed with Public Health and the Clinical Commissioning Group (CCG)
- * Post section 75 agreement with Sussex Community Foundation Trust on Memorandum of Understanding and an Information Sharing Agreement
- * Early Help and Community based services outlined in Community & 3rd Sector prospectus and initiatives delivered, eg with CCG GP referral pilot to Early Help Hub
- * The FCL directorate has full involvement in a number of strategic partnerships across the city and uses this as well as other mechanisms such as keeping in touch meetings and strategic boards to ensure that planning takes place at a city-wide level across services affecting families, children and learning.

Second Line of Defence: Corporate Oversight

- * There are clear escalation routes available eg City Management Board (CMB / Health & Wellbeing (HWB) Board
- * Governance arrangements in place in key partnership areas, eg Child Sexual Exploitation
- * LSCB operating successfully overseeing a range of partnership arrangements
- * Children's HWB Strategy part of wider HWB monitoring arrangements

Third Line of Defence - Independent Assurance

- * Joint inspection with Health Partners on our Special Educational Needs & Disabilities (SEND) arrangements successfully completed May 2016

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|-------------------|-----------------|-------------------|-----------------|
| Consistent and appropriate communications are developed further across the directorate, with staff, partners and families | Service Manager - Directorate Policy & Business Support | 60 | 31/03/18 | 01/04/16 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|--|------------|-----------------|-----------------|-----------------|
| <p>Comments: Weekly communications to all FCL staff have been in place since July 2017. Communications apprentice appointed and starts mid October to drive forward digital marketing work of directorate. Work continues with the corporate communications team to build a new communications model for the directorate. This includes innovative ways for staff to communicate with managers and each other as well as for management to pass messages on to staff. Next steps include exploring hosting blogs externally for wider audiences. Overseen by the Service Manager for Directorate Policy & Business Support. The social work pages on the council staff intranet has also been fully updated and relaunched providing a one stop shop for staff.</p> | | | | | |
| <p>Continue to deliver and develop the Children's Services Partnership Forum to ensure there is an appropriate citywide mechanism for service providers to work collaboratively on strategic solutions</p> | <p>Service Manager - Directorate Policy & Business Support</p> | <p>65</p> | <p>31/03/18</p> | <p>01/04/16</p> | <p>31/03/18</p> |
| <p>Comments: The Forum meets biannually and is an opportunity for children's services staff, partners, leaders and volunteers across the city to meet, discuss current issues and to consider strategic solutions. Topics discussed so far include emotional wellbeing and mental health, plus Advice, Information and Guidance for school leavers. A forum meeting was held in May 2017 and explored what a Child Friendly / Centered City might look like. The next forum meeting is being set up and the steering group will agree the next topic for discussion.</p> | | | | | |
| <p>To develop more effective partnerships with schools and other educational providers, providing challenge and support and promoting a school to school model of improvement.</p> | <p>Assistant Director Education & Skills</p> | <p>75</p> | <p>31/03/18</p> | <p>01/04/16</p> | <p>31/03/18</p> |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|--|------------|-----------------|-----------------|-----------------|
| <p>Comments: This work has two strands: To develop and strengthen the existing partnerships/clusters, and; To engage and consult on the development of a citywide partnership. Several areas of activity are underway:</p> <ul style="list-style-type: none"> - The meetings with the chairs of partnerships are enabling the sharing and development of good practice. - School to school support is developing well and the Head of Standards and Achievement is working with the National Leaders of Education (NLE) to design a clear criteria for support. - Several primary headteachers have formed a Brighton & Hove Leaders of Education team to offer school to school support. - The initial engagement phases for the development of a Brighton & Hove Education Partnership has been completed with positive feedback and a model for the partnership developed in response to this. <p>The final model went Children, Young People and Skills Committee in March and the partnership board will now be developed.</p> | | | | | |
| <p>Work closely with the City Neighbourhood and Community Collaboration programmes to support development of neighbourhood hubs.</p> | <p>Assistant Director Education & Skills</p> | <p>75</p> | <p>31/03/18</p> | <p>01/04/16</p> | <p>31/03/18</p> |
| <p>Comments: We have had FCL reps attending the planning meetings that are developing proposals for Moulsecoomb and Whitehawk. The Integrated Team for Families and Parenting Service (ITFPS) have split into four area teams: Whitehawk, Moulsecoomb, Central and Hangleton. Locality Teams have developed strong links with the Children Centre Managers and are developing links with other service providers within their localities. The Early Help review is considering how the Integrated Team for Families will be organised in the future including whether it will be possible to maintain four area based teams with the proposed reduction in funding. The budget proposals for Youth work will also impact on the future delivery of services in neighbourhoods. The corporate Communities and Neighbourhood programme is currently working up detailed proposals for Whitehawk. The Workstyles 4 Programme is drawing together proposals for Moulsecoomb. The Neighbourhood Governance programme is looking at citywide options and for FCL the main links to be made to our participation and engagement activities.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|--|-----------------------|---------------|------------|----------------|------------------|------------------|---------------|----------------------|
| FCL DR 08 | Special Educational Needs and Disabilities (SEND) review recommendations are not implemented | Assistant Director Health & Disability Services Service Manager - Directorate Policy & Business Support | BHCC Directorate Risk | 27/10/17 | Threat | Treat | Amber L3 x I4 | Amber L3 x I3 | | Revised: Adequate |

Causes

Link to Directorate Objective 4: Provide access to high quality and appropriate school and education provision

The SEND review has put forward wide-ranging recommendations that will improve services within a better value context from ages 0-25

Potential Consequence(s)

- * May be difficult to build sufficient consensus to carry forward proposals
- * Radical proposals for integrating provision across education, health and care in children's and adults services rely on partnership and co-operation across services and agencies. Any failure in this could impede progress.
- * Accommodation requirements may be difficult to meet

Existing Controls

First Line of Defence: Management Controls

Strong links and partnerships working across Children's Services, Adult Social Care, Schools and health commissioner in Public Health and the Clinical Commissioning Group (CCG)

Strong consultative approach across all stakeholders in designing new integrated provision

Inclusion of parents, young people and senior officers from all agencies in the SEND review governance board

Second Line of Defence: Corporate Oversight

SEND review board includes rep from capital team, HR, legal and finance

Reports are taking through Children Young People & Skills (CYPS) Committee on progress of SEND Review and for key decisions

Third Line of Defence: Independent Assurance

Ofsted and Care Quality Commission (CQC) conducted joint inspection on our SEND arrangements and future proposals in May 2016 and were fully assured.

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|----------|------------|----------|
| Bring together and consolidate key functions of Children's Services and Adult Social Care for those with learning difficulties and disabilities to ensure a smooth transition to adulthood. | Assistant Director Health & Disability Services | 75 | 31/03/18 | 01/04/16 | 31/03/18 |
| Comments: The transfer of Adult Learning Disabilities teams in to the directorate took place in October 2016. Service plans have been consolidated. New branch has come together successfully and worked together on plans for re-designs to meet savings targets. A new fully integrated service plan has been developed for 17/18 and beyond and plans are being developed to integrate the service this year. | | | | | |
| Deliver and commission high quality Special Education Needs and Disability Services including delivery of SEND reforms and implementing the review. | Assistant Director Health & Disability Services | 75 | 31/03/18 | 01/04/16 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|--|------------|-----------------|-----------------|-----------------|
| <p>Comments: The SEND reforms are being incrementally implemented. The SEND inspection report (July 16) was extremely positive and praises the work of the Local Authority (LA) in terms of progress with the SEND reforms. Progress on the reforms remains broadly on track although staff shortages in the SEN team are causing a temporary delay in the EHC plan conversion schedule.</p> <p>A statement of action has been drafted with the CCG and Public Health in relation to the few areas for further improvement from the Ofsted inspection.</p> <p>A number of approvals have been made at Children, Young People and Skills Committee in 2-17 and now detailed operational plans are being developed in relation to proposals for special school re-organisation.</p> <p>Next steps include continuing with the process of converting existing Statements of SEND to Education & Health Care (EHC) plans and forging a pathway from 16-25 years and to run the formal consultation process in relation to SEND review proposals and evaluate responses</p> | | | | | |
| <p>Ensure inspection readiness across the directorate and with partners including new inspection frameworks for social care, Joint Targeted Area Inspection and SEND</p> | <p>Service Manager - Directorate Policy & Business Support</p> | <p>75</p> | <p>31/03/18</p> | <p>01/04/16</p> | <p>31/03/18</p> |
| <p>Comments: Progress to date:</p> <p>As a directorate we have now had two significant Ofsted / CQC inspections (Single Inspection Framework 'SIF' and Special Educational Needs and Disabilities) so actions plans / recommendations are being taken forward. It is important that we are able to provide evidence to Ofsted at any time on our progress in those plans. We have recently invited the Local Government Association to conduct a safeguarding Peer Review in September to assess how far we have progressed the recommendations from the SIF and the feedback was mostly positive and the areas for development are already in our business plans for 17/18. We are awaiting news of the review of the Children's Centre Inspection Framework. We have ended quarter 2 with 94% of schools rated good or outstanding by Ofsted, above the target of 89%. Detailed planning is now underway to prepare for a possible Joint Targeted Area Inspection from anytime onwards. A peer challenge activity was undertaken June 2017. Work is underway to pilot a new Self Evaluation process with Ofsted with an aim to meet with them in November 2017.</p> | | | | | |
| <p>Explore new delivery models incl Enhancing direct payments , Learning Support Services, Integrated SEND specialist provision</p> | <p>Executive Director Families, Children & Learning</p> | <p>75</p> | <p>31/03/18</p> | <p>01/04/16</p> | <p>31/03/18</p> |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---------------------|------------|----------|------------|----------|
| <p>Comments: As the directorate continues to reshape in light of both budget concerns and inspection / peer challenge recommendations alternative models of delivery are being explored. These include youth services, regionalised adoption provision and potentials around a new Educational Partnership. These are overseen by the FCL Modernisation Board.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|---|--|-----------------------|---------------|------------|----------------|------------------|------------------|---------------|----------------------|
| FCL DR 09 | Budget is unmanageable due to growing demands, market forces, and not able to effectively target those who might in the future meet the social care threshold. | Executive Director Families, Children & Learning Service Manager - Directorate Policy & Business Support | BHCC Directorate Risk | 12/10/17 | Threat | Treat | Amber L3 x I3 | Amber L3 x I3 | | Revised: Adequate |

Causes

Link to Directorate Objective 5: Improve our services in order to drive efficient and effective services

Effective budget planning for service delivery is challenged both by new legislation and imposed requirements; and external factors (eg national safeguarding scandals) and result in exceeding identified budget provision. The inclusion of Adult Learning Disabilities Services within the FCL directorate has introduced substantial new financial pressures (£30M budget).

Potential Consequence(s)

- * Increased need for hard choices to allocate available budget
- * Management and change capacity within Directorate and partners need to implement and communication pressure and changes
- * Reduced customer satisfaction
- * Unable to fulfil statutory duties
- * Ineffective early help and preventive services impacts on children's health and well being, educational attainment and family stability and increases pressure on statutory services
- * Inefficient systems to identify, assess and respond to need early undermines budget control across children's services
- * Failure to sustain achievement of flagship Troubled Families targets will attract investigation and negative publicity

Existing Controls

First Line of Defence: Management Controls

1. Policy, Resources & Growth (PR&G) Committee agreed Pressure funding in January 2017 as part of budget setting process
2. Effective Targeted Budget Monitoring (TBM) at Directorate Management Team (DMT)
3. Service redesign toolkit in use and any restructures agreed at DMT level

Second Line of Defence: Corporate Oversight

- 1 Modernisation programme operating and scrutinised at Modernisation Board 6 weekly
- 2 Performance Board oversees the outcomes
- 3 Budgets discussed regularly at the Executive Leadership Team (ELT) and with Members at Leadership Board
- 4 Challenge provided at annual Budget Scrutiny Group
- 5 Annual budget setting process has full Member oversight and governance through committee system

Third Line of Defence: Independent Assurance

1. Internal Audit work on our Troubled Families submissions to ensure we are entitled to our Payments by Results funding. At the last audit (June 16) internal audit examined 10% of the claims going forward for payment from the Troubled Families Programme (TFP). All 10% were approved by audit and on that basis audit authorised 100% of all claims that went forward to the TFP.
2. Independent Report commissioned in late 2015 that provided assurance, examination and recommendations around FCL budget issues.
3. External review of High Needs Block budget commissioned to provide advice on spend in national context.

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---------------------------------------|------------|----------|------------|----------|
| Commission, provide and coordinate integrated pathways, systems and services to enable prevention, early intervention and demand management so that vulnerable children, young people, adult learning disabilities service users and their families have their needs met. | Assistant Director Education & Skills | 50 | 31/03/18 | 01/04/17 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|--|------------|----------|------------|----------|
| <p>Comments: The Budget Council in February agreed a budget reduction for early help. In addition, income from the Troubled Families is expected to reduce leading to an overall reduction of around a third. Early help services including the Early Help Hub, Family Information Service and the Integrated Team for Families and Parenting Service have been re-designed and a staffing restructure has been completed to achieve the savings. The new service combines the Early Help Hub and Multi-Agency Safeguarding Hub to create a combined Front Door for Families which will take both safeguarding and early help referrals with streamlined processes. There will continue to be a separate Integrated Team for Families and Parenting Service with teams based in three Children's Centres. The service will provide family coaching and specific interventions for families facing multiple disadvantage who fall below the social work threshold and will work with schools and other services to support a whole family approach. All staff will use one computer system (Care First) and the Strengthening Families model of assessment form and recording. Reports have been completed for DMT and the Modernisation Board.</p> <p>Next steps are to implement the new Front Door for Families Service, train all staff to use the Care First and the Strengthening Families Assessment Form and Plan and implement the new Integrated Team for Families and Parenting Service management and team structure.</p> | | | | | |
| Consideration of further outsourcing of council run residential and supported living provision for adults with learning disabilities | Assistant Director Health & Disability Services | 40 | 31/03/18 | 16/10/17 | 31/03/18 |
| <p>Comments: Tranche 1 of project resulted in transfer of 4 units to Grace Eyre foundation Tranche 2 involves assessment of further transfers and evaluation of cost/benefits</p> | | | | | |
| Drive and deliver the directorate modernisation programme via modernisation board in accordance with corporate policies and procedures | Executive Director Families, Children & Learning | 35 | 31/03/18 | 01/04/17 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|-----------------|-----------------|-----------------|
| <p>Comments: The modernisation programmes detailed in our service plans are all reported to the modernisation board regularly and are all on track. There is however still an overspend predicted for the end of 17/18, due to increasing demand in some of our most pressured placement services. The modernisation programme in Families, Children & Learning is reviewed regularly. The 6-weekly meeting agenda now includes a themed discussion, providing space to think through alternative models and other activities outside of normal DMT time. This is also the place where key links are made with other corporate modernisation programmes such as Digital First. Challenge continues around meeting our savings targets and recently DMT undertook an exercise to clearly state the potential risks to meeting these throughout the year and what mitigating actions are being taken forward at pace. Business Model Canvas' have been developed for each branch to further develop the savings plans. A number of business plans have recently been developed and approved at the Corporate Modernisation Delivery Board. This work is directed at supporting the directorate to manage it's greatly reduced overspend and to support the delivery of future savings plans.</p> | | | | | |
| <p>The 'Move On' project in Adult Learning Disability Services is systematically reviewing all care support packages to promote independence for service users where appropriate and reduce unnecessary care costs</p> | <p>Assistant Director Health & Disability Services</p> | <p>50</p> | <p>31/03/18</p> | <p>16/10/17</p> | <p>31/03/18</p> |
| <p>Comments: Phase one of the project has been successful and now work is being undertaken to plan further phases and take learning in to other related projects.</p> | | | | | |
| <p>Through our modernisation programme implement strategies to manage demand for specialist services, through for example: Developing the speciality adolescent service, and; Increasing capacity of the Integrated Team for Families working with families on the edge of the social work system.</p> | <p>Executive Director Families, Children & Learning</p> | <p>35</p> | <p>31/03/18</p> | <p>01/04/17</p> | <p>31/03/18</p> |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|------------|-----------------|-----------------|-----------------|
| <p>Comments: Progress to date: a coherent and interrelated Modernisation plan is in place across Safeguarding and Care with the Model of Practice which aims to manage demand and reduce costs. An Integrated Team for Families review is in process. Adolescent service is in place and Support Service now recruited to. Demonstrable impact on preventing young people requiring accommodation and also stepping young people down in risk, enabling a reduction in spend. LGA Peer Safeguarding Review confirmed improvements and the direction of travel for the service. Performance of outcomes against statistical and comparative neighbours is improving. Next steps include to continue progress with regards managing demand through the Model of Practice to meet targets, to ensure thresholds for Social Work service are maintained. continue to review the Model of Practice, monitor and assess impact of model in demand management terms after a year and to create an action Plan to increase the number of Early help Assessments being completed to prevent children's needs escalating to requiring a Social Work service</p> | | | | | |
| <p>Work of the Care Planning Panel to continue to support legal and statutory decisions around care.</p> | <p>Head of Service - Safeguarding & Quality Assurance</p> | <p>50</p> | <p>31/03/18</p> | <p>01/04/17</p> | <p>31/03/18</p> |
| <p>Comments: Progress to date: Care Planning Panel sanctions all decisions to take children into care supported by Legal Planning Meetings. Tracking forums are taking place to reduce risk of drift for children and this is now supported by the use of Strengthening Families Assessment. Residential review meetings are targeted at ensuring placements are allocated to the right children for the right period of time to ensure good use of resource. Review undertaken of Section 20 placements as per legal ruling by Head of Service (Children in Care) and legal team. Tracking panel is in place to ensure pre-court processes are monitored and no undue drift or delay, chaired by the Head of Service (Child Protection). This is proving very effective. Court Review meeting with legal representation present considers legal performance and new requirements.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|---|-----------------------|---------------|------------|----------------|------------------|------------------|---------------|----------------------|
| FCL DR 10 | Disadvantaged pupils underachieve at schools | Assistant Director Education & Skills Service Manager - Directorate Policy & Business Support | BHCC Directorate Risk | 12/10/17 | Threat | Treat | Amber L3 x I4 | Amber L2 x I4 | | Revised: Adequate |

Causes

Link to Directorate Objective 1: Work as one Families, Children & Learning directorate and with partners, taking a whole family approach to improve outcomes for all disadvantaged groups
 Educational attainment standards of pupils affect life chances of young people in the city. This combined with complexity of exam system and changes to data measurement has brought uncertainty to the system.

Potential Consequence(s)

- * Young people in the city may not achieve their full potential
- * Changes to the exam system affect pupil results
- * Complexity of data measurement affects national comparative data of pupil achievement
- * Increase in those not in education, employment or training

Existing Controls

First Line of Defence - Management Controls

1. Support and challenge for schools offered by Local Authority team
2. Ensuring that forecasts of educational achievement are more robust
3. Brighton & Hove Education Partnership focused on achievement
4. Categorisation leads to effective action plans

Second Line of Defence - Corporate Oversight

There are several Key Performance Indicators (KPIs) around disadvantaged pupil achievement that are monitored by FCL Performance Board and then Executive Leadership Team (ELT), Policy, Resources & Growth (PR&G) Committee

The Executive Director FCL presents an annual report to Children & Young People Committee on pupil achievement

Brighton & Hove Strategic Board

Third Line of Defence - Independent Assurance

1. Ofsted - at the end of quarter 2 17/18 94% of our schools are judged to be good or outstanding
2. Internal Audit

Second

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---------------------------------------|-------------------|-----------------|-------------------|-----------------|
| Promote a whole school approach to equality and provide access and inclusion to education for all CYP | Assistant Director Education & Skills | 50 | 31/03/18 | 01/04/17 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---------------------------------------|------------|----------|------------|----------|
| <p>Comments: Progress to date: All secondary schools with the exception of Kings School have had equality and diversity learning walks. Eleven schools have now been awarded Schools of Sanctuary Certificates. Three trans- awareness training and one Equality Act training sessions were delivered in the last quarter. The rates of attendance and persistent absence are improving for primary schools across the city. Fixed term exclusion is significantly down for primary on 2015/16 levels, despite the national trend being upwards. Whilst rates of permanent exclusion remain significantly below the national average, there have been more incidents than in the same period last year. Action has been taken to address this rise and as a result no further permanent exclusions have occurred. All schools participate in the city wide Fair Access Protocol to admit 'hard to reach' children and young people. The categorisation process for primary and secondary schools has been undertaken and inclusion outcome measures are incorporated within this exercise. Schools have been briefed about the focus upon outcomes for disadvantaged children and young people and Special Educational Needs and diminishing the differences that exist. Next Steps include planning and delivering disability equality network meeting, disability equality training for governors and Promote Anti-Bullying Alliances. All together programme related to SEND bullying, encourage secondary school 'buy back' of equality and anti-bullying offer with a focus on conducting review of Equality and Diversity Learning Walks, plan and deliver Race Equality focus for Schools and College Leaders Business meeting and identify a pilot group of schools to work on improving recruitment of Black & Minority Ethnic (BME) staff. On-going data analysis for Key Stages 1 and 2 and GCSEs will identify trends and issues for disadvantaged pupils, which will be fed back to schools and School Partnership Advisers for action. The Access to Education manager will continue to work with the Brighton and Hove Integrated Support Service team to explore strategies for adopting a city-wide response to the challenge with schools and other agencies.</p> | | | | | |
| To close the gap in educations for identified vulnerable groups in all phases of education (Special Educational Needs and Disabilities, Free School Meals and Black and Minority Ethnic) | Assistant Director Education & Skills | 50 | 31/03/18 | 01/04/17 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|--|------------|-----------------|-----------------|-----------------|
| <p>Comments: Since the beginning of the academic year 2016/17 this is the single biggest priority for the Standards and Achievement Team to reduce the differences in performance for the vulnerable groups of children and young people in the city. The challenge is that the differences in curriculum, assessment and benchmarking for both Key Stage 2 and Key Stage 4 tests means that forecasting results and predicting progress is more difficult than it has ever previously been. There is certainly evidence through the Strategic Board meetings in schools, through Head teacher conferences and events and in data tracking exercises that the schools are monitoring more forensically and prioritising more rigorously the performance of disadvantaged groups. The focus of the first meeting of the Brighton and Hove Strategic Board is planned to be the performance of disadvantaged groups and that an investment of funding will be made available to design and implement a project based intervention. Similarly, the Regional Schools' Commissioner's Office have identified high levels of absence for Key Stage 4 disadvantaged groups in the city which will form the focus for a bid to the Strategic School Improvement Fund (SSIF) for resource to invest in evidence based interventions for the 10 secondary schools across the city. Next steps include attending the meeting at the Regional Schools' Commissioner's Office and work in partnership with schools to prepare a bid to access national school improvement funding, to prepare a presentation for the Brighton and Hove Strategic Board to target areas of underperformance for vulnerable groups and to deliver a governor conference focused on the role of governance on calling schools to account on disadvantaged outcomes. There will also be a BME focused conference to highlight best practice and issues in schools with regard to the performance of BME children and young people</p> | | | | | |
| <p>To develop more effective partnership with schools and other educational providers, providing challenge and support and promoting a school to school model of improvement</p> | <p>Assistant Director Education & Skills</p> | <p>50</p> | <p>31/03/18</p> | <p>01/04/17</p> | <p>31/03/18</p> |
| <p>Comments: There are two strands of work: 1) to develop and strengthen the existing partnerships/clusters; and 2) to engage and consult on the development of a citywide partnership. The model for the Brighton & Hove Education Partnership was discussed at committee recently and it has been agreed to be consulted on. There is also work underway to complete the school to school support model for school leaders and governors.</p> | | | | | |
| <p>Widen post 16 opportunities to enable young people to participate in good quality education and training and gain relevant qualifications to progress in the workplace</p> | <p>Assistant Director Education & Skills</p> | <p>50</p> | <p>31/03/18</p> | <p>01/04/17</p> | <p>31/03/18</p> |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---------------------|------------|----------|------------|----------|
| <p>Comments: Meetings have taken place with Blatchington Mill to review the 6th form provision, following the schools Ofsted visit resulting in a good grade, including the 6th form. Building on the partnership with BIMM (Brighton Institute for Modern Music) and BACA (Brighton Aldridge Community Academy), BIMM have agreed to level 2 provision out of BACA, which they are now promoting. BACA will also be delivering performing arts qualifications from September in partnership with another provider. The new co-ordinator for the Enterprise Adviser Network is attending various groups led by the council, including the Information Advice & Guidance (IAG) group and the Skills Group as part of the City Employment Skills Plan. The post 16 Project Officer continues to support schools with 6th forms in the commissioning and provision of detailed data analysis, to support continued improvement in post 16 provision. Local provision continues to be monitored with new training providers coming into the city. The Information, Advice and Guidance Partnership group meets half termly and continues to invite new and existing providers to explain about new provision. The Youth Employability Service also links to new providers and promotes alternative local provision, particularly the more vulnerable young people in the city. City College and Northbrook have now formally merged to form City MET and work will continue to connect providers with key employers in the city, to ensure provision meets employer needs. This will form part of the work undertaken by the City Employment and Skills action groups. The city has very low levels of NEET (Not in Employment, Education or Training) and very good knowledge of student destinations. Next Steps include the next Information, Advise and Guidance group will have new and existing training providers talking about local provision, and meeting the Information, Advice and Guidance leads from all local schools, the external consultant will continue to work with school 6th forms to support and challenge their provision including their ongoing sustainability. City Employment and Skills Plan action groups to forge links between Employers and training providers to ensure a continued wide range of local provision, to meet skills gaps</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|---|-----------------------|---------------|------------|----------------|------------------|------------------|---------------|----------------------|
| FR DR 01 | Failure to integrate effectively into the Orbis partnership leads to sub-optimal service outcomes through a lack of capacity and financial losses. | Executive Director of Finance & Resources | BHCC Directorate Risk | 06/10/17 | Threat | Treat | Amber L2 x I4 | Amber L2 x I4 | | Revised: Adequate |

Causes

Integration of services may be prevented by a lack of aligned thinking with Surrey and East Sussex County Councils.

Potential Consequence(s)

Unable to meet customer expectations, especially on supporting transformation work council wide.

Unable to meet the council's statutory obligations.

Unable to respond to external changes (eg political, economic, regulatory) in a timely manner.

Spending pressure in budgets by not achieving a return on investment that matches budget assumptions in the MTFS.

Unable to deliver planned future work due to lack of capacity and resilience.

Regulatory compliance less co-ordinated.

Existing Controls

First Line of Defence: Management Controls

Orbis Joint Management Board includes BHCC's Executive Director of Finance & Resources and two B&H councillors, Les Hamilton and Andrew Wealls. There is sufficient representation on Orbis work streams to enable BHCC to act as a founding partner whilst moving to integrated working service by service.

Orbis Customer Board meets regularly to assess progress, provide challenge and ensure consistency of approach.

Project Manager assigned from Corporate Project Management Office.

Regular s151 officer meetings with Orbis on agenda.

B&H Finance team working closely with Surrey and East Sussex to understand and align corporate service budgets.

Second Line of Defence: Corporate Oversight

Regular reports to BHCC Policy Resource & Growth (PR&G) Committee and Orbis Joint Committee to ensure congruency with Council decisions.

Lead Finance member is also member of Joint Orbis Committee.

External Audit are validating business case for integration that includes BHCC.

B&H budget process oversight - Executive Leadership Team (ELT) away days, Leadership Board away days, Leaders Group, Budget Oversight Group.

Third Line of Defence: Independent Assurance

Internal audit review conducted on programme management of integration - positive report, signalling Substantial Assurance.

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|----------|------------|----------|
| Ensure that integration work following decision to progress with Orbis delivers robust services for BHCC. | Executive Director of Finance & Resources | 100 | 31/03/17 | 14/10/16 | 31/03/17 |
| <p>Comments: Risk to be refreshed as current mitigations to get to Inter Authority Agreement (IAA) are broadly complete. IAA targeted was to be signed by May 2017 - this will define how services will be governed. Likely to be joined up leadership from that point, then full budget integration from April 2018 - a more realistic end-date for this action. Progress varies service by service - Audit close to full integration, Property and ICT will take longer.</p> | | | | | |
| Report to October PR & G Committee with recommendation on whether to join Orbis. | Executive Director of Finance & Resources | 100 | 13/10/16 | 21/07/16 | 13/10/16 |
| <p>Comments: In October 2016, PR & G approved that the Council should join the Orbis partnership. Work now focuses on resources to enable transition to Orbis (see new solution on IRM).</p> | | | | | |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|----------|------------|----------|
| Report to Orbis Joint Committee on 16 October 2017 with draft 3 year business plan; report to 19 January 2018 meeting with final plan. | Executive Director of Finance & Resources | 75 | 19/01/18 | 22/07/17 | 19/01/18 |
| <p>Comments: Update on Orbis business plans will be ready for the January 2018 PR & G Committee - first cut completed in time for Orbis Leadership Community away day on 30 September 2017. Draft plan to Joint Committee on 16 October.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|------------|---|---|-----------------------|---------------|------------|----------------|----------------|------------------|---------------|-------------------|
| HASC DR 01 | Delivery of statutory services is impacted by a reduction in public sector funding and increasing demand and complexity | Assistant Director Adult Social Care Head of Performance Business Improvement & Modernisation Public Health Business Manager Acting Head of Public Health Research and Analysis Acting Director Public Health | BHCC Directorate Risk | 05/10/17 | Threat | Treat | Red L4 x I4 | Amber L3 x I4 | | Revised: Adequate |

Causes

Link to Directorate Objective 4: Integrate available resources to deliver value for money and better outcomes for our diverse population
 General reduction of public sector funding and increasing complexity of demand in adult social care affects delivery of statutory services in the Directorate. It has been offset in 16/17 and 17/18 by the social care precept and improved Better Care Fund in 17/18 which has assisted in meeting service pressures and deliver a balanced budget 16/17.
 However there remain residual risks as a result of a demand led service and other financial challenges linked to:
 Reductions in public health grant level and the requirement to meet Council savings targets
 Focus on increased fee rates to support living wage and local market conditions
 Significant financial risk attached to delivering work to meet requirements to manage Deprivation of Liberty Safeguards (DoLs) for clients lacking capacity. Insufficient appropriate accommodation in the city to meet those who might require supported accommodation, this could be within the private or local authority provision. There is also an issue in trying to move those people in supported accommodation into main stream accommodation.

Potential Consequence(s)

- *Insufficient community care budget to meet statutory duties through the eligibility criteria.
- *Public health outcomes affected
- *Provider goes out of business which impacts on council's ability to deliver statutory duties
- *Services for customers may reduce or change however we will need to meet our statutory duties
- *Contract arrangements rationalisation
- *Lack of social work capacity to undertake statutory duties
- *Community DoLs (reviewed by the Court of Protection) are facilitated by Adult Social Care which involves officer time and financial resources

Existing Controls

First Line of Defence - Management Controls:

1. Scheme of delegation in place to approve Care Plan spend
2. Major service redesign programmes in Adult Services are in place with the aim of delivering the services four year savings targets.
3. HASC Modernisation Board receive update reports on budget and programmes
4. DoLs Governance Group monitors demand and reports to Directorate Management Team (DMT)
5. Closely monitored at DMT as part of 4 year Plan developed for Directorate
6. Targeted Budget Management (TBM) reports monthly at DMT
7. All service plan spends signed off and monitored by DMT

Second Line of Defence - Corporate Oversight:

1. Corporate Modernisation Board receive update reports on budget and programmes
2. Executive Leadership Team (ELT) budget discussions on TBM
3. Policy, Resources & Growth (PR&G) Committee receive TBM updates regularly and then for information to Audit & Standards Committee
4. Executive Director (ED) HASC reports to Chief Executive

Third Line of Defence - Independent Assurance

1. Independent external benchmarking with comparator authorities in terms of unit cost and spend
2. External Auditors Use of Resources Opinion
3. Annual returns to Department of Health (DoH) regarding public health spend against mandated and non-mandated services, confirming all ring fenced grant has been appropriately spent on public health activities. Last submitted September 2017.

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|--------------------------------|-------------------|-----------------|-------------------|-----------------|
| Public Health redesign or stop service delivery as public health contracts expire | Public Health Business Manager | 80 | 30/03/18 | 01/09/15 | 30/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|-----------------|-----------------|-----------------|
| <p>Comments: All contracts are under review to ensure optimum value for money and effectiveness, starting from 2015 running through to 2020. Several large contracts have been reprocured at a lower cost and this work is on-going, for example, the Integrated Sexual Health Service is being redesigned to save £600k per year from 2018; the Weight management service has been reviewed and the Tier 2 element is currently being reprocured with a planned start date of April 2018, saving £106k. Young people's services are currently under review with a view to procure redesigned services from 2018. Negotiations are continuing around potential savings from the substance misuse contract. Other work will be developed as contracts are reviewed.</p> | | | | | |
| <p>Review of current Scheme of Delegation to be signed off by Assistant Directors (AD) Mgt Team</p> | <p>Assistant Director Adult Social Care</p> | <p>80</p> | <p>30/11/17</p> | <p>31/01/17</p> | <p>30/11/17</p> |
| <p>Comments: Report drafted. Some changes to levels of delegated financial responsibility signed off by Executive Directors HASC & FCL, e.g. over £2k per week spend delegated to Assistant Directors</p> | | | | | |
| <p>To review and update the scope and content of the Joint Strategic Needs Assessment, updating this on an annual basis, including new data sources as they become available (including the outputs of the planned work around predictive modelling)</p> | <p>Acting Head of Public Health Research and Analysis</p> | <p>20</p> | <p>28/09/18</p> | <p>03/07/17</p> | <p>28/09/18</p> |
| <p>Comments: Update October 17: Initial review conducted and reported to Health and Wellbeing Board in July 2017. 2017 Summary launched in July 2017. Development plan now underway. Update April 17 : Cat Harwood- Smith has undertaken early work on Predictive Analysis to model demand over 5- 10 years. Kate Gilchrist will consider as part of the 'Plan on a Page' document produced by the CCG. However, there is no shared technological database which would need development</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|------------|---|---|-----------------------|---------------|------------|----------------|----------------|----------------|---------------|-----------------------|
| HASC DR 03 | Market capacity of Adult Social Care providers limits delivery (DP 1.4.2.6) | Interim Head of Adult Social Care Commissioning Executive Director Health and Adult Social Care | BHCC Directorate Risk | 05/10/17 | Threat | Treat | Red L4 x I4 | Red L4 x I4 | | Revised: Uncertain |

Causes

Link to Directorate Plan Action 1.4.2.6 relating to Directorate Objective 2: Improve health and wellbeing, and reduce inequalities, through promoting a range of preventative actions
 Pressure resulting from the Care Act, and from acute services to free up hospital beds places more reliance on HASC Commissioning but there is a limited market and reduced rates to attract providers. Living Wage requirements have necessitated a review of fees paid to providers. This has been factored into the HASC budget. Shortage of nursing home provision for people with dementia. There is a risk of failure of an established provider or a provider exiting the market.

Potential Consequence(s)

Changing pressures not always matched by provider capacity
 Quality of services affected
 Increased financial pressures in relation to fees to providers (supply & demand)
 Increased resource requirement to manage change and provide quality assurance
 Impact on Better Care Fund targets for council performance in placing adults in accommodation post hospital
 Relationships with partners affected
 People who have dementia and nursing needs may be placed out of city.

Existing Controls

First Line of Defence - Management Controls

Work with Clinical Commissioning Group (CCG) to reduce the demand on service provision

Commissioners consider provider pressures when setting fees for care rates annually, approved by Members

Represented on Assistant and Directors of Adult Social Services (ADASS) regional group incl. East and West Sussex and Surrey re. more strategic marketing planning for all client group

Market Position Statement at BHCC exists, then to be refreshed in Oct 18 to include CCG

Use of Improved Better Care Fund to support market diversification to address lack of capacity in certain provision

Second Line of Defence - Corporate Oversight

Adult Social Care Modernisation Board receive progress monitoring reports on Market Plan

Better Care Fund Steering Group

Interim Shadow Governance arrangements for 2018/9

Third Line of Defence - Independent Assurance

Department of Health, NHS England, Department for Communities & Local Government (DCLG) and ADASS

Reason for uncertainty: There is ongoing fragility in the care market (both for care homes and for home care providers.) Some care home providers are retiring, as their smaller care homes may not be economically viable. The providers entering the market more recently have been big corporate providers, and they aim their services at people who are self-funding (rather than people who are funded by the Local Authority at lower rates). The home care market has also changed significantly, with providers exiting the market. Providers have on going issues with securing a well trained workforce. The annual fee setting process has and will continue to help stabilise the market, where smaller local providers are still operating. The increased fee levels to care homes will also help to stabilise the market.

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|-------------|---------------------|------------|----------|------------|----------|
|-------------|---------------------|------------|----------|------------|----------|

| | | | | | |
|---|---|----|----------|----------|----------|
| Establish monitoring arrangements, including electronic monitoring for the home care contract | Interim Head of Adult Social Care Commissioning | 75 | 31/03/18 | 05/09/16 | 31/03/18 |
|---|---|----|----------|----------|----------|

Comments: October 17 Update - New home care contract commenced on time 5th Sept 16 with Interim solution arranged for electronic monitoring of the home care contract until selection of this new and current Call monitoring system. Take up of call monitoring system will be monitored

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|----------|------------|----------|
| Further development of home care capacity through increased take up on the Dynamic Purchasing System (DPS) to extend home care provider capacity | Interim Head of Adult Social Care Commissioning | 50 | 31/03/18 | 01/04/17 | 31/03/18 |
| Comments: DPS is in operation, but further work to extend to home care providers is in progress | | | | | |
| Implementation of a Joint Market Positioning Statement Plan and Commissioning Plan with the Clinical Commissioning Group (CCG) | Interim Head of Adult Social Care Commissioning | 25 | 31/03/18 | 01/04/17 | 31/03/18 |
| Comments: There are 2 strands: 1) CCG colleagues involved and working in partnership on the Market Plan. A new Care Home Programme and a Home Care Programme approach is being implemented to ensure the market is supported through ASC & CCG working in a more integrated way. Working groups have been formed to take actions forward. This links with the CCG plans to improve hospital discharge arrangements; and 2) On going discussions with ADASS on a regional basis / E Sussex, W Sussex/ Surrey with regard to more strategic market planning for all client groups, particularly in relation to service users with a learning disability. Work remains ongoing. | | | | | |
| Integrated provider market management to manage quality and cost of provisions, e.g. single approach to procurement of care packages between CCG and BHCC | Interim Head of Adult Social Care Commissioning | 10 | 31/03/18 | 18/10/17 | 31/03/18 |
| Comments: Oct 17 - This work is at an early stage | | | | | |
| Supporting market diversification through the use of the Improved Better Care Fund to Support development of capacity | Interim Head of Adult Social Care Commissioning | 10 | 31/03/18 | 01/04/17 | 31/03/18 |

49

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---------------------|------------|----------|------------|----------|
| <p>Comments: Sept 16: A care home programme/ and now a home care programme has been established jointly with the CCG. This will enable a more consistent approach to developing and sustaining the care market, and will help to address capacity & workforce issues. This will be monitored at the Better Care Board/ Modernisation Board. Results to be reviewed at the Integrated Care Board in Mar 17.</p> <p>July 16: A care home programme has been developed and will be monitored at the Better Care Board/ Modernisation Board.</p> <p>Mar 16 update: subject to approval by the Better Care Board in April 2016, arrangements to regularly monitor progress against the care home Programme Approach ('a Market Plan) will be formalised.</p> <p>Jan 16 update Providers & CCG colleagues have worked on a market plan for care homes. This has included asking providers for information about the cost of their services. This has helped to inform the modelling of fees paid to providers which has included the Living Wage. This will help market stability and enable quality services to be delivered. A report will be presented to Heath & Wellbeing Board Feb 16.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|------------|---|--|-----------------------|---------------|------------|----------------|----------------|------------------|---------------|-------------------|
| HASC DR 11 | Technology not in place to enable modern working practice and effective delivery (DP 1.4.6.2) | Head of Performance Business Improvement & Modernisation | BHCC Directorate Risk | 05/10/17 | Threat | Treat | Red L4 x I5 | Amber L3 x I4 | | Revised: Adequate |

Causes

Link to Directorate Objective 6: Deliver high quality intelligence to support the council, the Health and Wellbeing Board and other partners
Need for a coherent and complimentary set of tools across HASC that maximise efficiency and provide data required to measure performance and anticipate demand.

Unstable/outdated systems represent a risk to integrity of data and Business as Usual (BAU) operations

CareFirst - The ability of the system and internal and external providers to respond to the volume and pace of changes are critical to service redesign and ability to implement change.

Lack of access to mobile technology would impair modernisation and efficiency of services.

Integrated working requires integrated systems and data to aide information sharing, system modelling, evaluation and demand mapping across the system.

Robust and accessible data needed to support decision making.

Potential Consequence(s)

Delay in the delivery of an enhanced IT capability will jeopardise four year savings plans

Loss of data/interruption to service and impact on business continuity

Impact on overall efficiency of HASC and agility of social care workforce

Inability to share data with partners due to systems and Information Governance restrictions impacts on the effectiveness of integrated working

Lack of accurate demand data across Health & Social Care system impacts on effectiveness of Caring Together implementation

Funders lack confidence to invest in Spend to Save initiatives due to lack of robust evidence

Unable to prioritise and make effective decisions without sufficient evidence base

Existing Controls

First line of Defence - Management Controls:

HASC Technology Board overseeing technological developments across HASC

Dedicated Digital First Product Manager working with Head of Performance, Business Improvement and Modernisation to prioritise and deliver digital improvement work

Whole Systems Reporting group (HASC/CCG) exploring options for integrating data and developing Integrated Performance Framework for Caring Together. Need for integrated data support by CCG/BHCC Integration Board

Second Line of Defence: Corporate Oversight:

Digital First Board

Tech and Digital Oversight Board

Corporate Modernisation and Development Board

ELT oversight of Strategic Register SR18

Policy, Resource & Growth (PR&G) Committee

Third line of defence:

None

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|------------|----------|------------|----------|
| Accelerate ICT's programme to investigate re-procurement of the Carefirst system | Executive Director Health and Adult Social Care | 75 | 31/10/17 | 01/06/17 | 31/10/17 |
| <p>Comments: Update October 2017 Board now up and running to look at replacement of CareFirst system. Programme Manager from Corporate Programme Management Office (CPMO) in place to support project, SRO is Executive Director Finance & Resources. 2 year pricing plan for extending current contract with OLM from 1/4/18 received and being reviewed by legal and procurement. Policy Resources and Growth report going to 12 October 2017 committee requesting estimated £2.5m funding to resource project and procure new system</p> | | | | | |
| Enquiry Channel shift | Assistant Director Adult Social Care | 75 | 31/03/18 | 01/04/17 | 31/03/18 |
| <p>Comments: Update October 2017 - Access Point Professionals area now live to enable structured referrals in to Access Point from professionals</p> | | | | | |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|--|------------|----------|------------|----------|
| HASC Technology Board highlighting and prioritising replacement solutions for unstable/inappropriate systems | Head of Performance Business Improvement & Modernisation | 50 | 31/03/19 | 01/04/17 | 31/03/19 |
| <p>Comments: Update October 2017 - HASC technology board established Spring 2017. Ensuring a coordinated approach to HASC technological developments. Overseeing key improvements e.g. Developing integrated data tool to replace Service Improvement Panel document (nearly complete) Due to scope replacement for Care Matching Access database</p> | | | | | |
| Improve provision of Information and Advice across all channels | Head of Performance Business Improvement & Modernisation | 50 | 31/03/18 | 01/04/17 | 31/03/18 |
| <p>Comments: October 17 update: Info Manager to be recruited November 2017. Digital First product manager working with Access Point to improve accessibility and readability of self-assessment tools</p> | | | | | |
| Integrating Health and Care data to inform system redesign, evaluation of new initiatives and identification of cost savings/avoidance opportunities | Head of Performance Business Improvement & Modernisation | 50 | 31/03/18 | 03/10/17 | 31/03/18 |
| <p>Comments: Update October 2017- Whole Systems Reporting group developing business case for integrating datasets. Advice sought on overcoming Information Governance, technical hurdles from systems supplier and STP Digital Programme Director and IG leads. Approval granted in principle to fund resources required at Integration Board (27/9/17). Further detailed proposal being worked up jointly by CCG/BHCC colleagues</p> | | | | | |
| Overcoming barriers to rollout of mobile working in HASC | Head of Performance Business Improvement & Modernisation | 10 | 31/03/18 | 01/04/17 | 31/03/18 |
| <p>Comments: Update October 2017 Digital first shadowed HASC and FCL social work staff and concluded that Smartphones would be useful but additional benefits from tablets would not be universal. Further rollout of mobile devices dependent on Mobile Device Management availability</p> | | | | | |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|--|------------|----------|------------|----------|
| Use predictive tools to develop a more proactive approach to management of safety, quality and risk | Head of Performance Business Improvement & Modernisation | 25 | 30/09/18 | 01/04/17 | 30/09/18 |
| <p>Comments: Update October 17 - Early pilot of Business Objects Predictive Analytics underway exploring risk of admission to long term care. Stakeholder meeting October to review insights and plan actions. Provider Portal database integrating data on providers from multiple sources to create a 360 view of provider performance to better inform management of risk and provider failure.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|--|--------------------------|---------------|------------|----------------|------------------|------------------|---------------|----------------------|
| NCH DR 01 | Digital systems do not improve the Customer experience | Executive Director Neighbourhoods, Communities & Housing Head of Income, Involvement and Improvement Head of Libraries | BHCC Directorate Risk | 12/10/17 | Threat | Treat | Amber L3 x I3 | Amber L3 x I3 | | Revised: Adequate |

Causes

Link to Directorate Objective 1: Understanding the diversity of our customers and putting them at the heart of our services
 Digital First is a complex £6M programme delivering service transformation through new digital services to numerous stakeholders.
 Lack of understanding across the organisation of the Digital First programme objectives and potential
 Effective new digital services will be reflected in customer feedback
 Less resource and personnel to deliver services requires better digital services and ICT equipment to support modern working
 Organisation unable to adapt at pace to new ways of working
 Insufficient pace of delivery from ICT to provide some foundations for digital services eg mobile working platform

Potential Consequence(s)

- * Some (15%) customers unable to access digital services due to digital exclusion
- * Customer Feedback performance indicators relating to all customer facing transactions
- * Impact on delivery of services, some to meet statutory duties
- * Staff performance affected if not supported by digital inclusion to help adopt new ways of working

Existing Controls

First Line of Defence: Management Controls

Monthly review of complaints across Regulatory Services is done by each Service Manager at the end of each month

Review of Customer Access and Complaints in Housing Service

Monitoring of Mears contract & effectiveness of digital systems for housing repairs and maintenance

In Libraries - new Libraries plan has actions and performance measures to monitor effectiveness of digital development

Mendix software for Regulatory Services improves customer digital access, no complaints received

Second Line of Defence: Corporate Oversight

Housing ICT Board assessing issues arising on Housing systems, e.g. Locator, OHMS

Third Line of Defence: Independent Assurance

BSI Accredited inspection of Regulatory Services inspection processes due 9 Oct 17

Housing Ombudsman

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|-----------------|-----------------|-----------------|
| <p>Communities, Equalities and Third Sector: Online volunteering platform being introduced, improving community grants application process and working with Third Sector groups to enhance their online presence</p> <p>Comments: Digital Product Manager focusing on CET effective September 17. Early investigations of what is needed by customers has started and partnering with Digital Brighton & Hove inclusion programme to help Third Sector agencies get on line.</p> | <p>Head of Communities, Equalities & Third Sector</p> | <p>20</p> | <p>31/03/19</p> | <p>13/10/17</p> | <p>31/03/19</p> |
| <p>Housing: Transform services for customers online including new introduction of new housing management system and transaction online. Managed through Digital First timeline</p> <p>Comments: Digital Product Manager appointed in June 17 to guide service heads through transformation and identify customer facing transactions that can move online</p> | <p>Head of Income, Involvement and Improvement</p> | <p>15</p> | <p>31/03/19</p> | <p>13/10/17</p> | <p>31/03/19</p> |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|--|------------|----------|------------|----------|
| Libraries: Move conference booking online and flexible working for staff | Head of Libraries | 5 | 31/03/19 | 13/10/17 | 31/03/19 |
| Comments: Early discussions started | | | | | |
| Regulatory services: Supporting the Field officer role with mobile solutions and introducing commercial online booking for pest control | Executive Director Neighbourhoods, Communities & Housing | 40 | 31/03/19 | 13/10/17 | 31/03/19 |
| Comments: Investigation into mobile access to systems and using tablets in the field on going. Work to make commercial pest control bookings online links to financial services improvements | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|--|-----------------------|---------------|------------|----------------|--|--|---------------|-------------------|
| NCH DR 02 | Lack of financial stability to enable directorate service delivery | Assistant Director Housing Environmental Health Manager Executive Director Neighbourhoods, Communities & Housing | BHCC Directorate Risk | 12/10/17 | Threat | Treat |  L4 x I4 |  L3 x I3 | | Revised: Adequate |

Causes

Link to Directorate Objective 3: Ensuring resilient and responsive services in a time of change and uncertainty

Diminishing budgets from 2017/18 and increased demand requires:

- * Clarity and realism about Directorate assets and current income streams
- * Response to HM Government direction e.g. impact of statute and regulation on Housing Revenue Account (HRA) ring fenced self-funding budget (rent reduction, high value voids), Homeless reduction Act, Welfare Reform, Universal Credit, Fire Health and safety across the city resulting from Grenfell tower tragedy
- * Temporary Accommodation remains a critical budget due to supply and demand pressures

Potential Consequence(s)

- * Adverse effect on HRA i.e. less money to invest in existing stock and homes, without reduction in service levels
- * Income streams could be increased but may be unpopular
- * Budget position could result in unplanned changes
- * Impact on current HRA business plan and investment to respond to any further implementation by HM Govt relating to assets and income
- * Service delivery impact on customers and stakeholders

Existing Controls

First Line of Defence: Management Controls

HRA financial model and Business Plan sets out income generation levels from existing HRA assets & available financing to develop new assets to inform the future Investment Strategy

Monthly monitoring of TBM at reported to ELT and Leadership Board

Significant areas of demand and budget pressures in Temporary Accommodation have detailed recovery plans which are are monitored at DMT

Ongoing 2017/18 budget pressures are included in the budget strategy to ensure they are recognised going forward

Housing Management Asset Strategy approved for next 30 years by Policy & Resource (P&R) Committee in March 2016. Asset Management Review agreed at Housing & New Homes Ctte in September 2017 focused on safety following Grenfell Tower tragedy.

Deliver a modernisation programme that includes streamlining of Enforcement activities

Second Line of Defence: Corporate Oversight

Directorate Management Team (DMT), Executive Leadership Team (ELT) Leadership Board and Policy Resources & Growth (PR&G) Committee oversee budget position

Routine reporting and progress reported to Modernisation Board and City Neighbourhoods, Community Collaboration and Joint Enforcement Board

Regular reports to Housing & New Homes Committee; and Area Panels

In 16/17 financial year have presented to ELT and Members on significant areas of demand and budget pressure, e.g. Temporary Accommodation

Corporate Modernisation Board oversee progress of Business Process Improvement (BPI) programme on Temporary Accommodation

Third Line of Defence: Independent Assurance

External Audit; including external audit opinion on VfM

s151 officer's interaction with government

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|------------------------------|-------------------|-----------------|-------------------|-----------------|
| Deliver a modernisation programme that includes streamlining of Enforcement activities | Environmental Health Manager | 50 | 31/03/18 | 01/04/16 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|-----------------------------------|------------|-----------------|-----------------|-----------------|
| <p>Comments: Work to develop a model of delivering enforcement and inspection was undertaken as a modernisation programme which is reported to Corporate Modernisation Delivery Board (CMDDB) and the Modernisation Members Oversight Group. The initial review for delivery of enforcement and inspections across services was reported to the Neighbourhoods Communities and Equalities Committee (NICE) in July 2016, to include proposals for a new Field Officer role. Further work and consultation was undertaken with staff and unions and councillors for a new Field Officer role as part of the wider Neighbourhoods and Communities Portfolio to put communities at the heart of service delivery, make effective use of resources and support the delivery of savings. The Business Case for the field officer element of the portfolio went to the Corporate Modernisation Delivery Board (CMDDB) on 27 Sept 2017 and was given unanimous approval to proceed to Leadership Board, and then for decision at the NICE Committee on 27 November 2017.</p> | | | | | |
| <p>Potential changes HRA capital programme following HRA Asset Management Strategy review to be consulted upon and included in future HRA capital investment programme</p> | <p>Assistant Director Housing</p> | <p>10</p> | <p>31/03/18</p> | <p>20/09/17</p> | <p>31/03/18</p> |
| <p>Comments: Work to consider the potential changes to HRA capital programme has just started but is in progress.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|--|-----------------------|---------------|------------|----------------|------------------|------------------|---------------|-------------------|
| NCH DR 03 | Unable to meet legislative duties in service delivery, direct or through contractors | Head of Housing Strategy / Private Sector Housing Executive Director Neighbourhoods, Communities & Housing | BHCC Directorate Risk | 12/10/17 | Threat | Treat | Amber L3 x I3 | Amber L3 x I3 | | Revised: Adequate |

Causes

Link to Directorate Objective 3: Ensuring resilient and responsive services in a time of change and uncertainty
The Directorate has a number of statutory duties to fulfil, including a duty to consult with stakeholders. It seeks to ensure effective sustainable safe services for customers and to protect the environment of the city for visitors and all stakeholders. This includes Health & Safety legislation and meeting requirements of the Civil Contingencies Act (Emergency Planning and Business Continuity). A range of 'front line' services are delivered, often through contract management arrangements.
In addition, in relation to residents of council homes Housing Revenue Account Asset Management strategy and strategic capital investment programme prioritises Investing in homes and neighbourhoods to provide safe good quality housing. Programmes are provisional only and subject to amendment if circumstances, priorities or budget availability change.
Ability to prevent risk is reduced with diminishing budgets. loss of experienced staff and inexperience of alternative service delivery models.

Potential Consequence(s)

People, including vulnerable clients, exposed to injury or death.
Residents, visitors, contractors or council staff exposed to unacceptable risk.
Failure to meet legislative or performance management requirements may result in court cases/fines (significant in relation to Corporate Manslaughter given new Sentencing Guidelines)
If property damages occurs, disruption of service delivery affects customers/users and staff
If business continuity arrangements not effective increased financial loss and ability to restore to pre-event levels
Failure to meet strategic objectives including: Housing Strategy - Improving Housing Quality; Housing Revenue Account Asset Management Strategy - provide safe good quality housing.

Existing Controls

First Line of Defence: Management Controls

Utilise internal audit process and outcome of independent review and respond to audit / review recommendations as agreed as part of regular Client/Contractor meetings between Council and Repairs & Improvement contractor (Mears) and other contractors.

Regular Housing Fire and Health & Safety Board in partnership with East Sussex Fire & Rescue and Corporate Health & Safety team instigates process reviews around Fire Safety, Asbestos; CDM Regs; Hoarders initiative.

Housing Revenue Account Strategic Capital Investment programme - four year capital plan proposals includes fire safety and asbestos management and other health & safety works.

Private Sector Housing licence 3000 Houses in Multiple Occupation (HMOs) and use triage system to check and health and safety and other arrangements. Further proposals to extend discretionary licensing of private rented homes to widen improvement of management and standards will be considered at Housing & New Homes Committee in November 2017.

Business Continuity Plans are submitted to and receive overview from the Emergencies & Resilience Team who arrange table top testing

Emergencies & Resilience Team attend all DMTs quarterly to provide a report on assessment of Directorate services' business continuity plans.

Implement Internal Audit recommendations on Housing Repairs & Improvement Partnership and other elements of housing capital programme and non-Mears contracts. Independent Review undertaken by consultants. Intial draft findings shared with key ELT & CMT members. Final report expected Nov / Dec 2017.

Second Line of Defence: Corporate Oversight

Reports to Housing and New Homes Committee

Corporate Health & Safety Committee receive reports on H&S Audits conducted by corporate Health & Safety team

Audit & Standards Committee - reports from Internal Audit

Third Line of Defence

Health & Safety Executive

Homes & Communities Agency (HCA) Customer Standard, inspections as and when

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|-------------------|-----------------|-------------------|-----------------|
| Further proposals to extend discretionary licensing of private rented homes to widen improvement of management and standards will be considered at Housing & New Homes Committee in November 2017. | Head of Housing Strategy / Private Sector Housing | 50 | 31/03/18 | 13/10/17 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|--|------------|-----------------|-----------------|-----------------|
| <p>Comments: November 2017 Housing & New Homes Committee will be asked to notes the results of the consultation undertaken in relation to the proposed PRS licensing schemes (Additional Licensing Scheme for smaller HMOs city-wide / Selective licensing of all PRS dwellings across a number of wards), agree a fee structure for the licensing schemes and agree the licensing scheme conditions and standards.</p> | | | | | |
| <p>If the Additional Licensing Scheme is approved, it is proposed that the designation will come into force, following statutory notification requirements, on 1 March 2018 for a period of five years.</p> | | | | | |
| <p>If the Selective Licensing Scheme is approved, it is proposed that permission is then sought from the Secretary of State to proceed. If approval is given, statutory notification requirements will need to be followed.</p> | | | | | |
| <p>NCH Directorate Plan - work with contractors to review service standards and contracts to ensure all tenants receive the best responsive and planned repairs service, including independent review of the repairs and improvement contract.</p> | <p>Head of Housing Strategy / Private Sector Housing</p> | <p>50</p> | <p>31/03/18</p> | <p>01/04/17</p> | <p>31/03/18</p> |
| <p>Comments: Scope of audit complete. Commissioning and initiation of review being finalised. Regular reporting against both NCH Directorate Plan and Housing Service Plan. Regular update requested by Housing & New Homes Committee.</p> | | | | | |
| <p>Independent Review undertaken by consultants (31Ten). Initial draft findings shared with key ELT & CMT members and will inform briefing to November ELT on considerations /options for re-procurement of the Repairs & Improvement Contract. Final report expected Nov / Dec 2017.</p> | | | | | |
| <p>Regular contract and senior management meetings, review and monitoring with current Repairs and Improvement Contractor (Mears) continue as part of regular contract management arrangements.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|------------------------------------|---|-----------------------|---------------|------------|----------------|------------------|------------------|---------------|-------------------|
| NCH DR 04 | Unable to manage increasing demand | Environmental Health Manager Executive Director Neighbourhoods, Communities & Housing Head of Housing Strategy / Private Sector Housing Head of Income, Involvement and Improvement Head of Community Safety Head of Temporary Accommodation & Allocations Assistant Director Housing | BHCC Directorate Risk | 12/10/17 | Threat | Treat | Amber L4 x I3 | Amber L3 x I3 | | Revised: Adequate |

Causes

Link to Directorate Objective 3: Ensuring resilient and responsive services in a time of change and uncertainty

Demand for services increases

More statutory duties

Less capacity, budgets and people, to deliver services

Less capacity to develop partnership work to make improvements

Potential Consequence(s)

Breach of statutory duty

Litigation/Fines

Customer satisfaction reduces

Planning for service delivery diverted

Reputational impact

Existing Controls

First Line of Defence: Management Controls

Deliver and review business canvass models for each service and mapping resources, service delivery and changes for the future

Routine review and stress testing of 3 year budget plans to ensure resources in place to deliver service and meet demand

Three year Directorate Plan

Service Delivery Plans

Quarterly Performance Boards for each service area

Ongoing programme of one to ones and Personal Development Plans (PDPs) with staff to understand and respond to performance and service delivery issues

Utilise internal audit process and respond to audit recommendations as agreed

Second Line of Defence: Corporate Overview

Budget management process and overview at DMT, ELT and Policy, Resources & Growth Committee

Third Line of Defence: Independent Assurance

Internal Audit - Business Continuity May 2017, substantial assurance.

2016/17 achieved funding from Department for Communities and Local Government (DCLG) Homeless Prevention Trailblazer Grant for 2 years to upstream prevention and so manage demand by building resilience within households at risk of becoming homeless. Data collection requirements being finalised by DCLG which will monitor success of pilots.

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|--|------------|----------|------------|----------|
| Deliver Business Continuity Modernisation Plan and deliver Internal Audit recommendations | Environmental Health Manager | 90 | 31/12/17 | 31/07/16 | 31/12/17 |
| <p>Comments: Internal Audit on Business Continuity delivered 31 March 2017. As initial audit limited assurance further internal audit undertaken and delivered decision of substantial assurance Emergency Planning and Resilience Modernisation Programme to be completed by December 2017</p> | | | | | |
| NCH restructure reviewing resource, service delivery and demand | Executive Director Neighbourhoods, Communities & Housing | 10 | 31/03/18 | 02/10/17 | 31/03/18 |
| <p>Comments: Consultation stage has begun</p> | | | | | |
| Performance boards for each service area commencing October 2017 | Executive Director Neighbourhoods, Communities & Housing | 10 | 31/03/19 | 02/10/17 | 31/03/19 |
| <p>Comments: Each service has a Performance Board which is overseen by the Executive Director, Neighbourhood, Communities and Housing.</p> | | | | | |
| Services to assess the likely possibility of increased demand. This is to be discussed at DMT and taken account of in service plans | Head of Temporary Accommodation & Allocations | 25 | 31/03/19 | 09/01/17 | 31/03/19 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---------------------|------------|----------|------------|----------|
| <p>Comments: Recruiting to posts funded by Trailblazer grant and then will be able to roll out the project. Recruitment has taken longer than anticipated due to vacancy controls.</p> <p>Staff now recruited to and starting to deliver. Housing Needs service redesign reviewed as part of on-going change management to move focus to earlier intervention and prevention and align with lessons learned from trailbazer. Awaiting enactment of Homeless Reduction Act anticipated in the Autumn 2017 which places additional duties on the local authority - some of which will be in line with work underway in the railblazer, but other duties are providing accommodation to additional households where we cannot prevent homelessness. Government funding is anticipated to assist with meeting the additional duties.</p> <p>Update October 2017: All posts recruited for Trailblazer and in post and delivering. Over 40 workshops facilitated for schools and communities highlighting early prevention, an additional 110 households seen as part of this project and 59 prevented from becoming homeless. Homeless Reduction Act enacted from April 2018 and training planned in for staff. Developing a resources plan given the amount of additional demand anticipated through the additional duties for the local authority – a new IT system and Universal credit impact.</p> <p>We are also about to replace the IT system for Housing options/ homelessness and Homemove - introducing new software from April 2018. In addition there is the risk of increased demand through universal Credit roll out which is likely to become an issue in 18/19.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|---|---|-----------------------|---------------|------------|----------------|----------------|------------------|---------------|-------------------|
| NCH DR 05 | Capacity to address Serious Crimes that cause the most harm is reducing | Head of Community Safety Violence Against Women & Girls Commissioner Executive Director Neighbourhoods, Communities & Housing Community Safety Manager (Hate Crime & Prevent) | BHCC Directorate Risk | 12/10/17 | Threat | Treat | Red L4 x I4 | Amber L4 x I3 | | Revised: Adequate |

Causes
Link to Directorate Objective 4: Effective use of prevention in all services
Diminishing capacity to develop partnership work to prevent crime or support victims due to reductions in funding against a background of increasing demand and risk particularly in relation to Domestic Violence (DV), Sexual Violence (SV), CSE (Child Sexual Exploitation), hate crimes and incidents and preventing radicalisation

Potential Consequence(s)
If serious offences that cause the most harm are not addressed demand on services supporting victims or demand created around safeguarding is impacted. This is in addition to the personal impact on victims/offenders families and peer groups
The potential for radicalisation has been realised in the city with five young people travelling to Syria where three have been killed

Existing Controls

First Line of Defence: Management Controls

New Community Safety Strategy now in place (from April 2017) which prioritises crimes which cause the most harm and has action plans in place to address work we can do in partnership to impact on levels of crime

Increased resources from Home Office for Prevent work enabling an increase in capacity.

Revised commissioning for DVSV support services with funding from prevention being used to fund front line service provision for high risk cases.

Commissioned analysis from police of all violent crime to understand and make recommendations on how to manage increased reporting of incidents in relation to the night time economy. There is also now a new priority in place within the Community Safety Strategy with an action plan in relation to managing the Night Time Economy.

Second Line of Defence: Corporate Oversight

The Safe in the City Partnership Board (Chaired by BHCC Chief Executive Officer 'CEO') manages performance and holds stakeholders to account in relation to crime reduction and community safety. This is a statutory requirement. The NICE Committee receive regular updates on performance in relation to crime and disorder.

Third Line of Defence: Independent Assurance

Performance in relation to community safety and crime is monitored by the Police and Crime Commissioner's Office.

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|------------|----------|------------|----------|
| The Prevent Action Plan which seeks to ensure that individuals are not at risk of being drawn into terrorism and that communities are resilient to criminal radicalisation is managed by the Prevent Officer and overseen by the Prevent Board which holds key stakeholders to account (Chaired by the BHCC CEO) | Community Safety Manager (Hate Crime & Prevent) | 50 | 31/03/19 | 01/04/16 | 31/03/19 |
| Comments: Update Oct 17 - Prevent: The number of cases where people are coming to attention in relation to being drawn into radicalisation has reduced. | | | | | |
| Update July 17 Channel Panel continues to be the mechanism by which we identify and manage risk of radicalisation for individuals coming to attention. | | | | | |
| Postholder has mechanisms in place via an action plan overseen by the Prevent Board chaired by the CEO. Cases where individuals are of concern in relation to radicalisation are managed through the Channel Panel which is Chaired by FCL and now supported by an officer within community safety. | | | | | |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|--------------------------|------------|----------|------------|----------|
| <p>Work with commissioned service that supports victims of Domestic violence / Sexual Violence to manage demand more effectively and reduce time taken for medium risk victims to receive support (currently 5 weeks)</p> | Head of Community Safety | 50 | 30/09/17 | 03/04/17 | 30/09/17 |
| <p>Comments: Oct 17 - Domestic Violence: reported incidents remain at a very high level. RISE does not have capacity to meet the support demands of victims. This is being addressed partly by a business process improvement initiative which is will draw further funding or reduce demand by providing support to victims from FCL, ASC and Housing. Victim Support will also manage more cases directly. July17 Workshop took place to look at way to manage medium risk victims more effectively. This will lead to implementation of a revised triage system that will better assess risk and vulnerability.</p> <p>Meeting with commissioned service to support them to triage cases more effectively to manage demand more effectively. Performance is monitored by the commissioner and evidenced by the commissioned service as part of contract monitoring. Contract negotiations will commence in 2018.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|--|-----------------------|---------------|------------|----------------|------------------|------------------|---------------|-------------------|
| NCH DR 06 | Government Policy prevents delivery of the Corporate Plan | Head of Income, Involvement and Improvement Executive Director Neighbourhoods, Communities & Housing | BHCC Directorate Risk | 12/10/17 | Threat | Treat | Amber L3 x I3 | Amber L3 x I3 | | Revised: Adequate |

Causes

Link to Directorate Objective 3: Ensuring resilient and responsive services in a time of change and uncertainty
The Directorate will need to respond to government policy direction and introduction of national initiatives to respond to significant change such as Brexit; Devolution.

In addition there are specific challenges for Housing affecting HRA assets, income and financial pressures, including through levy. These include:

- * implementation of the Housing & Planning Act 2016
- * high value voids
- * homeless reduction bill
- * funding for affordable rented housing
- * rent reduction in supported housing
- * standing tenancies

This is likely to require changes to the existing policies and budget allocations.

Potential Consequence(s)

Housing supply and delivery impacted by Housing & Planning Act e.g. necessitating increases in the Directorate's regulation of private rented houses
HM Government Starter Homes initiative may divert funding away from other types of home that the city needs resulting in less affordable housing i.e. no government funding for family affordable housing up to at least 2020

Impact of HRA changes (eg sale of high value homes, Pay to Stay, Universal Credit) affects income and demand

Communities & Neighbourhood Agenda may need to reflect government direction

Some detail of new government policy is not yet known therefore a period of uncertainty may impact on the direction of resources

Existing Controls

First Line of Defence: Management Controls

Policy or other officers analyse national policy and evaluate resource implications and impact on customers, service areas, department, council and the city (e.g. in relation to Housing & Planning Act, Food Safety Act 1990, Policing and Crime Act 2011)

Established relationships with other local authorities to collaborate with and share learning and possibly resources

Staff and management teams experienced in managing new policy areas, co-ordinating the necessary councillor approvals, and with the agility to implement change

Liaison with corporate lead for significant change, e.g. Brexit

Second Line of Defence: Corporate Oversight

Business Planning and performance management reports to DMT to inform current position and likely impact of new policies

Coordination with regional and national bodies and Central Government Departments eg Food Standards Agency

Strategic and City Wide Risks reported through performance management framework

New policy reported to and agreed at the relevant committees

Third Line of Defence: Independent Assurance

Programme of annual audit inspections

External ISO9000 accreditation inc external audits

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|------------|----------|------------|----------|
| Contribute to corporate work on how policy is developed at the council, e.g Housing's document on policy and strategy formulation | Head of Income, Involvement and Improvement | 100 | 31/12/16 | 01/09/16 | 31/12/16 |
| Comments: Departmental paper completed and agreed. Emma McDermott taking final comments from NCH colleagues before submitting to corporate policy team. | | | | | |
| Evaluate capacity for introducing behavioural science insights (nudge theory) to achieve paradigm shifts in public service delivery in response to govt changes resulting in loss of subsidy | Head of Income, Involvement and Improvement | 60 | 30/11/17 | 30/11/16 | 30/11/17 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|--|------------|----------|------------|----------|
| <p>Comments: OCTOBER update - timescale extended to end November due to busy DMT agendas JULY update - Ododo to prepare presentation on the previously circulated paper to initiate a discussion at DMT in August 2017.</p> <p>Draft paper on the potential for using behavioural insights produced and shared with DMT in February 2017 - in order to raise our awareness of potential possibilities. DMT is yet to discuss and evaluate the potential use for such insight to achieve paradigm shifts. The implementation of Universal Credit, and aspects of Neighbourhood working/Field Officer role are examples that might offer some opportunity to use behavioural insights to increase customer self-service, increase community resilience, and reduce demand for services.</p> | | | | | |
| New directorate to assess change management capacity and future needs | Executive Director Neighbourhoods, Communities & Housing | 10 | 31/03/17 | 04/01/17 | 31/03/17 |
| <p>Comments: To be considered as part of business planning and learning & development planning for the next financial year.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|---|-----------------------|---------------|------------|----------------|----------------|----------------|---------------|-----------------------|
| NCH DR 08 | Impact of Universal Credit on Housing Income and Homelessness Services | Head of Income, Involvement and Improvement | BHCC Directorate Risk | 12/10/17 | Threat | Treat | Red L5 x I3 | Red L5 x I3 | | Revised: Uncertain |

Causes

Universal Credit rolled out to BN3 postcode area 4 Oct 2017, to be rolled out to BN2 area in November 17, and BN1 and BN41 in January 2018. Residents impacted will have rent element paid directly to them and then have to pay the council as their landlord, whereas currently this money is paid directly from housing benefit.

Residents impacted will need to budget over a monthly period rather than weekly/fortnightly and this may be difficult for some.

Residents claiming universal credit will have a period of one week where no benefit will be paid, and a further 6-8 weeks waiting for their first payment.

Potential Consequence(s)

1. Some private sector landlords may decide against renting properties to those on welfare benefits
2. Evictions from private sector housing for those in rent arrears may increase
3. Impact on homeless services through any increased client need
4. Costs of rent collection in housing will increase as a result of having more individual customers to support, rather than simply having bulk payments from housing benefit

Existing Controls

First Line of Defence - Management Controls

Involvement in 3 levels of welfare reform groups: housing; corporate and with external partners

Communications with customers and staff has taken place

121 meetings with impacted residents as they go on to Universal credit

Monitoring of numbers of residents on Universal Credit

Close working between council services to set up shared learning of impacts as they arise

Learnings from national research and organisations which have moved to Universal Credit earlier

Focus group work with council tenants to understand likely implications and inform housing actions

Housing and New Homes councillors informed of likely financial implications on Housing service

Discussions with corporate banking team on the impacts of receiving individual payments from households as opposed to bulk payment from Revenues & Benefits

Set aside increased budget for financial support for Discretionary Housing Payments for council tenants

Increased internal capacity to support tenants into work

Second Line of Defence - Corporate Oversight

Welfare Reform Programme Board includes housing representation

NICE Committee; and Housing and New Homes Committee

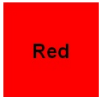

Third Line of Defence - Independent Assurance

Internal Audit

Reason for Uncertainty: Inability to completely predict resident behaviour. Inability to completely predict numbers transferring to universal credit because residents experiencing a change of circumstance that impacts any of the 6 pre-existing welfare benefits that have been amalgamated into Universal Credit, will move to universal credit

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|------------|----------|------------|----------|
| Developing a pre-tenancy information tool for prospective tenants which incorporates issues such as digital inclusion, financial inclusion (setting up bank accounts), budgeting and responsibilities including for rent payment | Head of Income, Involvement and Improvement | 60 | 28/02/18 | 01/06/17 | 28/02/18 |
| Comments: Second draft of online script has been agreed. Work currently in development with Learning & Development e-learning team. | | | | | |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|----------|------------|----------|
| Procuring services for bulk texting in order to be able to remind residents on Universal Credit of their rent due payment dates in a cost-effective way | Head of Income, Involvement and Improvement | 30 | 31/01/18 | 01/09/17 | 31/01/18 |
| Comments: Specification drawn up, soundings taken from corporate IT colleagues and Digital First colleagues. Discussions being had in terms of linking with other council services engaging in bulk text messages, to enable procurement efficiency. | | | | | |
| Researching budget management tools or methods to support people | Head of Income, Involvement and Improvement | 20 | 29/12/17 | 01/09/17 | 29/12/17 |
| Comments: 'Squirrel accounts' - contacted all housing organisations which have trialled this, awaiting responses. | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|---|--|---------------|------------|----------------|--|--|---------------|-------------------|
| SGL DR 01 | Unable to facilitate Change, Capacity and Support for staff in Strategy, Governance & Law | Executive Lead Officer Strategy, Governance and Law Head of Communications Head of Legal Services Policy, Partnership & Scrutiny Officer Head of Democratic & Civic Office Services Head of Life Events Head of Performance, Improvement & Programmes | BHCC Directorate Risk, Professional / Managerial | 26/10/17 | Threat | Treat |  L4 x I4 |  L3 x I4 | | Revised: Adequate |

Causes

Link to Directorate Objective 4: Deliver effective governance and support civic leadership

The fast pace of change requires new skills and political awareness to enable appropriate response to changing activities and organisational structures within our organisation, the public sector and key partners. This combines with increased demand for Strategy, Governance & Law services to support decision making, partnership working, front line service change and modernisation programmes. This in an operating climate of reducing resources.

Potential Consequence(s)

Change management capacity across organisation reduces if SGL staff not supported
 Adverse impact on delivering corporate plan principles and priorities
 Increased potential for corporate governance failures
 Inability to provide a proper level of service to support the council risking illegality and reputational damage
 Decision making less well-informed
 Partners or clients disengage with SGL
 Implementation of national policy and national requirements may not be supported locally
 Diverted resources reduces ability to meet all the demands within an acceptable timeframe
 Staff absence, illness or departure
 Additional pressure of covering colleagues' work
 Staff mental well-being issues

Existing Controls

First Line of Defence: Management Controls

Heads of service within SGL ensure PDP / 1-2-1 discussions take place as a minimum every 4 to 6 weeks to discuss workload, development needs and any concerns.

Heads of service operate open door policy to provide timely support as necessary

Heads of service and Directorate Management Team (DMT) collectively ensure that their staffing and other resources are appropriately deployed

Orbis Public Law (OPL) shared service arrangement operating, launched 4 April 2016 and agreement to include skills focused development programme

Individual Development Plans in Legal Services

Second Line of Defence: Corporate Oversight

Executive Leadership Team and Corporate Modernisation Delivery Board monitor performance of SGL and provide support and challenge.

Staff survey results of SGL

Governance reports reported to Audit & Standards Committee

Significant legal issues to Policy, Resource & Growth Committee (PR&G)

Third Line of Defence: Independent Assurance

LEXCEL, annual accreditation around July 16 found that Legal Services were outstanding in 22 areas of practice.

ISO accreditation for Democratic Services - September 16. Pass result (only pass/fail awarded)



Law Society Regulatory Body - ongoing, adhoc review

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|-------------------|-----------------|-------------------|-----------------|
| Agree Policy Team structure form and function and recruit to posts | Head of Policy, Partnerships & Scrutiny | 100 | 30/10/17 | 01/07/16 | 30/10/17 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|--|------------|----------|------------|----------|
| Comments: Update 10/10/17 - Form and function of the team has been consulted on, all posts are now in place. | | | | | |
| Commercial Skills for Legal staff as part of Orbis Public Law (OPL) arrangements to be developed with other authorities and BHCC Corporate Management Team (CMT). | Head of Legal Services | 35 | 31/03/18 | 01/04/17 | 31/03/18 |
| Comments: Working with OPL on an Orbis Commercial Pathfinder Workstream to develop commercial skills across OPL. Two training sessions for commercial lawyers taken place on alternative delivery vehicles. Alternative Delivery Vehicle peer group established to consider difficult cases. | | | | | |
| Continue to recruit to key posts in legal services to ensure continuity and capacity to meet demand. | Head of Legal Services | 80 | 31/03/18 | 18/07/16 | 31/03/18 |
| Comments: Plan to recruit Trainee Solicitor to increase capacity in commercial team, having been unable to recruit to vacant post. | | | | | |
| Democratic & Civic office work to assist development of capacity to deliver a more imaginative and proactive role to link businesses and the city council. | Head of Democratic & Civic Office Services | 40 | 31/03/18 | 17/01/17 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|------------|----------|------------|----------|
| <p>Comments: Oct 17 update - On-going meetings of the Supported Business Board and Workstyles4 Working Group being held and awaiting outcome of report to PR&G Committee in November. In the meantime alternative venues for civic receptions identified and move of office staff to HTH planned and agreed for when final time-table is set.</p> <p>June 17 update - Attended further meetings of the Supported Business Board and Workstyles4 Group and working with Civic Office staff and Project Manager to prepare to relocate staff and find alternative venues for Mayoral receptions. Further Board meetings to be held and time-frame for temporary relocation of Civic Office to be agreed.</p> <p>March 17 Update - Attending the Supported Business Board meetings and updated staff in the civic office on proposed changes to the Town Hall and circulated copy of report for PR&G Committee.</p> <p>Head of service represented on Supported Business Board meeting, and reviewing structure for Civic support offer to support change.</p> | | | | | |
| Develop shared arrangements to increase capacity, efficiency and retention to the benefit of Council and staff | Head of Legal Services | 35 | 31/03/19 | 04/04/16 | 31/03/19 |
| <p>Comments: IAA (Inter Agency Agreement, a shared services agreement) completed October 2017 ready for signing. Work sharing programme in place. Joint Committee 16.10.17 to review and approve Business Plan.</p> | | | | | |
| To ensure regular review and address mental well-being of staff comply with staff performance management plan and develop local plan | Executive Lead Officer Strategy, Governance and Law | 10 | 31/03/19 | 26/10/17 | 31/03/19 |
| <p>Comments: This risk action was agreed at SGL DMT on 26 October 2017. There are existing procedures which are managed by line managers, but this new action ensures overview at DMT level as part of the Risk Reporting Timetable</p> | | | | | |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|------------|----------|------------|----------|
| Within Performance Improvement and Programmes service - support staff to deliver Service Plan | Head of Performance, Improvement & Programmes | 90 | 31/03/20 | 12/01/17 | 31/03/20 |
| <p>Comments: Clear Service Plan in place for 17/20 which was developed involving every member of the service. Business Model Canvas was completed in consultation with colleagues in the service. Regular line management arrangements in place to support and develop staff. All managers are available for staff to support with any prioritisation decisions. Regular Full Service and individual team meetings in place to ensure regular wider context communication. Excellent staff survey feedback for PIP for survey conducted in 2017. Action plan has been developed as part of Full Service meeting and is being delivered to address areas for improvement highlighted for the service. Robust Health & Safety (H&S) management process in place. Effective Business Continuity Plan in place. Risk Register in place.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|---|--|---------------|------------|----------------|--|--|---------------|-------------------|
| SGL DR 02 | Lack of skills and resources in SGL to lead and support the organisation | Executive Lead Officer Strategy, Governance and Law Head of Communications Head of Legal Services Policy, Partnership & Scrutiny Officer Head of Democratic & Civic Office Services Head of Life Events Head of Performance, Improvement & Programmes Head of Policy, Partnerships & Scrutiny | BHCC Directorate Risk, Partnership Working/ Management | 26/10/17 | Threat | Treat |  L4 x I4 |  L4 x I3 | | Revised: Adequate |

Causes

Link to Directorate Objective 8: Develop and engage with staff to deliver change within the directorate and across council services. The Directorate leads on corporate governance to enable achievement of intended outcomes whilst acting in the public interest. This includes support to decision makers and services in policy development, partnerships and scrutiny, planning and performance, risk management and communications to stakeholders.

Potential Consequence(s)

Diverted resources reducing ability to meet all the demands within timeframes
 Inability to support delivery of the administration's priorities
 Evaluation of other ways of working required within directorate and by other services
 Increased level of support for decision makers when legislation or guidance is not clear
 Insufficient time to invest in best practice and change familiarisation
 Challenge of communicating change and performance impacts to stakeholders

Existing Controls

First Line of Defence: Management Controls:

Shared Legal Services Agreement with Orbis Public Law (OPL) partners, including the annual contribution rate
 Agreement at Executive Leadership Team (ELT) that SGL will identify gaps in capacity and enable budget investment for recruitment and appointment
 SGL Resource Planning
 Briefings to Executive Leadership and Administration
 Orbis Public Law (OPL) arrangement
 OPL Executive Board includes Executive Lead Officer (ELO) SGL

Second Line of Defence: Corporate Oversight

ELT and CMDB monitor SGL performance and provide support and challenge.
 OPL Joint committee

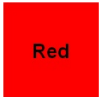

Third Line of Defence: Independent Assurance

LEXCEL annual accreditation in July 17
 Law Society adhoc reviews
 Statutory KPIs for bereavement and registration services are reported annually to General Register Office, part of Identify & Passport Service. Last annual report submitted each May.
 Elections Claim Unit verify efficiency of elections as and when. Last time Claim was submitted was Sept 16 for PCC election May 16

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|--|------------|----------|------------|----------|
| Action by Democratic & Civic Services to streamline resources by reducing reliance on paper and enabling effective electronic documentation and record keeping to support the organisation. | Head of Democratic & Civic Office Services | 65 | 31/10/17 | 02/01/17 | 31/10/17 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|------------|----------|------------|----------|
| <p>Comments: Oct 17 update - Awaiting confirmation from IT on transfer of Members platform from Maz360 to In-tune which will then enable easier access to electronic agendas and for Members to be asked to trial use of electronic agendas rather than paper versions. The expected transfer is between October and December 2017.</p> <p>June 17 update - All agendas for meetings and pre-meetings issued electronically to officers. Members have been asked to consider receipt of electronic versions of agendas, and some have started to use their devices rather than have paper copies. Further work with IT to ensure devices are robust and can be utilised by Members to be undertaken.</p> <p>March 17 update - All agendas now sent electronically internally to officers for committee meetings and the majority of papers pre-meetings, with process being monitored so that improvements can be made prior to extending the offer to Members.</p> <p>From January 2017 ELT agreed to receive all documentation electronically and the programme of change will be extended to Corporate Management Team (CMT) and Members during the next 3 committee cycles.</p> | | | | | |
| Develop a coordinated approach to capacity building across the directorate | Executive Lead Officer Strategy, Governance and Law | 60 | 31/03/18 | 01/09/17 | 31/03/18 |
| <p>Comments: SGL Directorate have worked with the HR Business Partner to develop a framework to identify training needs, cross-over between teams, and timetable for action. This to be discussed and action determined in November 2017. This builds on previous DMT and service approaches to managing skills and development needs.</p> | | | | | |
| Monitoring of Orbis Public Law (OPL) agreements to ensure delivery of increased resilience and capacity | Head of Legal Services | 35 | 31/03/19 | 04/10/16 | 31/03/19 |
| <p>Comments: IAA completed for signature. Data Protection Agreement drafted. Work sharing programme commenced. In house advocacy project has been unable to recruit and therefore project is being reviewed.</p> | | | | | |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---|------------|----------|------------|----------|
| Revise SGL service offer to accord with new requirements and budget process | Head of Performance, Improvement & Programmes | 70 | 31/01/18 | 13/10/16 | 31/01/18 |
| <p>Comments: SGL Service Offer to be presented to ELT by Dec 17. Every service except one has produced a business model canvass and all services have put forward savings for 17/18 to 19/20 to meet budgetary requirements. This has informed the Service Plans for 2017-20. Each head of service has presented their service offer to DMT. A decision is now needed by SGL DMT in terms of how best to take this forward to ELT.</p> | | | | | |
| Targeted intervention considered at appropriate points to ensure service sustainability | Executive Lead Officer Strategy, Governance and Law | 50 | 31/03/18 | 01/07/16 | 31/03/18 |
| <p>Comments: Financial improvement work is on course. Work continues on Life Events to improve financial position to ensure sustainability and act on Business Process Improvement Reviews and service redesign; Mayoralty Service is another area for review</p> <p>This is an on-going process as and when required</p> | | | | | |
| Within Performance, Improvement and Programmes service - adequate resources to support the organisation. | Head of Performance, Improvement & Programmes | 75 | 31/03/20 | 12/01/17 | 31/03/20 |
| <p>Comments: Project/Programmes management + Business Process Improvement + complaints handling training in place. In additional bespoke training provided as needed by the Risk Lead and Performance Lead. Programme Management Office resources deployed across the organisation. However, the team is currently unable to provide support to all change management work requested - waiting list in operation. Customer Experience Team building capacity in the organisation via Customer Experience Steering Group to improve customer satisfaction. PIP has also improved Wave pages to make frequently requested information more accessible - this work is on going.</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|---|---|--|---------------|------------|----------------|--|--|---------------|----------------------|
| SGL DR 05 | Not managing directorate activity through substantive changes to the operating environment | Executive Lead Officer Strategy, Governance and Law Head of Legal Services Policy, Partnership & Scrutiny Officer Head of Performance, Improvement & Programmes Head of Policy, Partnerships & Scrutiny | BHCC Directorate Risk, Partnership Working/ Management | 26/10/17 | Threat | Treat |  L5 x I4 |  L3 x I4 | | Revised: Adequate |

Causes

Link to Directorate Objective 4: Deliver effective governance and support civic leadership There are high expectations of the Directorate to lead on governance, partnership and support council leadership to help the council manage substantive issues such as:

- Brexit
 - the Industrial Strategy
 - Joint working with other public sector organisations
 - Increased focus on work with Health service
 - Sustainable Transformation Partnership (STP)
 - Scrutiny and integration of the Health Overview & Scrutiny Committee function of the Health & Wellbeing Board
- Changes may alter understanding of the Corporate Plan and the administration's priorities.

Potential Consequence(s)

- * Strategy, Governance & Law (SGL) resources to provide additional support to decision makers
- * Work with others to respond and develop a coherent approach to change
- * Capacity building of Members
- * Develop and seek agreement for strategies
- * Reputational damage
- * Governance failures

Existing Controls

First Line of Defence: Management Controls:

Policy team being proactive in horizon scanning and awareness re strategic external changes affecting the council

'Week ahead' meetings focus on strategic themes include Policy Team

Briefings to Executive Leadership and Administration

Chief Executive and Executive Lead Officer, Strategy Governance & Law (ELO SGL) proposal to Leaders and Administration for bespoke training programme for Leaders

Brighton & Hove City Council Directorates working alongside Clinical Commissioning Group on Health & Wellbeing Strategy, i.e. Health & Adult Service; and Families, Children & Learning

Legal leading on Devolution Governance workstream

Second Line of Defence: Corporate Oversight:

Corporate Leadership Board (ELT and Members):

Health & Wellbeing Board

Health Overview and Social Care overview

Third Line of Defence: Independent Assurance

NHS England oversight of Better Care

Government Intervention (Best Value Act)

Local Government Ombudsman

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|-------------------|-----------------|-------------------|-----------------|
| Implement Bespoke Corporate Governance Training programme | Executive Lead Officer Strategy, Governance and Law | 75 | 31/03/18 | 12/07/16 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|--|------------|-----------------|-----------------|-----------------|
| <p>Comments: Update 3/11/17 - Training for Members of Standards Committee scheduled for Jan 18. Training on working in a political environment provided for staff in SGL. Update 24/3/17 - Training for Chairs of Committee delivered 22/3/17. Code of Conduct Training and Working in a Political Environment training scheduled for May 2017.</p> <p>Local Government Association (LGA) delivered Budget training to Members. LGA development programme for Members and officers in Spring 17 In-house Member development including training for Committee Chairs, Code of Conduct etc. planned to commence late January 17 Other ad-hoc development activities such as contract and procurement, working in a political environment etc.</p> | | | | | |
| <p>Introduction of the GDPR (General Data Protection Regulations) will be managed by Finance & Resources but requires SGL support</p> | <p>Head of Legal Services</p> | <p>10</p> | <p>01/05/18</p> | <p>03/04/17</p> | <p>01/05/18</p> |
| <p>Comments: Implementation of forthcoming legislation may have a significant effect on SGL and its ability to support the organisation. A business case is being taken to Corporate Modernisation Delivery Board (CMDDB) with some provision for additional legal support. In October 2017 the ELO SGL met with the Information Governance Team in ICT to ensure that compliance with law the need for any legal support is identified.</p> | | | | | |
| <p>Progress 'Better B & H initiative' to improve research/intelligence capacity (DP 1.6.1.2)</p> | <p>Head of Policy, Partnerships & Scrutiny</p> | <p>90</p> | <p>29/06/20</p> | <p>12/07/16</p> | <p>29/06/20</p> |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---|------------|----------|------------|----------|
| <p>Comments: Update 10/10/17 - Funding agreed for Complex Young Men project, city-wide proposal on electric vehicle charging submitted, Better! is funding economic symposium, policy team active in managing relationships between think tank, officers and politicians</p> | | | | | |
| <p>Update 24/3/17 - 3 priorities agreed: 1) City Hall; 2) Vulnerable Young Adults; Wi-Fi on the Brighton -London train service. Deed of Trust, Regulations and Memorandum of Understanding ready to be signed</p> | | | | | |
| <p>Draft Charitable Trust deed has been discussed with partners at Board meeting Programme of work identified Officer support and other council resources and office space provided.</p> | | | | | |
| Review support delivery by SGL to Leadership | Executive Lead Officer Strategy, Governance and Law | 30 | 11/12/19 | 12/07/16 | 11/12/19 |
| <p>Comments: Oct 17 update - the Policy Team is now fully staffed. Work has started on the City Vision and the Deliverables. Work on the Corporate Strategy document will start in 2018.</p> | | | | | |
| <p>July 17 update - Monday Briefings have re-invigorated engagement with Political Assistants and Whips. Further action will be developed once the full complement of policy staff are in place (expected mid- August)</p> | | | | | |
| <p>Introduction of Horizon scanning incl. legislation and policy updates; introduced Monday morning briefings. Continued support to leadership through the decision making process,</p> | | | | | |

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|---------------------|---|---------------|------------|----------------|----------------|------------------|---------------|-------------------|
| SGL DR 06 | Insufficient resources to deliver a resilient Life Events customer service | Head of Life Events | BHCC Directorate Risk, Economic / Financial | 26/10/17 | Threat | Treat | Red L5 x I4 | Amber L3 x I4 | | Revised: Adequate |

Causes

Link to Directorate Objective 6: Modernise Life Events Service to make it financially sustainable
 Reduced budget and increased demand for Life Events services; and reliance on informal agreement with other partners, e.g. pathologists, to support Life Events which may be affected by organisational change.
 Impact on level of business following fee increases in April 2017 relating to Registration, Bereavement Services and Local Land Charges

Potential Consequence(s)

- * Unable to meet statutory duties
- * Unable to meet income targets due to lack of capacity or reducing levels of business
- * Customers and users dissatisfaction
- * Reputational damage
- * Staff sickness, stress and departure
- * Unable to recruit or retain staff
- * Scrutiny by General Registrar Office if fail to meet Statutory KPIs
- * Vulnerability of pathologists support arrangements may affect coroners' service, This is a national issue.

Existing Controls

First Line of Defence: Management Controls

Bereavement Services redesign to maximise efficiency approved by DMT

Electoral Services & Local Land Charges Manager recruited from 10 April 2017

Continued Joint working with police and pathologist service in the coroner's area to ensure ongoing service delivery and resilience

Head of Life Events Service Manager attends the Major Incident Support Team (MIST) meetings quarterly

BHCC Life Events Service part of the Sussex Resilience Forum which has developed working relationships

Second Line of Defence: Corporate Oversight

Life Events KPIS reported through Corporate Performance Team to ELT

SGL DMT reviews progress quarterly

TBM Budget Management monthly

SGL Modernisation Board bi-monthly

Electoral Services Project Board corporately monitors progress towards the electoral timetable

Third Line of Defence: Independent Assurance

Statutory KPIs for bereavement and registration services are reported annually to General Register Office, part of Identify & Passport Service. Last annual report submitted June 2017 with result of high assurance

Elections Claim Unit verify efficiency of elections as and when. Last time Claim was submitted was May 16 for PCC election - outcome still awaited as at October 17

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---------------------|------------|----------|------------|----------|
| Bereavement Services Redesign will improve the ability of staff to expand engagement in the market in Bereavement Services to engage in the market and promote services | Head of Life Events | 70 | 30/12/17 | 25/07/17 | 30/12/17 |
| <p>Comments: Consultation of service redesign concluded 7 July 2017. Aim is to go live with service redesign at 1 September 2017. Organisational response to issue raised by Union needs to be resolved. HR advice sought and meetings will take place with relevant parties.</p> <p>Update 5 October 2017</p> <p>Service Redesign in process of implementation. 2 of 3 Team Leader (T/L) posts recruited to, 3rd post advertised externally and subject to suitable applicant for 3rd T/L; the service redesign will move to back-filling internal promotions.</p> | | | | | |
| Develop robust structure for pathology to support Coroners service involving BHCC, Police, NHS, and other partners | Head of Life Events | 75 | 31/03/18 | 01/04/17 | 31/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|---------------------|------------|----------|------------|----------|
| <p>Comments: Update 5 October 2017 Pathologist shortage continues as a major concern nationally and acknowledged as such by Chief Coroner and Coroner's Society. Local working arrangement continue to ensure work is maintained for Senior Coroner of Brighton & Hove. Good sense of commitment from local Pathologists so far, to support local workloads. Review of work patterns has established robust cover. However, this is dependant on individuals' commitment to coronial work which cannot be guaranteed.</p> | | | | | |
| Electoral Services and Local Land Charges Service redesign to improve resilience | Head of Life Events | 30 | 31/03/18 | 25/07/17 | 31/03/18 |
| <p>Comments: Update 5 October 2017 Other East Sussex Local Authority structures reviewed and benchmarking to support new Redesign proposals. Service Redesign to be informed by Business Improvement work now agreed for January 2018.</p> | | | | | |
| Engage with Corporate Business Continuity Group to explore resource implications during an Emergency and how the organisation is able to respond | Head of Life Events | 100 | 31/03/18 | 25/07/17 | 31/03/18 |
| <p>Comments: Update October 2017 Life Events Business Continuity Plan drafted for sign off by end of September 2017 and copied to Emergencies & Resilience (E&R). Head of Life Events to become member of corporate business continuity review group from Oct 2017.</p> | | | | | |
| Implement Registration Service Redesign to maximise unique offer of Brighton & Hove and attract income whilst continuing to meeting statutory requirements (DP 1.6.6.4) | Head of Life Events | 25 | 30/03/18 | 03/04/17 | 30/03/18 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|--|------------|----------|------------|----------|
| <p>Comments: Update October 2017 - Registration Manager has met with HR to initiate redesign proposal to be consulted on. Finance have been consulted on costs for Redesign proposals. Aim is for consultation to finalise by end of financial year 2017/18.</p> <p>PR&G approved fees and charges increases for Life Events Services in Feb 2017 to commence on 01/04/2017, and options for fee increases to be reviewed for start of 2018. (January)</p> | | | | | |
| Review Life Events budget position | Executive Lead Officer Strategy, Governance and Law | 70 | 29/06/18 | 01/10/16 | 29/06/18 |
| <p>Comments: Update 3 Nov 2017 - The financial position has stabilised and measures in place to ensure financial sustainability. Update 24/3/17 - Review started with input from Finance, Head of PIP and HR representative to help service get to a sustainable budget position. Bereavement Services Programme Board finalised recommendations. These are in progress of being implemented.</p> <p>DMT discussion 21/10/16 to determine options and consider financial recovery plan. Update 05/01/17 - Monthly TBM reviews and review of ISFP to account for cremation income targets</p> | | | | | |

93

| Risk Code | Risk | Responsible Officer | Risk Category | Last Reviewed | Issue Type | Risk Treatment | Initial Rating | Revised Rating | Future Rating | Eff. of Control |
|-----------|--|--|-----------------------|---------------|------------|----------------|----------------|----------------|---------------|----------------------|
| SGL DR 07 | Changes in working environment negatively impacting the Life Events services and City Office | Head of Life Events Head of Democratic & Civic Office Services | BHCC Directorate Risk | 26/10/17 | Threat | | Red L5 x I4 | Red L4 x I4 | | Revised: Adequate |

Causes

Link to Directorate Objective 6 ‘Modernise Life Events Service to make it financially sustainable’

The Work Styles (WS4) programme is led by Property & Design who may not fully appreciate the impact, scope and implications on the Life Events service and the Civic Office.

Life Events Services and delivery to customers will be affected during implementation of works at Brighton Town Hall (BTH). Alternative venues need to be identified for Life Events, and for the Civic reception Parlour and civic office (Mayor's Office) which are all currently located in Brighton Town Hall. The work will inevitably cause big disruptions and expense to the services mentioned.

In the immediate and longer terms the budget position of Life Events will impact on the whole of SGL albeit that WS4 is expected to cover these costs. For the Civic Office alternative venues have been identified for hosting receptions/events – these costs will need to be included in the Workstyles business case.

Potential Consequence(s)

Reputation of services are at risk.

Income generated during WS4 may suffer in the short term, but in the long term how well the transition to the future offer is managed could affect long term financial viability of the service

The number of civic receptions may be limited if unfunded costs are not confirmed by WS4 and this will have a reputational impact for future engagement and business support to the civic office.

Location change affects staff perception of how well they service customers

Staff morale affected

Staff retention and recruitment issues

Increased stress as staff until staff are assured that ICT solutions enable service efficiency, e.g. less paper records and smaller file storage at Hove Town Hall

Management time diverted to address issues raised by staff

Various locations for staff and different time scales for moves between buildings

Concerns about information governance and security

Levels of business could be at risk, and efforts need to be made to protect existing levels and look to improve service offer.

Existing Controls

First Line of Defence: Management Controls

Head of Life Events included in WS4 Project Board

Regular 121s and staff supervision to discuss issues arising from move to new location

All staff briefings about workstyles move for legal services in June and September 2017

Second Line of Defence: Corporate Oversight

Workstyles 4 Programme Board includes representation from SGL officers from Legal Services and Risk Management Lead

Third Line of Defence: Independent Assurance

None

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|----------------------------|-------------------|-----------------|-------------------|-----------------|
| Identify temporary / permanent accommodation for Life Events services mentioned, and the Civic Office as a result of WS4 | Head of Life Events | 10 | 29/03/19 | 01/04/17 | 29/03/19 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|--|--|------------|----------|------------|----------|
| <p>Comments: Update 5 October 2017 The alternative venue locations are not secured for Registrars ceremonies, or Civic Parlour office. Work continues to establish suitable alternative ceremony venues. Income analysis underway to identify real financial impacts and work with Comms planned to protect reputation of service in any decant / move to other locations for service delivery. Workstyles Business case to PRG put back to December 2017 meeting. This risk is identified in the Work Styles Programme Board programme risk register as a high risk.</p> | | | | | |
| <p>Ongoing service redesign work needs to take account of the impact on SGL of the WS4 programme and issues arising from it</p> | Head of Life Events | 10 | 29/09/17 | 25/07/17 | 29/09/17 |
| <p>Comments: Update October 2017 - Registration Manager has met with HR to initiate redesign proposal to be consulted on. Supporting staff in respect of relocation of services will be part of normal management practice.</p> | | | | | |
| <p>Work closely with WS4 to firm up cost and locations for alternative venues for civic engagements and raise any concerns to EDSGL to raise corporately as necessary.</p> | Head of Democratic & Civic Office Services | 20 | 20/12/17 | 26/10/17 | 20/12/17 |
| <p>Comments: A business report on BTH as a Civic Centre is due to be considered by PR&G Committee in November 2017, subject to the report being approved the actions can be progressed and the potential costs for alternative venues will remain a concern until these are confirmed by WS4.</p> | | | | | |
| <p>Work with WS4 Programme Board to identify realistic delivery options for SGL Services and cost implications affecting SGL and resolve any issues</p> | Head of Life Events | 10 | 29/09/17 | 25/07/17 | 29/09/17 |

| Risk Action | Responsible Officer | Progress % | Due Date | Start Date | End Date |
|---|---------------------|------------|----------|------------|----------|
| <p>Comments: Oct 2017 - SGL DMT are currently awaiting the business case from the WS4 team in order to contribute. This is due December 2017.</p> <p>July 2017 - SGL DMT aware of potential cost and service implications of WS4. Seek agreement that SGL issues are firmed up at the earliest possible stage, including in TBM monitoring and the budget setting process for 2018/19.</p> | | | | | |

