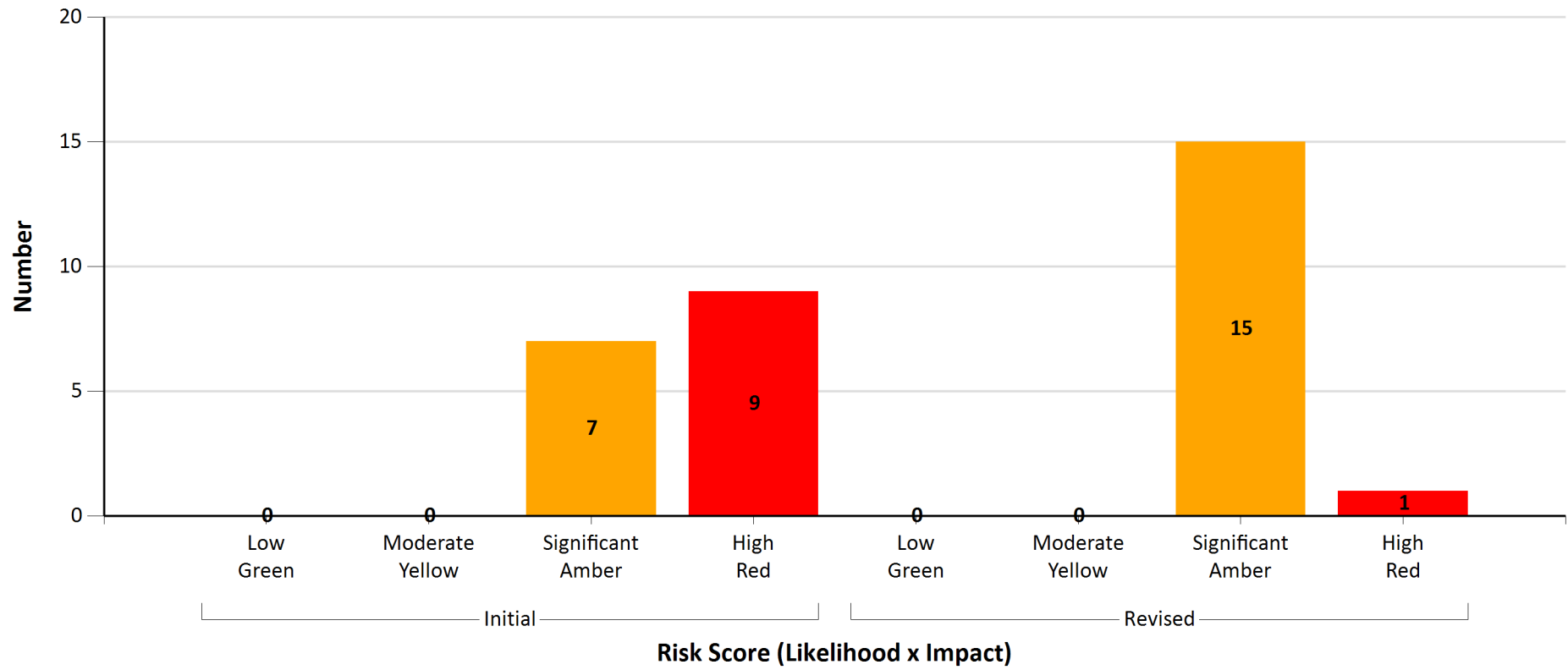


Brighton & Hove City Council

Appendix 2 - Strategic Risk Register
reviewed by ELT 22 November 2017

Risk Summary



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Initial Rating

LIKELIHOOD	IMPACT				
	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	0	0	0	2	0
Likely (4)	0	0	1	6	0
Possible (3)	0	0	0	6	1
Unlikely (2)	0	0	0	0	0
Almost Impossible (1)	0	0	0	0	0

Revised Rating

LIKELIHOOD	IMPACT				
	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	0	0	0	0	0
Likely (4)	0	0	1	1	0
Possible (3)	0	0	3	8	0
Unlikely (2)	0	0	0	2	1
Almost Impossible (1)	0	0	0	0	0

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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
SR10	Corporate Information Assets are inadequately controlled and vulnerable to cyber attack	Strategic Risk Owners ICT Business Engagement Manager ICT Records Manager / Information Governance	BHCC Strategic Risk, Legislative	22/11/17	Threat	Treat	 L4 x I4	 L3 x I4		Revised: Adequate

Causes

Link to Corporate Plan: Outcome ' A modern council: Providing open civic leadership and effective public services'

Inadequate Information Security

Inadequate Information Governance

Inadequate Information Management

due to lack of resource and organisational maturity and ever-increasing levels and complexity of threats at a time when the organisation increases information assets.

Potential Consequence(s)

- Individuals could suffer reputational, financial or physical harm,
- The council could suffer reputational and/or financial loss along with an inability to function effectively
- The financial sanctions available to the Information Commissioner's Office (ICO) are significant
- The Public Services Network (PSN) & Health & Social Care Information Centre (HSCIC) could impose operational sanctions which would be catastrophic for many services,
- Inadequate Information Governance management lends itself to poor Data Protection practices incl. non-compliant circulation of data & leaks
- It could result in a loss of trust in the council by citizens and partners.

Existing Controls

First Line of Defence: Management Action

These are set out under each of the 3 Risk Causes (in capital letters)

A) Controls re. Cause relating to INADEQUATE INFORMATION SECURITY

1. Physical access controls have been improved a result of the move to a data centre between 2015-2017

2. Cyber security controls introduced to minimise security risks and adoption of ITHC (IT Health Check) principles, an independent IT security assessment/accreditation, for internal security scanning
3. Protective monitoring technology has been introduced to provide threat, vulnerability and incident alerts
4. The council's Behaviour Framework applies to all staff and includes under 'Behaving Professionally' the text "I handle confidential matters and information discreetly and within set guidelines (e.g. Data Protection, data sharing protocols)

B) Controls re. Cause relating to INADEQUATE INFORMATION GOVERNANCE

- 4) An Information Governance training package has been rolled out across the entire organisation
- 5) A suite of Information Governance Policies have been approved
- 7) An information risk register has been developed and is regularly reviewed by ICT Mgt Team (ICTMT), Information Governance Board (IGB) and the Senior Information Risk Owner (SIRO)

C) Controls re. Cause relating to INADEQUATE INFORMATION MANAGEMENT

- 8) Governance training package has been rolled out across the entire organisation
- 9) The key responsibilities of all with Leadership Roles at Tier 2, i.e. including all Executive Directors, includes: 'To be accountable for safeguarding and effective exploitation of all data and information systems within the area(s) managed in line with corporate risk management protocols, and in collaboration with services across the organisation.

Second Line of Defence: Corporate Oversight

- 1) The Senior Information Risk Owners (SIRO) oversees the organisation's approach to Information Risk Management, setting the culture along with risk appetite and tolerances;
- 2) The Information Governance Board ("IGB") oversees and provides leadership on Information Risk Management and obligations arising from legislation such as the Data Protection Act (DPA) 1998 & Freedom of Information (FOI) Act 1998;
- 3) The Caldicott Guardians (Executive Directors Families, Children & Learning; and Health & Social Care) have corporate responsibility for protecting the confidentiality of Health and Social Care service-user information and enabling appropriate information sharing;
- 4) The Information Governance Team operates as an independent function to provide advice, guidance and oversight in key areas.
- 5) Oversight of Audit and Standards Committee.



Third Line of Defence: Independent Assurance

- 1) Internal and external ICT audits provide an objective evaluation of the design and effectiveness of ICTs internal controls;
- 2) IT Health Check (ITHC) performed by a 'CHECK'/'CREST' approved external service provider – covering both applications and infrastructure assurance. The ITHC approach has been updated to include one standard annual check and one targeted solution specific check (e.g. the mobile service).
- 3) Continued assurance from compliance regimes, including Public Sector Network (PSN) CoCo (Code of Connection); HSCIC Information Governance Toolkit; and Payment Card Industry Data Security Standard (PCI DSS)

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
INFORMATION GOVERNANCE: General Data Protection Regulation (GDPR) compliance project	ICT Business Engagement Manager	80	02/01/18	01/04/17	02/01/18
<p>Comments: Initiation of project to comply with GDPR relies on confirmation of budget and support from Corporate Programme Management Office. Business case agreed at Executive Leadership Team (ELT) to be reported for approval to Policy Resources & Growth (PR&G) Committee 30/11/17</p>					
INFORMATION GOVERNANCE: iCasework implementation	ICT Business Engagement Manager	50	29/12/17	01/06/17	29/12/17
<p>Comments: Implementation of iCasework for FOI case management (includes FOI process improvement). Procurement activity has begun and resource for implementation has been identified. Contract has been awarded, but supplier availability for implementation has delayed the project. Implementation has been scheduled for October through to November 2017</p>					
INFORMATION GOVERNANCE: Review and update policies (as per IG HSCIC Toolkit requirement)	ICT Business Engagement Manager	0	28/02/18	02/01/18	28/02/18
<p>Comments: Work is due to start early January 2018</p>					
INFORMATION MANAGEMENT/ INFORMATION GOVERNANCE Develop and launch a series of IG training modules	ICT Business Engagement Manager	5	29/06/18	28/04/17	29/06/18
<p>Comments: October 17 update - scope of training modules has been agreed, staff resources to be identified to develop content</p>					

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>INFORMATION MANAGEMENT: Launch a new information audit (including GDPR categories) and establish asset ownership and asset change as parts of Business as Usual (BAU)</p> <p>Comments: Work is due to commence 13/11/17</p>	ICT Business Engagement Manager	0	31/05/18	13/11/17	31/05/18
<p>INFORMATION MANAGMENT: Create an Information Sharing Agreement Register and use GDPR data mapping processes to identify info sharing governance gaps</p> <p>Comments: Work is due to commence 20/11/17</p>	ICT Business Engagement Manager	0	31/05/18	20/11/17	31/05/18
<p>INFORMATION SECURITY - Review protective monitoring arrangements with Orbis partners</p> <p>Comments: BHCC ICT have developed a protective monitoring approach with Eduserve. Agreement has been reached that the current protective monitoring contract with Eduserve will continue. The Orbis IT&D data centre strategy (in development) will provide longer term plans on how the service will be developed across the Orbis partnership. Protective Monitoring is in place. Work to review and Procure future provision is planned.</p>	ICT Business Engagement Manager	0	30/04/18	17/01/18	30/04/18
<p>INFORMATION SECURITY/INFORMANCE GOVERNANCE: Review of ICT incident management process – to fully integrate data breach and cyber security incidents</p>	ICT Business Engagement Manager	70	29/12/17	01/06/16	29/12/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: The 'as is' has been reviewed and a 'to be' has been defined and documented. Implementation of the new process was scheduled for completion by end of June 17. Work was slightly delayed in order to harmonise the Incident Management (IM) process with the Orbis partnership including workshops which will lead to implementation of a new Orbis process. At as October 201, within Brighton & Hove City Council work has taken place to align the IM process for Cyber and Data Breach issues. There is ongoing work with Orbis partners to refine the approach.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR13	Not keeping vulnerable adults safe from harm and abuse	Executive Director Health and Adult Social Care Assistant Director Adult Social Care Head of Adult Safeguarding	BHCC Strategic Risk, Legislative	22/11/17	Threat	Treat	 L4 x I4	 L3 x I4		Revised: Adequate

Causes

Link to Corporate Plan: Priority Health & Wellbeing: Safeguard the most vulnerable from neglect and harm
 Keeping vulnerable adults safe from harm and abuse is a responsibility of the council. Brighton & Hove City Council has a statutory duty to co-ordinate safeguarding work across the city and the Safeguarding Adults Board. This work links partnerships across the Police and Health and Social Care providers. Under the Care Act, since 2015, the Local Authority has a statutory duty to enquire if it believes a person with care and support needs is experiencing or is at risk of harm and abuse and cannot protect themselves. In 2016/17 887 safeguarding enquiries were completed by the adult assessment service.

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

Potential Consequence(s)

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

Existing Controls

First Line of Defence: Management Controls

1. Local Safeguarding Adults Board (LSAB) work plan established, with independent leadership, with aligned LSAB sub group work plans
2. Multi agency safeguarding adult procedures in place, for preventing, identifying, reporting and investigating allegations of harm and abuse, in line with Care Act requirements and endorsed by all 3 Sussex Safeguarding Adults Boards. Continuous professional development plan in place for social work qualified staff, including a training programme and Practice Development Groups, for Care Act and Mental Capacity Act requirements. Impact of assessment staff training monitored through Audit Moderation panel.

3. 'What to do if you or someone you know are being abused or neglected' leaflet produced by LSAB, available on LSAB members websites and hard copies distributed. Adults Safeguarding information on all LSAB member websites, including how to raise a concern and relevant contact details. The BHCC website has a Safeguarding Adult section, with information for the public regarding recognising abuse, how to report.
4. E-learning on Safeguarding Adults basic awareness is available for all BHCC staff, and Independent and Voluntary sector organisations.
5. Core training in safeguarding and mental capacity available via BHCC Workforce Development Team for all provider services (Independent and Voluntary Sector) who provide an adult social care function.
6. For Adult Social Care (ASC) staff who have contact with vulnerable people, Safeguarding Awareness is noted as Mandatory.
7. BHCC Quality Monitoring Team and process in place to monitor quality of adult social care providers, in partnership with Clinical Commissioning Group (CCG), and Care Quality Commission (CQC).
8. Violence Against Women and Girls training programme available for LSAB member organisations, and ASC Assessment Service staff enabled to attend.
9. Dedicated Principal Social Work post for adult services, ensuring well trained, motivated social work service, meeting continuous professional development requirements in line with Social Work Professional Capabilities Framework, including expectations for professional supervision.
10. Senior Social Work/Operational Management authorisation of all Mental Capacity assessments undertaken in ASC Assessment Service.
11. Named Enquiry Supervisor for all Safeguarding Enquiries undertaken in ASC Assessment Service.
12. Deprivation of Liberty Safeguards (DoLS) Team to lead and co-ordinate all DoLS referrals in line with statutory requirements.
13. Approved Mental Health Practitioner (AMHP) Operations Manager overseeing the AMHP Team, to meet all relevant statutory requirements.

Second Line of Defence: Corporate Oversight

- 1 Quality Assurance across key agencies, monitored by the Independently Chaired LSAB, with annual progress report on the LSAB work plan published.
- 2 Multi agency, and single agency safeguarding audits undertaken. Quarterly audit framework for adult social work service monitoring safeguarding enquiry practice.
3. Quarterly audits monitored by Audit Moderation Panel, and Corporate Performance indicator.
4. Key Performance Indicator (KPI) to monitor number of Safeguarding Enquiries not meeting Practice Standards
5. Care Governance Board overseeing Quality Monitoring.
6. Learning from Safeguarding Adult Reviews (SARs), monitored through SAR sub group of the LSAB.
7. Yearly Social Work Health Check undertaken jointly by Principal Social Workers in both Adult Social Care; and Families, Children & Learning
8. LSAB Independent Chair meets quarterly with Chief Executive
9. LSAB annual report to Health and Wellbeing Board, includes statutory progress report on LSAB work plan.
10. Pan Sussex Safeguarding adults procedures group, meets quarterly, to review and update Sussex Safeguarding Adults procedures regularly, ensuring they are legally compliant and responsive to local and national practice development and learning.
11. Dols Governance Group, meets quarterly, attended by Assistant Director and Head of Adult Safeguarding, to ensure activity under DOLs and the Mental Health Act is quality assured, meets legal requirements, and activity is delivered with an efficient use of resources.
12. Departmental Management Team and HASC Modernisation Board oversee developments and monitor risks to Department.
13. Working with ADASS (association of directors of adult social services) on monitoring the impact of DoLs work to Local Authorities following the Supreme Court ruling in 2014 (P v Cheshire West Council and P&Q v Surrey County Council).

Third Line of Defence: Independent Assurance

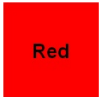

CQC Inspection of in-house registered care services, ongoing, last inspection undertaken for Knoll House, 16/11/16, which received an overall CQC rating of Good.

Information on council website re. inspection results: <https://www.brighton-hove.gov.uk/content/social-care/getting-touch-and-how-were-doing/adult-social-care-inspection-reports-council>

LGA/ADASS Peer review programme – Sector Led Improvement Peer Review undertaken 2013, ‘Safeguarding and Self Directed Support’. Action Plan completed June 2014. Indications from ADASS that a further Peer Review for BHCC HASC will be considered 2017/18.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Continue to learn from serious case reviews, coroners inquests and case reviews	Head of Adult Safeguarding	75	31/03/18	01/04/15	31/03/18
<p>Comments: Updated October 2017</p> <p>A Safeguarding Adults Review has been undertaken (called SAR X), written by Independent Author commissioned by the Local Safeguarding Adults Board (LSAB) following the death of a person who was homeless, who was at times not engaging with support agencies, and with a Personality Disorder. The review was commissioned by the LSAB in April 2016.</p> <p>On 28/11/16 an Extraordinary LSAB meeting was held with all Board members, and the Independent Author presented the report, findings and recommendations.</p> <p>The SAR Sub Group of the LSAB (Chaired by B&H HealthWatch) has finalised the SAR X Action plan, signed off at the SAR Sub Group 24/01/2017. The SAR X Action Plan is reviewed and monitored via the SAR Sub Group, which reports to the LSAB. The SAR Sub Group will monitor the completion of the Action Plan.</p> <p>SAR X summary is published on the LSAB website http://brightonandhovelscb.org.uk/safeguarding-adults-board/safeguarding-adults-reviews/. A briefing regarding SAR X has been completed, and has been circulated to all LSAB member organisations for staff awareness.</p> <p>A multi agency audit has been completed by the LSAB for a number of people identified as homeless/rough sleeping. An Action Plan has been drawn up from this audit, which is to be agreed at the Quality Assurance Sub Group of the LSAB on 23rd October 2017. Progress on the Action Plan will be monitored through the Quality Assurance Sub Group and reported to the LSAB in December 2017.</p> <p>A further multi agency audit is planned for 2017 regarding safeguarding enquiries where there has been allegations of sexual abuse/violence. The draft Terms of Reference for this audit have been circulated for agreement at the Quality Assurance Sub Group in October 2017.</p>					

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Performance Indicator for assessment service staff attendance on core training sessions, to be set for 2017-18.	Head of Adult Safeguarding	50	31/03/18	20/01/17	31/03/18
<p>Comments: Updated October 2017</p> <p>Lead Enquiry Officer (LEO) training for safeguarding adults has been developed by the Professional Standards and Safeguarding Team, to build on training rolled out in 2015 when the Care Act started, and on on-going Practice Development Groups. This training has started in July 2017, and dates have been booked for this 2 day training every 2 months for the year ahead. The training is developed and facilitated by practice Managers in the Safeguarding and Professional Standards Team. 2 training sessions have been run, in July and in September, and were both fully subscribed to, and received positive feedback from the social workers attending as to how it will support their practice. Based on numbers of qualified social workers in adult services a target has been set for end 27/18 that 50% of all social workers would have attended this new training during the period. Including previous year's training this will equal 75% of staff trained. This is monitored via the Statutory Duties Training group, chaired by the Principal Social Worker for Adults.</p>					
Programme of Prevent training to be rolled out to all Assessment Service staff in contact with citizens, Senior Social Workers and Operations Managers, and Registered Managers of provider services. All relevant staff to have attended training by April 2019.	Head of Adult Safeguarding	30	29/03/19	20/01/17	29/03/19
<p>Comments: Each trainer has committed to 4 sessions, enabling around 70% coverage by April 2018, of 150 staff, full completion by April 2019. 35 staff have been trained so far, with a further 6 sessions booked to April 2018, which will train an additional 70 people. Further courses to be booked in for 2018 post April.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR15	Not keeping children safe from harm and abuse	Executive Director Families, Children & Learning Service Manager - Directorate Policy & Business Support Assistant Director - Children's Health, Safeguarding & Care	BHCC Strategic Risk, Legislative	22/11/17	Threat	Treat	 L4 x I4	 L3 x I4		Revised: Adequate

Causes

Link to Corporate Plan: Priority Children & Young People: Safeguard children and young people and reduce the rate of re-referral
 Keeping vulnerable children safe from harm and abuse is a legal responsibility of the Council. Legislation requires all local authorities to act in accordance with national guidance (Working Together) to ensure robust safeguarding practice. This includes the responsibility to ensure an effective Local Safeguarding Children Board (LSCB) which oversees work locally and in partnership with Police, Health and social care providers. The numbers of children in care and those on Child Protection Plans are significantly higher than in similar authorities. The number of children and young people (CYP) who are sexually exploited is also of concern.

Potential Consequence(s)

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

Existing Controls

First Line of Defence: Management Controls

1. Robust quality assurance processes embedded and reported on annually
2. Single access point ('Front Door for Families') for support and safeguarding issues relating to children operated from May 2017. The service is managed by one manager with responsibility for and oversight of both the Multi-Agency Safeguarding Hub (MASH) which launched from Sept 14 and early help referrals to provide robust risk assessments and information sharing between partner agencies.
3. LSCB Work Plan established with strong leadership by the Independent Chair with aligned LSCB sub-group work plans
4. Serious Case, Local Management and Child Death Reviews identify learning and action for improvement
5. The directorate has full engagement with the LSCB
6. There is a strong focus on working with CYP at risk of being missing from care, home and education
7. The local Troubled Families programme targets support to the most vulnerable families
8. Continuous professional development and training opportunities offered by the LSCB and good multi agency take up of training
9. In line with the Government's Prevent Strategy, work with the Police, Statutory Partners, Third Sector Organisations and Communities to reduce radicalisation
10. Threshold document, agreed by all agencies and reviewed regularly
11. Relationship based model of practice operating from Oct 2015 for social work teams, with Pods in place to provide stability to service users
13. Performance management across children's social work enables a more informed view on current activity and planning for future service changes;

Second Line of Defence: Corporate Oversight

1. Early Help system redesigned in 2017 and new structure in place
2. Quality Assurance within the city and also across key agencies monitored by the LSCB sub group
3. The Child Review Board meets quarterly and is an opportunity for Lead Members to receive information, provide challenge and comments on children's social care issues with Heads of Service, Assistant Director and Director for Children's Services
4. Reports delivered to LSCB following robust auditing of multi-agency case files and safeguarding practice

Third Line of Defence: Independent Assurance

1. Ofsted inspected our social work arrangements in May 2015 and an action plan was developed to take forward recommendations.
2. LGA Peer Review on Safeguarding completed in September 2016 which provided assurance (and helpful challenge) regarding progress against the Ofsted inspection report. The review confirmed our ongoing actions were well directed and work continues to implement
3. University of Sussex have completed an evaluation in 2017 of the relationship based Model of Practice setting out assurance on how it is working and useful recommendations for future focus

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
High quality social work is provided to ensure that Children & Young People (CYP) are effectively safeguarded	Head of Service - Safeguarding & Quality Assurance	75	31/12/17	01/04/16	31/12/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Quality assurance activity continues to indicate that most children and families continue to be provided with appropriate social work services, with 69% of Q2 audited cases demonstrating positive outcomes for the child.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR17	Ineffective school place planning	Executive Director Families, Children & Learning Service Manager - Directorate Policy & Business Support Assistant Director Education & Skills Head of School Organisation	BHCC Strategic Risk, Customer / Citizen	22/11/17	Threat	Treat	Amber L4 x I3	Amber L3 x I4		Revised: Adequate

Causes

Link to Corporate Plan: Priority Children & Young People: Deliver sufficient school places

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

Potential Consequence(s)

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

Existing Controls

First Line of Defence: Management Controls

1. School Organisation Plan routinely reviewed internally and pupil forecasting element received independent assurance in 2015
The planned publication of the 2017- 2021 School Organisation Plan will be linked to updated forecast pupil numbers
2. Detailed pupil forecasting for primary & secondary numbers are carried out each year by the service
3. Work has been ongoing on securing site for new secondary school
4. In recent years extra places have been provided by expanding existing primary schools and the opening of two new free schools

Second Line of Defence: Corporate Oversight

1. Strategic Risk 17 agreed by ELT and reviewed quarterly
2. Audit & Standards Committee focus on all strategic risks over the course of a year
3. Cross Party Working Group (supported by a group consisting of all ten secondary schools, the three colleges and the two universities with the local authority) has been meeting to develop proposals around a new secondary admissions process with full engagement exercise conducted in first half of 2016, proposals will be formally consulted on, once new school location known
4. Secondary Continuing Education meeting established to raise awareness including and involving all schools, colleges and two city universities. This has focused on school organisation

Third Line of Defence: Independent Assurance

1. In case of dispute over admissions arrangements the Office of the Schools Adjudicator will adjudicate
2. 80% of schools are currently assessed by Ofsted as good or outstanding and a new School Improvement Strategy has been adopted to support the target of all schools being good or outstanding
3. There is external challenge by the annual mandatory submission of the school capacity (SCAP) return to the Education & Skills funding agency

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
To implement the School Organisation Plan to ensure sufficient school places to meet future need	Assistant Director Education & Skills	75	31/12/17	01/04/16	31/12/17

Comments: The School Organisation Plan is being developed and has been discussed at the Cross Party School Organisation Working Party meeting in February 2017. The on-going discussions relating to the opening of the new secondary school will have a bearing upon the final version of the School Organisation Plan and the timing of these will have a bearing upon the finishing touches and scrutiny of the plan. The next steps are to finalise and launch the plan in 2018.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
To secure agreement on the location of a new six form entry secondary school in Brighton (to ensure there are sufficient school places to meet growing numbers of students) to open September 2018	Assistant Director Education & Skills	75	31/12/17	01/04/16	31/12/17
<p>Comments: Discussions continue with the landowners of the 2 identified sites for the new secondary free school but securing the sites is dependent upon the work of the individual institutions, however dialogue is maintained. Work continues to analyse pupil forecasts and pattern of applications to ensure sufficient places in September 2018. It is anticipated that irrespective of the school opening in September 2018 all pupils will receive a reasonable offer of a school place.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR18	Service outcomes are sub-optimal due to the lack of appropriate tools for officers to perform their roles	Executive Director of Finance & Resources Head of Digital Transformation ICT Business Engagement Manager	BHCC Strategic Risk, Technological	22/11/17	Threat	Treat	Amber L3 x I4	Amber L2 x I4		Revised: Adequate

Causes

Link to Corporate Plan: Priority Economy, Jobs and Homes: Improve the City's digital infrastructure

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

- 1) a sufficient number of ICT staff with appropriate skills and effective, efficient suppliers
- 2) an investment strategy for sustainable targeted improvements of ICT platforms and systems
- 3) organisational capacity for joint work to transform services
- 4) staff skill levels and confidence to use and innovate with information and technology
- 5) sufficient understanding and leadership at all levels of the organisation to exploit the opportunities of modern, digital IT to improve service delivery
- 6) appropriate access for those with safeguarding responsibilities, including in partnership, to ICT systems which enable the protection of the most vulnerable
- 7) improved information systems and services to enable delivery of council objectives as set out in the corporate plan

Potential Consequence(s)

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

Existing Controls

First Line of Defence: Management Action

1. ICT Infrastructure Programme is delivering core ICT infrastructure platforms to improve service flexibility, availability, business continuity and cybersecurity - this includes clear service levels, hybrid cloud platform, flexible connectivity options and robust cybersecurity.
2. Feedback and engagement from customers and partners is driving the development of services, including focus inside and outside of Digital First on mobile, digital and information sharing.
3. Alignment and prioritisation of project resources to modernisation requirements.
4. Established working relationships and governance (Informatics Oversight Committee & Local Digital Roadmap) for cross social care and health system developments and resourcing, linked to Better Care and Digital Roadmap development.
5. Digital First programme has been established with programme team in place and growing. A clear timeline of work and savings in place. New development platforms now delivering new products.
6. Increased profile and presence in the city's digital community to enable the work with City and City region partners including Wired Sussex, Digital Catapult, Brighton University and Sussex University. Establishing cross sector relationships which support the ambitions of the City and channel opportunities to further establish Brighton & Hove as the Connected City. Includes joint development of research and investment bids in support of shared agendas and supporting devolution agenda.
7. Early work with Orbis partners to carry out joint procurement and align supply chain where possible. For example joint procurement of Microsoft Licensing Solutions Partner.
8. The close linking in of the partnership Digital Resilience project into the Digital First programme, Libraries, Services to Schools and Customer Service Centres work is ensuring that solutions to the risks of digital exclusion are well managed and sustainably implemented.

Second Line of Defence: Corporate Oversight

1. Digital First programme approved at Policy, Resources & Growth (PRG) Committee
2. New Tech & IT Board has been set up to oversee ICT and Digital First - to be chaired by Chief Executive
3. Corporate Modernisation Delivery Board overseeing alignment of programmes and projects to Corporate Plan aims and reviewing any gaps. Includes oversight of ICT Infrastructure, Workstyles and Digital First programmes.
4. Digital First Members Oversight Group - quarterly
5. Digital First programme board

Third Line of Defence: Independent Assurance



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

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Development and PRG approval of Information Strategy to ensure a clear strategic vision and governance of how BHCC will balance exploiting the opportunities and value of data and information while protecting the privacy and ensuring value flows to communities.</p>	ICT Business Engagement Manager	10	01/04/18	20/04/17	01/04/18
<p>Comments: Information Strategy on hold due to the need to move forwards with mitigations to comply with GDPR. However the GDPR programme will in fact form much of what is required for the Information Strategy; so there should be significant progress by May 2018.</p>					
<p>Increase organisational capacity for service transformation by using Digital First team across services and silos to identify efficiencies online</p>	Head of Digital Transformation	70	31/03/19	01/04/16	31/03/19
<p>Comments: Digital product managers working in: HASC, Communities, Cityclean, Revenues and Benefits, Regulatory Services, Housing, Parking, Customer Service Centres to help services identify opportunities to transform putting the customer at the forefront. This is ongoing as part of a three year programme monitored by the Corporate Modernisation Delivery Board (CMDDB).</p>					
<p>Information Management - developing and delivering core information practices including customer index, enterprise content management and robust data and record management practices.</p>	ICT Business Engagement Manager	60	31/03/18	01/04/16	31/03/18

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: October 17 update - Progress on Customer Index is ongoing. ECM (new SharePoint) will initiate discovery phase by end-2017. Data and Records Management practices to be embedded in SharePoint projects and organisational maturity increased as a result of GDPR project work.</p> <p>Initial matched customer index completed, core ECM platform selected, records management support for teams moving under Workstyles completed.</p> <p>Work started with HASC and Health on data management for integrated services including risk stratification and predictive modelling.</p>					
<p>Introduce an overarching technology and digital governance board to align priorities, coordinate co-delivery, remove blockers and track benefits</p>	<p>ICT Business Engagement Manager</p>	<p>80</p>	<p>31/03/18</p>	<p>18/07/17</p>	<p>31/03/18</p>
<p>Comments: October 2017 update: a Tech and Digital Board has been set up and the first meeting held. Learning from that meeting is being taken on board in order to make this Board effective in setting priorities for IT & D and Digital First.</p>					
<p>Modernisation project to review use of information and systems in Social Care and Housing service areas</p>	<p>ICT Business Engagement Manager</p>	<p>10</p>	<p>01/04/18</p>	<p>20/04/17</p>	<p>01/04/18</p>
<p>Comments: October'17 update: IT&D engagement will be led by a Business Partner from October/November 2017</p>					
<p>Use new Tech & Digital Oversight Board to review progress, identify interventions where strategic changes on ICT are required, and produce a re-focused IT & D Strategy that aligns the needs of operations, Digital First, and the City.</p>	<p>Executive Director of Finance & Resources</p>	<p>25</p>	<p>31/03/18</p>	<p>06/09/17</p>	<p>31/03/18</p>

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Update 14 October 2017 - Board set up and Terms of Reference agreed. New management systems being put in place to respond to customer needs (Members, officers, Digital First). First meeting has now taken place, with follow-up meeting shortly afterwards.</p>					
<p>Use Orbis to ensure outcomes of ICT Infrastructure Programme are sustainable, embedded and enabling of change within the organisation.</p>	<p>ICT Business Engagement Manager</p>	<p>80</p>	<p>31/03/18</p>	<p>01/04/16</p>	<p>31/03/18</p>
<p>Comments: November 17 - The council's Information Technology & Development (IT&D) service and Orbis partners have begun scoping a programme of work to improve the technical infrastructure. This will seek to improve the scalability and resilience of the technical architecture and improved the user experience. Exact details are being worked on and will be developed in the next quarter.</p>					
<p>Previous updates:</p>					
<p>September '17 update:</p>					
<p>The final phase of the current infrastructure programme relates to the rollout of Skype for Business and Mobile telephony. Skype for Business pilot user group is continuing to test the enhanced Skype policies for video conferencing and Skype voice calls. Rollout is scheduled for Q3.</p>					
<p>Mobile telephony: 42 Independence at Home users are live with the new managed smartphones. Full rollout will start in October.</p>					
<p>New security & platform infrastructure now implemented for BHCC and Schools, critical cloud services being migrated, continued migration of priority services to staffing environments, new citrix farm built and tested, network interconnect with NHS established, corporate wifi now deployed to HTH and Barts House, shared services wifi now deployed, new laptop services rolled out to HTH users.</p>					
<p>Microsoft Office 36 service migration planning happening with migration of email. Removal of .gcsx and delivery of Mobile, Skype and Onedrive.</p>					
<p>July 17 Update - migration of email is complete (although gcsx is unlikely to be removed entirely as some recipients still require gcsx mail). Mobile and Skype for business are in trial/testing stage and Onedrive is scheduled for implementation in late 2017.</p>					

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Work with Orbis, Greater Brighton and Supplier partners to ensure resilient capacity, a sustainable set of core platforms, services and practices are in place to support and enable modernisation, devolution and safeguarding. Includes taking the learning early from others and using collective economies of scale.</p>	ICT Business Engagement Manager	20	31/03/19	01/04/16	31/03/19
<p>Comments: November 2017 - IT&D and Orbis partners have begun scoping a programme of work to improve the technical infrastructure. This will seek to improve the scalability and resilience of the technical architecture and improved the user experience. This is quite vague at this stage, but there should be more detail in the by next quarter</p>					
<p>July 17 update - 'collaborate to integrate' work with Orbis partners is underway. While full integration is a longer term objective, an integrated model of service delivery will be in place by early 2018.</p>					
<p>BHCC now a founding partner and detailed planning for shared services and platforms now starting. BHCC operating as part of Architectural Design Authority for Orbis, agreeing the core platforms and practices for the Orbis partnership and engaged in Business Solutions Platform planning and requirements work.</p>					
<p>Focused work through NHS/HASC Local Digital Roadmap in support of STP on developing partnerships across STP footprint with NHS IT partners. Representing and engaging to develop investable LDR and agree architectural and supplier relationships.</p>					
<p>New developing relationship with Microsoft as key supplier leveraging greater scale of Orbis relationship and attractiveness of Brighton as reference customer site.</p>					
<p>The Greater Brighton digital digital working group is up and running with an initial focus on digital infrastructure and public service reform.</p>					
<p>IT&D and Orbis partners have begun scoping a programme of work to improve the BHCC technical infrastructure. This will seek to improve the scalability and resilience of the technical architecture and improved the user experience.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR2	The council is not financially sustainable	Executive Director of Finance & Resources Head of Integrated Financial Management & Planning Deputy Chief Finance Officer Head of Performance, Improvement & Programmes	BHCC Strategic Risk, Economic / Financial	22/11/17	Threat	Treat	 L5 x I4	 L3 x I4		Revised: Adequate

Causes

Link to Corporate Plan: Outcome ' A modern council: Providing open civic leadership and effective public services'
 Reductions in central government funding will continue through to 2020 under the 2015 Comprehensive Spending Review and potentially beyond. The changes to local government funding introduced in 2013/14 also transferred greater risks to the council, particularly in relation to Business Rate valuation appeals. There is a cumulative impact of reductions in government funding to other public agencies in the city. The greatest risk is from increasing cost and demands across demand-led services such as social care and homelessness.
 Implementing 4-year Integrated Service & Financial Plans in 2016/17 and updating these and the Medium Term Financial Strategy annually is challenging given the continuing uncertainty in funding and taxation levels. There is increased uncertainty until HM Govt re-focuses on local government funding further to speculation that 100% Business Rates Retention has been shelved.

Potential Consequence(s)

The council will need to continue robust financial planning in a highly complex environment. Failure to do so could impact on financial resilience and mean that outcomes for residents are not optimised.

Existing Controls

First Line of Defence: Management Controls

1. Ongoing review of the adequacy of risk provisions and reserves to support the medium term budget strategy and to ensure financial resilience
 2. Medium term resource projections (MTFS) and savings plans (4-Year Integrated Service & Financial Plans) are reviewed and revised where necessary to identify and address predicted budget gaps including identification of taxation and savings options
 3. Consultation and engagement with the Leadership (member oversight), cross-party Budget Review Group and partners (particularly the Clinical Commissioning Group 'CCG') for development and approval of the annual budget led by Executive Leadership Team (ELT) and the Chief Finance Officer (CFO)
 4. Targeted Budget Management (TBM) Month 7 and month 9 projections are undertaken to accompany draft (Nov/Dec) and final (Feb) budget reports to ensure in-year pressures are reflected in resource projections and budget setting;
 5. Taxbase forecasts and projections updated and reflected in the Medium Term Financial Strategy (MTFS) and annual budget proposals and reported by the statutory deadline (31 January);
 6. Investment requirements reviewed and funding flexibility identified to ensure delivery of modernisation and savings proposals included in the 4-year plans;
- * Key control: annual revenue and capital budgets approved by Full Council in February with a balanced budget and 'funded' capital programme;
- * Revised TBM Monitoring regime introduced in 2017/18 to RAG rate budget performance with an escalating scale of scrutiny and intervention where continued overspending is evident. Interventions focus on development of Financial Recovery Plans approved and monitored by the CFO but can ultimately include 'special measures'.

Second Line of Defence: Corporate Oversight

1. Modernisation portfolio monitored by the Corporate Modernisation Delivery Board (CMDDB) and reviewed by cross-party Member Oversight group
2. Close alignment of corporate priorities with the Medium Term Financial Strategy (MTFS) and, particularly, 4-year Integrated Service & Financial Plans
3. Regular monitoring and review by Policy, Resources & Growth (PR&G) Committee of the MTFS assumptions, the impact of legislative changes; cost and demand pressures; savings programmes; and income, taxation and grant assumptions through TBM reporting and various budget reports (Jul, Nov/Dec, Jan and Feb);
4. Continued adoption by PR&G of 4-year service & financial planning approach which sets out plans through to 2019/20 and identifies investment requirements to ensure delivery
5. Close monitoring by PR&G of council tax, business rates and other income and regular updating of forecasts
6. Ongoing review and challenge of value for money including Member review, benchmarking, and external audit review and opinion
7. The cross-party Budget Review Group reviews monthly TBM performance, including financial recovery plans
8. Oversight of pooled funds and integrated arrangements through separate governance arrangements including Health & Well-being (HWB) Board.

Third Line of Defence: Independent Assurance

1. Annual review by external auditors of Value for Money (VfM) arrangements leading to an opinion in the annual audit report
2. Internal audit reviews of budget management and financial planning arrangements

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Continue to monitor impact of health sector reforms, integration and Better Care programmes.	Deputy Chief Finance Officer	75	31/03/18	01/04/15	31/03/18
<p>Comments: Monthly Health & Social Care (HASC) Finance & Performance Boards chaired by the Executive Director Finance & Resources (F&R) are now in place attended by Council and CCG finance, commissioning and performance experts. Better Care Fund (BCF) S75 Agreement for 2017/18 is in final draft (Oct 17) and is shortly due to signed with the hosting of pool management to be agreed. A 50/50 risk share will apply. Reporting on pool performance will be to HASC Finance & Performance (F&P) Board and BCF governance (including H&WBB). Recovery plans and corrective measures will be proposed where necessary. The HASC F&P Board will also link into interim Caring Together governance.</p>					
Corporate Modernisation Delivery Board includes monitoring and RAG rating of critical VFM and other savings programmes that support the council's current and medium term financial position. Reporting links to TBM reporting which also monitors savings delivery.	Head of Performance, Improvement & Programmes	85	31/03/20	01/04/15	31/03/20
<p>Comments: Corporate Modernisation governance arrangements in place. Internal audit provided 'reasonable assurance' in May 2016. Corporate Modernisation Delivery Board to continue to provide support and challenge to project/programme managers and Senior Responsible Owners.</p> <p>All budget figures reported link to TBM process. Modernisation arrangements fully integrated within Service & Finance Planning. Finance guidance has been drafted for project/programme managers to ensure consistency of figures being reported to accurately calculate 'return on investment'. 15% savings at risk according to TBM month 5 for 2017/18.</p>					
Delivery of modernisation programme financial and non-financial benefits	Deputy Chief Finance Officer	50	31/03/18	01/04/15	31/03/18

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Regular monitoring of performance against target is submitted to Corporate Modernisation Delivery Board (CMDB). Member Oversight Group meets quarterly to focus on each area of the Modernisation Programme including VFM savings programmes. All savings programmes have appropriate project and programme management resources in place. Detailed implementation plans are in place. Regular monitoring will be through monthly TBM reports to Directorate Management Teams (DMTs), Executive Leadership Board (ELT), Budget Review Group, and PR&G (5 times per year). The TBM regime has been revised to RAG rate performance with escalating interventions applicable where there is continued overspending. Interventions focus on the development of Financial Recovery Plans approved by the CFO. Underlying and projected pressures on demand-led budgets have been recognized in the Medium Term Financial Strategy and in annual budget setting to ensure budget gaps and savings to close the gaps are identified.</p>					
Devise and implement budget, MTFS and 4-year service & financial planning timetable and process.	Deputy Chief Finance Officer	80	01/02/18	01/05/15	01/02/18
<p>Comments: 4-year Integrated Service & Financial Plans are now in their second year and have been approved for 2017/18 with 2018/19 and 2019/20 proposals currently being refreshed as part of the current budget setting process. An MTFS update is provided each July, Nov/Dec and February to PR&G to ensure resource projections and predicted budget gaps continue to be identified as early as possible with associated savings proposals (4-year plans). 2018/19 proposals are in development, led by ELT and the CFO, with full engagement of Members planned through November to February as draft proposals are developed and reported.</p>					
Meet Targeted Budget Management (TBM) reporting timetable and identify risk mitigation and corrective action where necessary	Deputy Chief Finance Officer	50	31/03/18	01/04/15	31/03/18

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: The current annual TBM reporting timetable has been produced and agreed. TBM Month 2 is the first reporting period each year to July PR&G. As last year, TBM reports will continue to be reported to the cross-party Budget Review Group (BRG) to ensure additional member oversight of the financial position. TBM reporting will identify risk mitigation and corrective action for overspending areas identified by RAG rating. A revised TBM regime ensures that escalating interventions apply where continued overspending (RED RAG) is evident. Interventions focus on additional scrutiny by the CFO and/or Chief Executive Officer (CEO), CFO approval of Financial Recovery Plans, and ultimately potential ‘special measures’ interventions where overspending persists. All 4-year savings programmes will also be monitored (including key VFM programmes) through the TBM report.</p>					
Regular MTFS updates of the City Council’s projected financial position for future years	Head of Integrated Financial Management & Planning	75	01/02/18	01/04/15	01/02/18
<p>Comments: A 4-year MTFS is updated and reported to PR&G in July, Nov/Dec and February each year. The MTFS links closely to 4-Year Integrated Service & Financial Plans (ISFPs) which have been adopted by the Council since 2016/17 and which identify savings programmes and related modernisation investment requirements (one-off) to address predicted budget gaps driven by reducing government grant funding and demand-led budget pressures. The budget and 4-year plans therefore identify clear plans and opportunities for managing the financial situation through to 2019/20. Potential changes to Local Government Finance are being closely monitored including the fair funding review, government announcements within the Autumn Statement, 100% Business Rate Retention, additional tax precepting, Universal Credit impacts, Better Care funding and health integration, and capital flexibilities.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR20	Inability to integrate health and social care services at a local level and deliver timely and appropriate interventions	Executive Director Health and Adult Social Care Interim Head of Adult Social Care Commissioning Assistant Director Adult Social Care General Manager - SPFT	BHCC Strategic Risk, Economic / Financial	22/11/17	Threat	Treat	 L4 x I4	 L3 x I4		Revised: Adequate

Causes

Link to Corporate Plan Priority 3: Health and wellbeing

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

Potential Consequence(s)

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

Existing Controls

First Line of Defence: Management Controls

1. The CCG operates across 6 Clusters. From April 2017 three Social Care District teams support these Clusters so that social care operational work is aligned
2. Better Care Board established (high level and cross sector representation) and chaired by Executive Director Health & Adult Social Care, with oversight by Health & Wellbeing Board
3. Finance and Performance Board monitors spend and performance.



Second Line of Defence: Corporate Oversight

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

Third Line of Defence - Independent Assurance

1. NHS England sign off Better Care Plan, submitted in May 2016.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Robust Section 75 agreements to be reviewed.	Executive Director Health and Adult Social Care	25	31/03/18	23/03/16	31/03/18
<p>Comments: The intention is to enter into a shadow year from April 2018 for the integration of health and social care. Robust s75 agreements will be in place to support this shadow year. There are two Section 75 (s75) agreements: 1) Better Care which is led by the CCG and likely to require minor update; and 2) with the Sussex Partnership Foundation Trust (SPFT) now agreed in May 2016 with a slight change to risk share and budget. Update November 2016: SPFT in receipt of updated S75 agreement, response pending. Better Care Fund - currently being reviewed.</p>					
To support with the delivery of integrated services across social care and the wider system recruit Strategic Lead Officer for HASC, AD Integration	Executive Director Health and Adult Social Care	100	31/03/19	01/10/17	31/03/19
<p>Comments:</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR21	Unable to manage housing pressures and deliver new housing supply.	Executive Director Neighbourhoods, Communities & Housing Head of Planning Head of Housing Strategy / Private Sector Housing Assistant Director - City Development & Regeneration Assistant Director Housing	BHCC Strategic Risk, Environmental / Sustainability	22/11/17	Threat	Treat	 L4 x I4	 L3 x I4		Revised: Adequate

Causes

Link to Corporate Plan: Priority Economy, Jobs and Homes: Deliver better business space and affordable homes/accommodation

Brighton & Hove is a growing city with high house prices, low incomes, an ageing population and a significant proportion of households with a support need. Scope for development within the city is affected by significant geographical constraints and competing land pressures. The increasing demands for housing continues to outstrip new supply and as a consequence accommodation is becoming less affordable notably in central city areas relative to the local wage rates. Housing shortages are particularly acute for low income families. Demand for affordable rented homes is growing with over 20,000 households currently on the Housing Register (Oct 2017), 1,800 households (Oct 2017) in temporary accommodation and rising homelessness. The private rented sector continues to expand at the expense of rates of owner occupation which are in long term decline. The continued growth of universities and other educational establishments has a significant impact on the housing market and existing residential communities in parts of the city, in terms of affordable rents for non-student households, local character and impact on neighbourhood amenity.

Potential Consequence(s)

1. The city is constrained in its capacity to accommodate economic growth, housing supply obligations and sustainable development objectives.
2. The city council is unable to meet its strategic housing and planning policy objectives to: meet City Plan and Housing Strategy requirements in terms housing numbers; improve overall housing supply and housing mix; deliver affordable lower cost homes, in particular homes for rent.
3. The city council is unable to meet statutory homelessness obligations. In particular, corporate critical budget implications arising from Temporary Accommodation pressures owing to lack of suitable alternative accommodation.
4. The shortage of homes to meet the accommodation requirements of elderly and vulnerable people which can have an adverse impact on social care provision and cost pressures.
5. Impact on our ability to recruit and retain lower income working and younger households and employment in the city, in particular in social care, health and other lower wage sectors.

Existing Controls

First Line of Defence: Management Controls

1. The Council's Housing Strategy sets out objectives and action plan addressing identified housing needs in the City. This includes policy and investment prioritising: i) Improving Housing Supply; ii) Improving Housing Quality; iii) Improving Housing Support. This strategy has been agreed by Full Council.
2. The City Plan also sets out housing targets across all tenures; policies on securing affordable housing through the planning system, residential development standards.
3. Housing Revenue Account (HRA) Asset Management Strategy is aligned to Housing Strategy in support of improving housing supply & housing quality. Greater Brighton Housing & Growth (GBH&G) Working Group is aiming to accelerate delivery of new housing supply through freedoms and flexibilities sought as part of the wider Greater Brighton proposals.
4. The Student Housing Strategy review has commenced and will be informed by our most recent analysis of student number assumptions and supply and demand for student accommodation in the City.

Key controls include:

1. Housing Allocation Policy framework ensuring best use of existing council and registered provider resources through nomination of affordable housing to priority households.
2. Procurement of Temporary Accommodation and long term private sector housing lettings with private landlords in the city and wider city region for those to whom we owe a housing duty.
3. Our 'New Homes for Neighbourhoods' estate regeneration programme to deliver new affordable Council homes in the city.
4. Development of additional Housing Delivery Options: Living Wage Joint Venture with Hyde proposal to deliver 1,000 new lower cost homes for rental and sale; and, Housing Market Intervention / direct delivery through council wholly owned housing company.
5. Enabling delivery of new affordable homes in partnership with Registered Provider partners and the Homes & Communities Agency.
6. Improving supply through best use of existing HRA assets including conversions / hidden homes programme.
7. Bringing long term empty private sector homes back into use through our Empty Property Strategy.
8. Tenancy sustainment initiatives particularly for more vulnerable people in order to prevent homelessness.
9. Commenced review of Student Housing Strategy.
10. Ongoing work of Greater Brighton Housing & Growth initiatives to accelerate delivery of new homes.
11. On-going work of the Greater Brighton Strategic Property Board; bringing national, regional and local partners together to make the best use of the combined public estate – including the release of surplus land and sites for economic growth (new jobs, employment floorspace and home)'.

Second Line of Defence: Corporate and Committee Oversight

1. Corporate Investment Board
2. Strategic Investment Board
3. Cross Party Estates Regeneration Board
4. Strategic Housing Partnership (cross sector)

Third Line of Defence: Independent Assurance

1. Homes & Communities Agency - monitor and assure processes relating to affordable housing

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Continue to track number of Right to Buy Purchases; student houses; Houses in Multiple Occupation (HMOs), accepted as homeless under our statutory duty and the number of cases ASC & Children's accept a duty to house</p>	Assistant Director Housing	75	31/03/18	01/04/15	31/03/18
<p>Comments: New allocations policy adopted by council in December 2016. Implementation underway to be completed March 2018. Tracking of Right to Buy Purchases; student houses; HMOs; households accepted as homeless under our statutory duty and the number of cases Health & Adult Social Care (ASC) & Families, Children & Learning (FCL) accept a duty to house are all on-going as part of our wider budget, strategy and programme management arrangements. This information feeds into: HRA Business Plan; Estate Regeneration Programme; Development of Student Housing Strategy; Review and development of Private Rented Sector licensing proposals; Government returns related to homelessness and plans for Homeless Reduction Act and liaison with HASC & FCL regarding meeting the accommodation needs of vulnerable adults and children through our Strategic Accommodation Board.</p> <p>Housing & New Homes Committee have agreed a Home Purchase Policy pilot to enable us to exercise our right of first refusal on first re-sale of RTB homes subject to parameters. November 2017 Housing & New Homes Committee to consider a significant extension of Private Rented Sector (PRS) licensing.</p>					
<p>Deliver joint partners' work after successful bid for £59M for extra care housing to address social care residential needs as part of 2015-18 Affordable Housing Programme</p>	Assistant Director Housing	75	31/03/18	01/04/15	31/03/18
<p>Comments: Continued progress on delivery of Brooke Mead extra care housing scheme. Housing & Adult Social care currently working closely to identify nominees and care provider and Housing are preparing to take the scheme into management. Scheme completion expected November 2017. Continue to commission new wheelchair adapted and lifetime homes through New Homes for Neighbourhoods programme, Affordable Housing Delivery Partnership and Affordable Housing Brief. Continue to enable vulnerable households with complex needs to live independently their own home through the work of the integrated (pan tenure) Housing Adaptations Service. Joint ASC/Housing working on successful bid to Homes and Communities Agency (HCA) for Homeless Change Fund / HCA Shared Ownership & Affordable Homes Programme investment delivering a supported housing scheme for former homeless older adults with mobility and mental health</p>					

issues.

Strategic Accommodation Board initiated to co-ordinate and oversee the accommodation requirements for vulnerable adults and children in the City.

Next steps:

1. Strategic Accommodation Board has initiated update on needs analysis as initial focus for Board. Public Health to meet with Adult Social Care in first instance. Strategic Accommodation Board (SAB) includes Public Health & ASC reps - November 2017.
2. Strategic Accommodation Board (SAB) will consider Brooke Mead / extra evaluation to inform future business case for any provision. Housing (Head of Housing Strategy, Property & Investment) and ASC (Head of ASC Commissioning) to take forward and report back to next SAB. November 2017.
3. SAB to consider commissioning opportunities to meet needs analysis on Learning Disability (LD) clients, in particular LD placed outside the city. Housing (Head of Temporary Accommodation & Allocations) & LD to report back to the next SAB. November 2017.
4. Shared Ownership and Affordable Housing Programme (SOAHP) Funding Agreement with Legal for comment prior to return to HCA for further review. Head of Housing Strategy, Property & Investment. November 2017.
5. Completion of Brooke Mead. Estate Regeneration Team. November 2017
6. Continue to commission new wheelchair adapted and lifetime homes through New Homes for Neighbourhoods programme and Affordable Housing Delivery Partnership - ongoing - Head of Housing Strategy, Property & Investment.
7. Continue to enable vulnerable households with complex needs to live independently their own home through the work of the integrated (pan tenure) Housing Adaptations Service - ongoing -Operational Manager Housing Adaptations.
8. Subject to needs assessments continue to review options for any further HCA funding toward specialist homes for older, disabled and vulnerable people under 2016 – 21 Shared Ownership and Affordable Housing Programme - subject to overall business case. Via SAB & Monthly Homes & Communities Agency (HCA) meetings - Head of Housing Strategy, Property & Investment.

Measures of Success

- Progress the construction of the Brook Mead Extra Care Housing Scheme -November 2017
- Increase in vulnerable households living independently (KPI)
- Increase in level of adaptations (KPI)
- New support contracts in place that contributes to the prevention of homelessness (KPI)

Effective implementation of affordable housing policy in the City Plan	Head of Planning	50	31/03/18	01/04/15	31/03/18
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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: The Affordable Housing Policy is part of the City Plan which was Adopted by Full Council on 24th March 2016. The affordable housing policy sets a target for securing affordable housing as part of new housing developments (e.g, 40% affordable housing of 15 or more dwellings). There is flexibility built into the policy to allow for a lower amount where a developer can demonstrate that the target would render the scheme unviable - they are required to provide evidence to demonstrate this (a viability assessment). Guidance on affordable commuted sums agreed at EDC Committee in June 2016 and further guidance on when commuted sums for larger sites (15 plus dwellings) added to the Developer Contributions Technical Guidance in January 2017. Using commuted sums will enable flexibility in terms of delivering genuinely affordable housing. This is regularly monitored by the S106 Officer in the Major Applications Team and annual reported to Policy Resources & Growth (PR&G) Committee. Consultation started in October 2017 on an 'Open Book ' approach to viability evidence submitted to support planning applications - this is a requirement if an applicant is proposing lower amounts of affordable housing. It is intended to introduce this in Feb. 2018 following a decision at Tourism, Development and Culture (TDC) Committee. This will provide more open and transparent information on levels of affordable housing secured through planning permission.</p>					
<p>Explore options with universities to improve student accommodation provision to meet forecast growth in student numbers.</p>	<p>Assistant Director Housing</p>	<p>50</p>	<p>31/03/18</p>	<p>01/04/15</p>	<p>31/03/18</p>
<p>Comments: Student Housing Study to inform both City Plan Part 2 and Student Housing Strategy refresh has been commissioned and completed following review. Student Housing Study likely to impact on premis of 'forecast growth in student numbers' as this is not supported by new projections (subject to review). Executive Leadership Team (ELT) and Leadership Board to consider updated draft Student Housing Study and issues arising prior to any release for Housing & New Homes (H&NH) Committee as part of update on Student Housing Strategy proposals. Report planned for Nov 17 H&NH Committee. The Strategic Housing Partnership briefed on progress to date with consultation task and finish groups informing Student Housing Strategy development. A report is planned to Housing & New Homes Committee in November 2017 reviewing the evidence and seeking permission to go out for Student Housing Strategy consultation during 2018.</p>					

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Housing Revenue Account (HRA) stock improvement & estate regeneration initiative ' New Homes for Neighbourhoods' to increase affordable housing supply	Assistant Director Housing	75	31/03/18	01/04/15	31/03/18

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Housing Revenue Account Asset Management Strategy is aligned to Housing Strategy in support of improving housing supply & housing quality. Housing stock review is an ongoing process. HRA asset management strategy (HRA AMS) has been approved by Housing and New Homes Committee and P&R Committee March 2016 for 2016-2020. Post Grenfell tragedy HRA AMS review considered at September 2017 Housing & New Homes Committee. Review and update via Capital Programmes and related plans, including ongoing consultation with residents at Area Panels and Home group – Capital Investment Programme 2018/19 currently subject to consultation to inform Budget reports for January 2018.</p> <p>HRA AMS supports increasing housing supply through:</p> <p>Our 'New Homes for Neighbourhoods'(NHFN) estate regeneration programme to deliver new affordable homes in the city. As at October 2017, 34 homes have been completed and let with 139 homes due to be completed in 2017/18(including delivery of Kite Place and Brooke Mead projected during Q2 17/18). An additional 121 units (11 sites) are in the immediate pipeline.</p> <p>Improving supply through HRA housing stock review continues through Hidden Homes programme and identification of sites for NHFN. Previously examined areas of the stock will be reviewed with particular focus on potential opportunities in the development areas identified in the adopted City Plan part 1 with the aim of identifying key sites for NHFN programme - Head of Housing Strategy, Property & Investment.</p> <p>Future HRA investment risks arise through reaching the HRA borrowing cap. Mitigation includes:</p> <ul style="list-style-type: none"> * Development of additional Housing Delivery Options: Living Wage Joint Venture with Hyde proposal to deliver 1,000 new lower cost homes for rental and sale; and, Housing Market Intervention / direct delivery through council wholly owned housing company * Greater Brighton Housing & Growth Sites Working Group is aiming to accelerate delivery of new housing supply through freedoms and flexibilities sought as part of the wider Greater Brighton Devolution proposals, including raising the HRA borrowing cap. *Regular Review through regular Estate Regeneration Programme Board officer and member meetings. <p>Next Steps:</p> <ol style="list-style-type: none"> 1. In partnership with Estate Regeneration Team finalise LWJV legal documentation to enable relevant Boards to be consulted before the LWJV is established in line with decisions and officer delegations (November 2017). 2. In partnership with Estate Regeneration Team continue to progress proposed governance arrangements, sites and documentation for Housing Company (December 2017) 3. Continue to identify additional opportunities to deliver additional housing in the City and report via Estate Regeneration Board and Committee (January 2018). <p>Head of Housing Strategy, Property & Investment / Lead Regeneration Programme Manager</p>					

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Investigate options for council resources to develop finance expertise to increase council's ability to negotiate effectively with developers and local private agents re. schemes for housing and to provide affordable housing	Assistant Director Housing	75	31/03/18	01/04/15	31/03/18

Comments: Affordable Housing – Housing Delivery Options

Improving housing supply in the City, in particular the supply of affordable homes, is a key aim of both our Housing Strategy and City Plan. In addition to existing means of improving housing supply, the opportunities considered for accelerating the delivery of new affordable homes in the City are:

1. Living Wage Joint venture (LWJV)- with Hyde Housing Association to acquire land and develop new homes for sub-market rental and sale for local people. The JV company would deliver 500 Living Wage rented homes and 500 Shared Ownership homes for local people.
2. Wholly Owned Housing Company (WOHCO) - options for the local authority to: intervene in the housing market as a potential purchaser / lessee of new accommodation being brought forward on development sites in the City or sub-region; and, direct development of new homes in order to meet identified housing needs.

The LWJV business case and priority sites were approved (as amended) at 25 September H&NH Cttee and at October PRG Committee.

Next steps:

1. In partnership with Estate Regeneration Team finalise LWJV legal documentation to enable relevant Boards to be consulted before the LWJV is established in line with decisions and officer delegations (Head of Housing Strategy, Property & Investment / Lead Regeneration Programme Manager , November 2017).
2. In partnership with Estate Regeneration Team continue to progress proposed governance arrangements, sites and documentation for Housing Company (Head of Housing Strategy, Property & Investment / Lead Regeneration Programme Manager, December 2017)
3. Continue to identify additional opportunities to deliver additional housing in the City and report via Estate Regeneration Board and Committee (Head of Housing Strategy, Property & Investment, January 2018).

Housing Strategy & Enabling Team continue to work with Planning, developers, as well as Homes & Communities Agency and Registered Provider Partners on our Affordable Housing Delivery Partnership, to enable maximum delivery of new affordable homes on development sites in the city in line with our Affordable Housing Brief and City Plan requirements under City Plan (CP) 20 Affordable Housing.

Recent activity includes a successful Shared Ownership & Affordable Housing Programme Bid for rough sleeper move on. Shared Ownership and Affordable Housing Programme (SOAHP) Funding Agreement with Legal for comment prior to return to Homes & Communities Agency (HCA) for further review.

Work also completed with HCA and colleagues across the council on bidding for the Housing Infrastructure Fund. Four bids were submitted and if all were successful it could bring up to £38m of additional funding into the city helping to release a potential 1,600 homes.

Head of Housing Strategy, Property & Investment through regular meetings with HCA and of Affordable Housing Delivery Partnership. Ongoing October 2017.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Investigate options to procure more housing for affordable rented and shared ownership use	Assistant Director Housing	75	31/03/18	01/04/14	31/03/18
<p>Comments: Affordable Housing – Housing Delivery Options</p> <p>Improving housing supply in the City, in particular the supply of affordable homes, is a key aim of both our Housing Strategy and City Plan. In addition to existing means of improving housing supply, the opportunities considered for accelerating the delivery of new affordable homes in the City are:</p> <ol style="list-style-type: none"> 1. Living Wage Joint venture (LWJV)- with Hyde Housing Association to acquire land and develop new homes for sub-market rental and sale for local people. The JV company would deliver 500 Living Wage rented homes and 500 Shared Ownership homes for local people. 2. Wholly Owned Housing Company (WOHCO) - options for the local authority to: intervene in the housing market as a potential purchaser / lessee of new accommodation being brought forward on development sites in the City or sub-region; and, direct development of new homes in order to meet identified housing needs. <p>The LWJV business case and priority sites were approved (as amended) at 25 September H&NH Cttee and is to be considered at October PRG Committee.</p> <p>Next steps:</p> <ol style="list-style-type: none"> 1. In partnership with Estate Regeneration Team finalise LWJV legal documentation to enable relevant Boards to be consulted before the LWJV is established in line with decisions and officer delegations 2. In partnership with Estate Regeneration Team continue to progress proposed governance arrangements, sites and documentation for Housing Company 3. Continue to identify additional opportunities to deliver additional housing in the City and report via Estate Regeneration Board and Committee 					
Work through City Deal with regional partners & LEP to promote Economic development incl increased sub-regional working to meet housing need	Head of Planning	70	31/03/18	01/04/15	31/03/18

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
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Comments: Oct 17 - Agreement from Coastal West Sussex and Greater Brighton Board to work on Local Strategic Statement 3 which is strategic statement for the area that will look at key strategic across the wider area looking at housing numbers, economic growth and infrastructure needs. Funding identified and project manager to be recruited - this will start in Jan 2018.

Previous Updates:

Following work by the Greater Brighton Housing & Growth (GBH&G) Working Group to accelerate delivery of new housing supply a Local Strategic Statement 2016 was developed with the sub-regional planning group to consider the wide Greater Brighton area including Surrey.

March 17 update - Planning Update - ongoing work with Coastal West Sussex and Greater Brighton Strategic Planning on implementing the aims of the Local Strategic Statement 2016. Study on FEMA and HMAs for the wider area and recommendation to include Crawley within sub-regional planning group.

Greater Brighton Housing & Growth Working Group is aiming to accelerate delivery of new housing supply through freedoms and flexibilities sought as part of the wider GB Devolution proposals. Group continues to meet regularly taking forward the following matters: Homes & Communities Agency funding options - Starter Homes Expressions Of Interests, Home Builders Fund, Estates Regeneration Prospectus; Housing & Planning Act impact /considerations; Updates on One Public Estate Submission; Housing Delivery Models Proposals; Private Sector Rented matters; Feedback from C2C (Coast to Capital) LEP Housing Task Force; development and update on Large Sites Delivery Work. Next meeting Nov / Dec 2016.

Work with government departments and city region partners to agree a Housing Deal for the city region that will deliver powers and funding to deliver new homes.	Executive Director Economy, Environment & Culture	40	30/04/18	28/09/17	30/04/18
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Comments: A Greater Brighton city region workshop was held with Government Officials on 27th and 28th of September to explore the potential components of a Housing Deal between Government and Greater Brighton. The outcome report from the workshop is being considered by Greater Brighton Economic Board on 7th November 2017.

Work with partners to address student housing needs	Head of Planning	75	31/03/18	01/04/15	31/03/18
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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Oct 2017 - Student Housing Study updated and completed. Good progress on City Plan Part 2 that will have a policy to address student housing and allocate any further sites. Consultation on this to be undertaken in June 2017. Local Strategic Statement 3 will be prepared, starting April 2018, and this will explore strategic issues such as student housing. Student Housing Strategy Review underway - initial draft early 2018. Continued working with the Strategic Housing Partnership.</p> <p>In terms of managing concentration of Houses in Multiple Occupation (HMO) - City Plan policy is being implemented and where appropriate enforcement action taken against unauthorised HMOs. Additional resources have been given to the Planning Enforcement Team to support this work. Supporting purpose built student housing (PBSH) - Consent was given to Preston Barracks redevelopment in Sept 17 which will deliver 1200 purpose built student rooms. Work underway on Circus Street. Additional speculative schemes for PBSH reaching completion or underway on Lewes Road.</p> <p>The Student Housing Strategy review underway, informed by our most recent analysis of student number assumptions and supply and demand for student accommodation in the City.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR23	Unable to develop an effective Investment Strategy for the Seafront	Executive Director Economy, Environment & Culture Head of Sport & Leisure Assistant Director - City Development & Regeneration	BHCC Strategic Risk	22/11/17	Threat	Treat	Red L5 x I4	Amber L3 x I3		Revised: Adequate

Causes

Link to Corporate Plan: Priority Economy, Jobs and Homes: Regenerate the Seafront

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

Potential Consequence(s)

The heritages structures and infrastructure along the seafront require significant investment and ongoing revenue in order to ensure suitability for modern use, and to preserve and enhance the reputation of the city and its offer.

Existing Controls

First Line of Defence: Management Controls

- 1) Seafront Investment Programme and Strategic Delivery Board have been established and are actively considering seafront redevelopment opportunities including the Black Rock and King Alfred sites
- 2) Department for Transport (DfT) funding secured for the redevelopment of the West Street / A259 Junction and Shelter Hall. Initial infrastructure work commenced late 2015
- 3) Coast Revival Funding secured to develop Madeira Drive Investment and Regeneration Plan
- 4) Heritage Lottery Funding (HLF) secured for improvements to Volks Railway
- 5) Seafront Arches and A259 infrastructure Phase 2 works completed June 2016
- 6) P&R approval to commence seafront landscaping around i360 and seafront arches. PR&G approval to enter into a conditional development agreement with Standard Life Investments for the Brighton Waterfront Project
- 7) Installation of anti-climb fencing at Madeira Terraces November-December 2015 and continued work to minimise risk from potential structural failure.

Second Line of Defence: Corporate Oversight

Investment plan to underpin the Seafront Strategy and long term viability of the seafront infrastructure. Report to Policy, Resources & Growth Committee in October 2016;
Corporate Investment Board;
Cross-party Strategic Delivery Board.

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
The interim plans for Madeira Terraces are in development with identified budget; propping the structures, working with traders to create as good an environment for the short term as possible	Executive Director Economy, Environment & Culture	70	31/03/18	03/08/15	31/03/18

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: The Council is exploring practical solutions to secure investment to rebuild and regenerate the Terraces and secure the long-term future of Madeira Drive.</p> <p>Actions to date include:</p> <ul style="list-style-type: none"> • Planning permission secure for anti-climb fencing • £50,000 funding secured from CLG's Coastal Revival Fund for £50,000 to develop investment and regeneration options. Draft Madeira Drive Regeneration Framework anticipated November 2016. <p>Update Mar 17 - next steps on-going</p> <ul style="list-style-type: none"> • Continue to explore potential solutions to secure investment to rebuild and regenerate the Terraces • Continue to liaise with affected tenants and relocate to alternative accommodation where possible • Continue to liaise with tenants on the on-going operation of Madeira Drive <p>Update August 2017 - Crowd funding led by Visit Brighton has been launched with a target of £431k to restore 3 arches.</p> <ul style="list-style-type: none"> • As at 17 Aug 2017 £144k pledged including £100k allocation by the council. • Relocation of recoding studio completed in Spring 2017 <p>Update October 2017.</p> <ul style="list-style-type: none"> - Crowdfunding Campaign ongoing with half of the funding target met and over 1000 pledges - Heritage Lottery Fund Application being developed for submission December 2017 					
Work to implement the HLF funded plans for Volks can continue with the success of stage 2 funding bid.	Seafront Development Manager	90	31/10/17	01/11/15	31/10/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Project Manager and Activity Plan Managers now appointed.</p> <p>Design Team are appointed and all Planning consents in place. Tender completed for train carriage restoration and contractor has now commenced work on 2 of the 3 trains. Tender completed and main building contractor appointed. Work started on site September 2016 and is due to be completed Spring 2017 for the railway to re-open.</p> <p>Update Mar 17 - Demolition of both the Aquarium Station and train sheds have been delayed until redundant utility services could be disconnected. The project has been delayed as a result. All off-site works such as the restoration of 3 train carriages and the prefabrication of the Aquarium station and visitor centre are continuing as planned. It is anticipated that the project will now be completed October 2017.</p> <p>Update June 2017, (confirmed as the case in August) - The new Aquarium Station has been manufactured and installed on site. Practical completion is expected end-July. The foundations and steel framework of the Conservation workshop have been completed and cladding of the building is due to commence shortly. The expected practical completion date of this building is 27th September.</p> <p>Updated October 2017 - The new Aquarium Station has opened to the public and a limited train service is running throughout half-term. The Conservation Workshop is expected to be completed by mid-November. 1 of 3 train carriages has been restored and returned to site. The remaining 2 carriages will be restored and returned by the end of December.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR24	The impact of Welfare Reform increases need and demand for services	Executive Director of Finance & Resources Welfare Reform Programme Manager	BHCC Strategic Risk	22/11/17	Threat	Treat	Amber L3 x I4	Amber L4 x I3		Revised: Uncertain

Causes
Introduction of Universal Credit during 2015/16 with extended roll out during 2016 and thereafter. Implications for staffing levels within services; rent collection; council tax collection, and pressures on social services and homeless services.
Additionally further to the July 2015 national budget a new programme of welfare reform commenced from April 2016. In Brighton and Hove the full Universal Credit rollout takes place between October 2017 and January 2018.

Potential Consequence(s)
Increased service pressures on housing and social services.
Decreased rent and Council Tax collection.

Existing Controls

First Line of Defence: Management Actions

1. A welfare reform team is in place to monitor welfare changes and to coordinate a corporate response to them
2. Ongoing meetings have been held with Department for Works Pensions (DWP) about change to Universal Credit. Budgeting and digital support has been commissioned from the third sector to support Universal Credit claimants. Full rollout has commenced from 4th October
3. Information is provided to inform housing and children's services colleagues re changes to benefit cap policy and impact on funding of temporary accommodation. Analysis of impact of the changes to the benefit cap in 2016 has been done and strategy to minimise the impact of these changes has been in place from November 2016.
4. Council Tax Reduction (CTR) policy options provided to members to give the option to partially mitigate impact of Tax Credit changes on local CTR costs as part of CTR yearly process. Reports will continue to be authored for committee and council and consultation undertaken as appropriate.
5. Provide caseworking support directly to customers most significantly affected by the changes (specifically the benefit cap)
6. Regular links maintained with advice and voluntary sector so impacts on citizens can be judged
7. Modelling of specific policies being undertaken to assess the impact on customers in terms of numbers and change.
8. Feeding into other relevant council work streams, eg library service leading digital inclusion including for Universal Credit claimants, actions around the City Employment Support Plan and the communities prospectus from 2017.
9. Detailed risk register for Welfare Reform reviewed quarterly and logged with Senior Responsible Officer

Second Line of Defence Corporate Oversight:

Corporate oversight at cross service Universal Credit programme board and six monthly scheduled to Corporate Management Team.

Regular reports to Leadership Board.

Executive Leadership Team (ELT) Full Council, PR&G, and the NICE Committee are all focused on this risk.

Third Line of Defence Independent Assurance:

Internal Audit

Reason for Uncertainty of Effectiveness of Controls: It is not possible to project accurately the number of families who may require extra assistance from the council, either in terms of housing need or increased demand for other services. Previous experience suggests that some claimants find a way to close income gaps, but the position is not fully understood.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Benefit cap - casework support programme to support people affected by the benefit cap	Welfare Reform Programme Manager	75	31/03/18	01/06/15	31/03/18

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Comments: updates prior to January 17 archived					
January 2017					
A Job Centre Plus work coach has been embedded with the Benefit Cap team for a period of six months.					
Existing benefit cap cases had the new amount of cap applied from 7th November, new cases were notified to the council in January and the deductions are being applied to their Housing Benefit claim. So far approximately 450 cases have the cap applied which is lower than the DWP estimate of 680 cases however the value of the cap per cases is greater. The DWP have indicated they are still checking the details of some cases which may be potentially capped so we may be notified of more capped cases over time. The benefit cap team are working with the customers affected by the cap as expected.					
April 17					
Discretionary Housing Payment funding for 17/18 has been confirmed by government and set at £1.13m. This is an increase of £354,000 from 16/17 and does provide some certainty around our capacity to support cases which have been affected by the increase in the benefit cap in the short term.					
87 cases have been removed from the cap due to changes in rates of rent in temporary accommodation. The team continues to work with the remaining cases. Local Job Centre Plus funding under the Flexible Support Grant will end on 31st May 2017 and a review of the programme relating to the funding is scheduled with JCP colleagues in June. Funding has been identified to continue intervention work for the remainder of 17/18.					
June 2017, caseload is being managed within DHP budget, there are a number of households we are finding it difficult to get engagement with so outreach work is underway. JCP funding has now stopped and the reserves which have been used to support this work are unlikely to be sufficient to enable the work of the team in its current form to continue into 2018/19. In response to this a business case is being developed to explore a spend to save case for mainstreaming this work. End date for this risk extended until 310318 aligning with current support provision.					
Oct 2017 - The team continues to engage with customers affected by the benefit cap. Cases where threats to housing have started to occur have been supported by the team and evictions prevented. A key focus is now on building links with local Jobcentres so that cases which are on Universal Credit and capped can be referred to the team for support. A decision on the resourcing for this team from April 2018 will be required as a part of the budget process and this work is underway.					

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Keep relevant staff and stakeholders up to date with information as it becomes available	Welfare Reform Programme Manager	75	31/03/18	01/06/15	31/03/18
<p>Comments: Programme governance in place (Senior level, operational level, City Wide Partners level) in place and meetings happening as planned. Members briefed as appropriate through various channels.</p>					
<p>updates prior to Jan 2017 archived</p>					
<p>January 2017</p>					
<p>Internal operations group and city wide are now focussed on issues surrounding the full roll out of universal credit. A separate meeting will be organised with Registered Social Landlords who operate in the city. Briefings are being held with relevant services and organisations across the city to brief them of the changes, for example children's centres, health visiting teams and private landlords groups.</p>					
<p>This action has now been extended until December 2017 to reflect the fact that the full roll out of Universal Credit is due to start in the city in October and November 2017.</p>					
<p>April 2017</p>					
<p>All actions around communicating information about welfare reforms to stakeholders continue. It is anticipated the main focus will be on Universal Credit and related issues for the rest of the year which is captured in a separate specific risk heading under SR24</p>					
<p>October 2017 - All actions around communicating information about welfare reforms to stakeholders continue with a focus around the rollout of Universal Credit including several bespoke meetings and the production of a booklet providing advice and local resources to support people claiming Universal Credit</p>					
Prepare for Universal Credit (UC)	Welfare Reform Programme Manager	80	01/12/17	04/05/15	01/12/17
<p>Comments: Updates prior to Jan 2017 archived</p>					
<p>January 2017</p>					

The Government have now published a detailed timetable for the roll out of Universal Credit. From October and November 2017 all new claims for working age people in Brighton and Hove will be made for Universal Credit. This will include families, people with young children, and people with issues relating to health and disability.

Work is required to prepare services for this change and the scoping phase of this project is underway which largely involves gathering information from services about the impact of this. There will also be a need to recommission budgeting and online support for Universal Credit claimants. This will be funded by the DWP but commissioned by the Council. A report is due to go to ELT setting out the main risks around the introduction of UC and the organisations readiness to deal with it.

The end date of this action has been extended to 01/12/17 to reflect full roll out dates of Universal Credit.

February 2017

Scoping has been undertaken with different service areas including Rev and Bens, Housing, Children's Safeguarding and Care, Adult Social Care. Meetings of operational managers are underway to plan mitigations for the identified risks.

Additionally information has been requested of colleagues and stakeholders in the city who are not part of the Council. This has been done via the welfare reform city wide meeting which contains representatives of social and private landlords, the advice sector and CVS.

Indicative but not final figures have been provided by DWP for funding of local budgeting and online support requirements.

A report is due to ELT on 8th March setting out the main risk areas and the proposed approach to mitigations. Further to this a meeting will be held with senior colleagues from relevant services on 25th April. Meetings with operational managers will continue and form the core delivery group for the actions attached to this work.

April 2017

Scoping work has been completed and an initial Risk Register and Programme plan of work has been completed and actions are underway. The briefing to ELT and Leadership board went ahead and senior officers and members are sighted on the key issues, the Administration have expressed increasing concern about the potential impact of the rollout of UC in the city. Staff have visited Croydon who have been live with full service UC for over a year to learn lessons. Project meetings will commence in the first week on May.

June 2017 - project meetings underway and project actions are being delivered, even with these actions there are still a number of Red rated risks on Risk Register which have been agreed by the project board and will be escalated.

July 2017 - report on cross service readiness for Universal Credit has been requested for the October NICE committee

Oct 2017 - Report on Universal Credit readiness will be presented to the NICE committee on 9th October. UC full service will roll out in the City between Oct 2017 and Jan 2018. A cross service programme of work is in place to prepare for this which holds a separate project plan and risk register.

Provide policy options and author reports to give members options on policy issues e.g. Council Tax Reduction	Welfare Reform Programme Manager	80	31/03/18	01/04/15	31/03/18
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Comments: updates prior to Jan 2017 archived

January 2017

Report has gone through P,R&G and Full Council and changed agreed for the scheme from April 2017. Systems testing on year end software is underway. Letters are scheduled to be sent to customer affected giving them advance notice of the changes and inviting them to apply for discretionary funds in Mid-Feb. Technical changes to scheme documents will be made before the end of the financial year.

April 2017

End date rolled forward to 31/03/18 to capture potential impact on CTR from UC and the potential needs for changes to the scheme this may create. Actions have been captured in the UC programme plan

June 2017 - Early work done around impact to CTR, direction expected from finance colleagues shortly around required approach to CTR this year.

Oct 2017 - Council Tax Reduction review is on track to be reported to Council in December

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR25	The lack of organisational capacity leads to sub-optimal service outcomes, financial losses, and reputational damage	Executive Director of Finance & Resources Head of Human Resources & Organisational Development Head of Policy, Partnerships & Scrutiny	BHCC Strategic Risk, Professional / Managerial	22/11/17	Threat	Treat	Amber L3 x I4	Amber L3 x I3		Revised: Uncertain

Causes

Link to Corporate Plan: Outcome ' A modern council: Providing open civic leadership and effective public services'
 Loss of resilience of organisation due to pace of change, reduction in staff numbers, changing staff and loss of knowledge and history.
 Expectations over the services that the council is able to provide and the way in which they are provided.

Potential Consequence(s)

- * Capacity to undertake change work to design high quality services is lost
- * Negative impact on fulfilment of statutory duties
- * Partnership working becomes more fragile as a result of personnel change
- * Personal resilience tested by increased workloads leading to potential stress and sickness
- * Difficulty of recruiting staff to key posts as a consequence of the rapidly increasing costs of living in the city

Existing Controls

First Line of Defence Management Control:

1. New Director of Neighbourhoods, Communities & Housing (NCH) is bringing the Neighbourhoods agenda forward – this includes the potential for delivering services in different ways, including by extending use of Digital.
2. Management capacity and capability will be enhanced by new Behaviours Framework and Management Development Programme
3. Adverse operating conditions are identified, and plans are being created to mitigate these.
4. 'Better Brighton & Hove' think tank is being set up to deliver greater capacity for research and policy development.
5. Human Resources & Organisational Development (HROD) activity to be pulled together into single 'People Strategy' to ensure staff-related initiatives are better co-ordinated.
6. Business Planning process including Directorate Plans applies delivery of Corporate Plan to each service area
7. Some statutory Performance Indicators (PIs) are Key PIs and are reported regularly to ELT, quarterly or annually.
8. Other Management Information for example from the annual Staff Survey highlighting areas for focus.
9. HR Business Partners support Directorate Management Teams (DMTS) to monitor staff absence & welfare including managers' compliance with regular 1 to 1s, return to work interviews and record keeping on HR software, PIER. This include regular data insight reports bi-annually.
10. HR policies and arrangements in place to address concerns of both management and staff, e.g. Occupational Health Referral newly procured with provider operational across Orbis partners; whistle-blowing; and PDP guidance for managers
11. HR & OD organised consultative groups to develop a council Behavioural Framework approved by ELT in November 2016. This sets expectations of standards of behaviour and performance
12. HR Business Partners assist DMTs to determine any necessary interventions to improve service capacity

Second Line of Defence Corporate Oversight:

ELT and City Management Board exchange details of working arrangements and changes to key personnel across organisations

ELT tasked with taking stronger cross-City leadership role, e.g. with universities and the health sector.

Emerging actions following Budget Stress Testing exercise

Portfolio of modernisation projects and programmes enabling increased organisational capacity such as ICT infrastructure, Business Improvement, Digital First, Workstyles, People and Culture Change

Third Line of Defence Independent Assurance:

None

Reason for Uncertain Status of Effectiveness of Controls

Management to ascertain impact on services following outcome of 2017/18 budget round.

Where resources have been reduced, management to identify the validity and strength of key controls.

Formal assurances to be sought from these areas over the ability to maintain and operate the controls.

Material concerns to be reported by Internal Audit to Audit & Standards Committee.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>'Better Brighton & Hove' think tank to deliver greater capacity for research and policy development.</p> <p>Comments: Oct 17 - A Better Brighton & Hove became operational in October 2017. In its first year it has funded various projects, from research to a one-off event, and has generated interest from various organisations across the city. The Think Tank aspect has invited presentations and discussions on various topics, some of which include machine learning and a potential proposal to encourage Brighton & Hove to become the leader in EV charging points. The actual benefit of projects funded has yet to be realised as most are still in the initiation phase but the potential benefits will continue to be monitored and analysed as the projects progress.</p> <p>July 17 update - Better has continued to meet and provide capacity and funding to specific areas of work, including Young Men Project; Transport Vision; Telehealth. Agreed in principle but specific funds to be agreed relate to 3D Mapping; Economic Strategy support Further potential areas include Parks; Social Enterprise Support.</p>	Head of Policy, Partnerships & Scrutiny	50	31/03/18	04/07/17	31/03/18
<p>Business case has been developed to pilot First Care Solutions as a pro-active absence management solution which has shown results and is in use at Surrey; and East Sussex Councils</p>	Head of Human Resources & Organisational Development	75	31/03/18	01/02/17	31/03/18

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Full business case will be submitted to CMBD for approval in April 2017 with options for a a full council service role out or a targeted approach to test the model in terms of staff attendance and cost efficiency. Unions have been consulted and have raised some questions that are being worked through ahead of the case presentation.</p>					
<p>July 17 update - Full business case agreed at CMBD and approved at PRG. Contract signed in July. Need to highlight the benefits for staff of OH approach linked to wellbeing. Monitoring of sick stats once in place to assess impact but one clear benefit will be the improvement to management information.</p>					
<p>October 17 update</p>					
<ul style="list-style-type: none"> - Union and staff engagement continued, including initial communications and posters - A clear timeline is in place for implementation on 1st November (with some contingency subject to system checking and union processes) - Management training underway - Work linked to the wellbeing work-stream of the people plan to focus on the benefits of immediate medical advice and support for staff 					
<p>Corporate services now integrating into Orbis partnership following conclusion of Inter Authority Agreement in May 2017.</p>	<p>Executive Director of Finance & Resources</p>	<p>60</p>	<p>01/04/18</p>	<p>13/10/16</p>	<p>01/04/18</p>
<p>Comments: Integration with Orbis now well under way. Main challenge is effecting the transformation while delivering excellent services - genuine capacity risk. Draft 3 year business plan to Orbis Joint Committee on 16 October; full plan on 19 January 2018.</p>					
<p>HR & OD developing management development programme, including commissioning of Digital First training, to enhance capacity of first 4 tiers of staff</p>	<p>Head of Human Resources & Organisational Development</p>	<p>75</p>	<p>31/03/18</p>	<p>02/01/17</p>	<p>31/03/18</p>

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Project Manager recruited and will commence 30 Jan 17. Membership of CEB to provide quality resource for training materials that can be tailored to BHCC and learning and development activity managed via the council's learning management system.</p> <p>First module completed and further modules planned to March 18. Update October 2017</p> <ul style="list-style-type: none"> - Training for tier 1-4 managers on rated mid-year review process underway - 360 appraisal launched on 4th October - Information required for mid-year reviews on track - data insight, staff survey reports, 360 feedback - Agreement to provide targeted development for tier 3 and 4 managers following rated appraisal process 					
HR working with others to develop a people strategy taking into account organisational needs and informed by Corporate Plan refresh and Medium Term Financial Plan	Head of Human Resources & Organisational Development	50	31/03/18	01/04/16	31/03/18
<p>Comments: Current work on People Strategy identification is ongoing and will be prepared for Policy & Resources and Growth (PR&G) Committee in April 18. Draft strategy scope is available to be informed by refresh of corporate plan to 2020, the outputs of the budget scrutiny process and further informed by EFLG assessment report and workforce planning activity. October 2017 update People Plan work-streams provisionally agreed, and to be further discussed at ELT away day on 13th October Wellbeing work stream started with agreed actions and project lead by Head of Health and Safety Immediate change identified including use of CV's in recruitment to speed up process and encourage applications in hard to recruit areas Targeted use of market supplement to address areas where there are retention difficulties OD work in place to support change via the OD network of managers (training of managers will be completed by January 2018)</p>					
Internal Audit review completed in September 2017 - action plan to be worked through.	Executive Director of Finance & Resources	10	31/03/19	06/10/17	31/03/19

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

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR26	Not strengthening the council's relationship with citizens	Executive Director Neighbourhoods, Communities & Housing Head of Communications	BHCC Strategic Risk, Customer / Citizen	22/11/17	Threat	Treat	Amber L3 x I4	Amber L3 x I3		Revised: Adequate

Causes

Link to Corporate Plan: Outcome ' A modern council: Providing open civic leadership and effective public services'
 Potential reduced service offers by the council or its Key Partners may lead to poor perceptions from citizens
 Not enough use, promotion or development of service delivery through technology (linked to Digital First)
 Increased need to collaborate with other public agencies and third sector organisations to service citizens, including as a 'service of last resort'
 How staff across the council in key frontline directorates particularly Neighbourhoods, Communities & Housing (NCH) and Economy, Environment & Culture (EEC) embrace and promote the new ways of service provision to service users and citizens and forge links with others in the organisation for corporate buy-in
 Adverse media coverage may impact on courage to make decisions; and change

Potential Consequence(s)

- * Council's offer falls behind public expectations of services access and delivery standards in comparison with other organised public services and private organisations
- * Council's offer is not well defined, practiced or understood by citizens and communities
- * Council loses relevance with its local communities
- * Less support from the council from its citizens
- * The council's leadership role may be compromised if other organisations are influenced by negative perceptions

Existing Controls

First Line of Defence Management Controls:

1. Customer Feedback, including complaints and survey methods monitor council reputation, e.g. City Tracker, Media Monitoring
2. Increased joint commissioning with other public sector organisations to demonstrate value for money
3. Corporate Plan 2015-2019 emphasises working with Communities
4. Front line services work to manage down demand, as detailed in the Directorate Plans for Adult Services and children's Services
5. Health & Adult Social Care work closely with the Clinical Commissioning Group (CCG) and Public Health England to ensure planning of delivery to our residents
6. Directorate Management Teams. particularly in NCH and EEC, monitor impacts on customer and services

Second Line of Defence Corporate Oversight:

1. 'Horizon scanning' by the Executive Leadership Team (ELT) and Directorate Management Teams (DMTs) of legislative change affecting council service delivery
2. Officer Steering Group representing 5 biggest customer service functions meets regularly to analyse impact on citizens and plan improvements
3. CCG and council work on the Health & Wellbeing (HWB) Board, including co-location at Hove Town Hall
4. Corporate Modernisation Board, chaired by Chief Executive, establishes and deploys resources to make changes most effectively in 6 workstreams related to NCH, including support from PIP on Programme Management, e.g. business cases, progress review, timetable
- 5, Neighbourhoods, Communities & Equalities (NCE) Committee oversight of programmes relating to the 6 workstreams in NCH

Third Line of Defence Independent Assurance:

Local Government Association (LGA) Peer Review in April 17 checks council relationship with citizens, reputation and governance

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Develop customer service standards and reporting against these standards	Head of Performance, Improvement & Programmes	60	30/03/20	20/04/16	30/03/20

Comments: Customer Promise has been developed by the Customer Experience Steering Group consisting of services representing high transactions with the council and other key services. This has been developed in consultation with customers and Institute of Customer Service and was approved by the Executive Leadership Team in August 16. The promise has been launched across the organisation along with the guidance. A Transition Table has been developed to clarify what a 'fully ready' state would look like in terms of delivering excellent customer service. Next steps are - communicate to customers via various channels + provide support to services in delivering actions . Our performance against these standards gets reported in the Customer Insight Report. Monthly Customer Insight Dashboards are now being prepared to strengthen management information.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Development of Collaboration Framework Action Plan	Head of Communities, Equalities & Third Sector	10	31/01/18	02/10/17	31/01/18
<p>Comments: Council Management Board signed off the Collaboration Framework in early October 17. Work is now to create an action plan for sign off and enable progress monitoring.</p>					
Finance work with partner authorities on developing lobbying arrangements to push central government to clarify and maximising future income streams and government grants	Executive Director of Finance & Resources	80	23/02/17	20/04/16	23/02/17
<p>Comments: Finance working with central government (including Department for Communities & Local Government / LGA Business Rates Steering Group) to explore direction of travel Finance working with Orbis to influence DCLG on social care budget issue. Finance working with SE7 partners to assess potential impact of different Business Rate Retention policy designs. Plans to do more with central government on Social Care issue, integration with CCG, and use of the additional funding (£10.5 million over 3 years). SE7 consultation agreed for pre-Local Government Finance (LGF) settlement.</p>					
Redesign citizen communications and feedback arrangements to enable ELT to make arrangements for service design and ensure relevance to the community	Head of Communications	40	31/03/19	20/04/16	31/03/19
<p>Comments: A Communications Strategy for the council 2017-2019 agreed with ELT and all political groups. The tone and content of our communications with citizens now consistently demonstrates:</p> <ol style="list-style-type: none"> 1. How the council is getting basic services right, protecting the most vulnerable people, supporting growth & regeneration that benefits everyone. 2. How the council is changing lives, enabling positive outcomes, working hard continually to make the city as a fantastic place to live, work and visit. 3. How the council listens, communicates responds and is a well-run democratic organisation 4. How the council is a well-run organisation providing high quality, value-for-money, community-led services, raise perceptions of the council as a well-run organisation. 5. Encourages engagement and involvement in the shaping and delivery of council services, including active interest and participation in local democracy 					

and decision making.

Our communications principles are:

1. We will put people – primarily our residents, staff, councillors and our partners - at the heart of our communications and recognise that it's them that drive everything we do.
2. We will involve residents and local stakeholders much more in how services are delivered; which will enhance understanding and usage of the council's services, and increase positive perceptions of the council delivering high quality and value for money services.
3. We will seek to create and embed campaigns which are more able to positively engage people in helping to shape and develop the council and make use of its services.
4. We will reflect a thorough knowledge and understanding of the city's diverse communities, showing that everyone is valued and celebrated, promoting Brighton & Hove as a place of opportunity for all in which the council, together with its partners, positively encourages and enables people to live their lives to the full.
5. We will celebrate and promote that we are a democratically run organisation, by promoting and advocating; we are a unifying organisation that uniquely has a mandate to speak on behalf of the city.

Tangible progress / achievements:

An 18 month communications campaign based on the three priorities (basics, vulnerable, growth) and service deliverables is progressing.

To deliver the communications campaign the council has to agree it's corporate narrative which is being done through a piece of work entitled the key deliverable. This sets out the council's priorities and how it will achieve specific commitments up until May 2019.

This is an imperative piece of work and significant progress has been made. It is expected that the key deliverables will be agreed by end of Oct 2017.

Following sign off communications campaigns will be developed and rolled out.

A fortnightly residents e-newsletter was launched in March, which aims to drive traffic to the council's news webpages and other web content.

Audience sign-up via the website has increased steadily from around 450 pre-launch to 1,200, exceeding the target of 1,000 by Dec 2017. Content for each issue aims to cover the three main priority areas, with a film as the lead story, plus links to priority website service areas and opportunities for breaking news announcements, used so far for tower block fire safety, joint statement on terrorist attacks, Albion parade announcements and registering to vote info for the snap election.

Open rates are consistently around 60% (compared to govt industry average of 23%) and click rate of around 15% (industry average is 3%).

We've produced and uploaded more than approximately 50 films from all directorates since April 2017. Positive viewing figures include

Secondary school admissions animation – nearly 900 views in four weeks

Save Madeira Terrace film – over 500 views in six weeks

Shelter Hall film – the original has had more than 7,500 viewings, the updated version 468 in three weeks

The Toads Hole Valley film resulted in a higher than average response to the planning consultation and in itself was a record-breaker – it had 1,464 views in a very short space of time.

The Garden Waste film has had over 400 views since launch on 1 June – positive feedback on this film was received from communications peers across the country via Public Sector Comms Headspace FB group led by 'Comms 2 point 0' (an industry group supporting best practice)

There has also been a huge rate of increase in Twitter followers in last three months because of a new tone and approach to the council's engagement

activity on social media.

Next steps:

Roll out the social media strategy

Create the council's newsroom on the website and consider new approach to working with local mainstream media

Use performance data to run alongside the basics, vulnerable and growth campaigns a 'you can trust us to....' Campaign

Work much more closely with Cityclean on communications and customer satisfaction

Volunteering Policy and delivery arrangements across council services and with Community & Voluntary Sector (CVS)	Head of Communities, Equalities & Third Sector	90	30/06/19	01/06/15	30/06/19
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Comments: Volunteering policy and toolkit agreed by NCE committee July 2016. Funding for host training agreed by CMDB Summer 2016. Host training commissioned from Community Works. Volunteer platform to improve the recruitment and management of volunteers has been explored and working group trailed a possible platform in early 2017.

Progress:

The platform trialed has been successful, and purchased. It has been populated by volunteer co-ordinators across the council. However, go live has been delayed due to GDPR issues. Lead officer is working closely with Digital First to overcome the issues. new go live date scheduled for December 2017.

A new group cross sector volunteering action group is being convened end of November. This brings together the volunteer leads in the key public sector organisations with volunteer leads in the CVS to work collectively on delivering the city's Power of Volunteering pledges. The new group will focus on increasing accessible volunteering.

Discussion about improving the accessibility of volunteering will be had at the next citywide volunteering implementation group as it is a key challenge faced by all public sector organisations.

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR29	Ineffective contract management leads to sub-optimal service outcomes, financial losses, and reputational damage	Executive Director of Finance & Resources Procurement Strategy Manager	BHCC Strategic Risk, Contractual / Competitive	22/11/17	Threat	Treat	Amber L3 x I4	Amber L2 x I4		Revised: Adequate

Causes

Link to Corporate Plan: Outcome ' A modern council: Providing open civic leadership and effective public services'

Historic sub-optimal contract specification due to:

- Initial failure to identify options for delivery, including reverting to 'what we've always done.'
- Lack of willingness to test existing suppliers against the market.
- Failure to prioritise contract management and lack of available resources to perform this task.
- Lack of commercial skills and failure by management to recognise their importance.
- Lack of willingness to hold 'difficult conversations' with suppliers.
- Low levels of senior engagement with suppliers.
- Poor understanding of markets and delivery models.
- Under-resourcing of the Procurement team.
- Lack of corporate oversight of contracting and commissioning.

Although unlikely to happen now, ongoing resource pressures in Procurement means this risk still exists.

Potential Consequence(s)

- Poor Value for Money (VfM)
- Financial losses
- Legal challenge from suppliers / service users
- Reputational damage for the council - both the administration and officers
- Poor outcomes or failure of services and associated impact on service users
- Diversion of scarce resources to resolve issues
- Loss of morale and stress for officers

Existing Controls

First Line of Defence: Management Controls

Utilise procurement function to ensure that appropriate and legally robust commercial delivery options are chosen and robust contracts are in place. Robust contract Key Performance Indicators (KPIs) in place so that contract performance and risk are understood.

Second Line of Defence: Corporate Oversight

Well-resourced corporate contract performance management oversight function to train and challenge contract managers and commissioners
Progress reviewed by Corporate Modernisation Delivery Board (CMDB), Members Oversight Group and Members Procurement Advisory Board

Third Line of Defence: Independent Assurance

Internal Audit and periodic review by Audit & Standards Committee

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Full Council approval for £1.2m investment in Contract Management resources approved on 23 Feb 2017 at Budget Council. This will provide for approximately 9.5 fte resources including legal support to ensure the set up of a Contract Management 'Centre of Expertise'. Recruitment is in progress as at 7 April 2017.	Executive Director of Finance & Resources	45	01/09/17	07/04/17	01/09/17
Comments: Recruitment complete and training underway for new staff this is in tandem with data analysis to identify where risks exist - this involves identifying maverick contract spend. Material contracts will also be risk-assessed in order to target resources in the most appropriate way. This process is under way and has 'first cut' savings targets of £0.5m in 2017/18 and £1.2m in 2018/19.					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR30	Failure to demonstrate Place Based Leadership, unable to promote the City-Region's business economy, employment & training opportunities; a poor reputation in delivering value for money for the business rate payer	Chief Executive Executive Lead Officer Strategy, Governance and Law Service Manager - Directorate Policy & Business Support Executive Director of Finance & Resources Executive Director Neighbourhoods, Communities & Housing Executive Director Economy, Environment & Culture Executive Director Families, Children & Learning	BHCC Strategic Risk	22/11/17	Threat	Treat	Amber L3 x I4	Amber L3 x I4		Revised: Uncertain

Causes

Link to Corporate Plan: Priority: Economy, Jobs and Homes: Deliver better business space and affordable homes/accommodation

Fulfilling the expectations of business, government and the wider community that Brighton & Hove City Council will lead the city well and be stronger in an uncertain environment. Whilst the council has already established effective partnership arrangements to benefit the city such as Brighton & Hove Connected, the City Management Board (CMB), Greater Brighton Economic Board (GBEB) and wider city regional based leadership, if it does not 'step up to the mark' and embrace its role for Placed Based Leadership the council may be perceived as less relevant to business and wider community and others due to factors such as:

- * Brexit's significant implications for the city's internal trade profile
- * reduced council expenditure and changes to the traditional municipal model
- * increased volatility for the city, the 3rd largest city in the UK for Services Exports per job, including the impact of changed trading arrangements with Europe which currently provides 75% of current trade

Potential Consequence(s)

- * Our civic institutions are unable to provide effective leadership to the city
- * City Wealth reduces
- * Business cannot grow
- * Inequality grows
- * Fragmentation of communities
- * Fragmentation of framework for public service institutions
- * Less funding available for services
- * Lost opportunity to position the city as a positive place to attract businesses and employees who will benefit city growth
- * Reputation of council suffers as civic leadership role in the city
- * Citizens and businesses have less confidence in engaging with the council

Existing Controls

First line of defence: Management Controls

Full Council

Policy, Resources & Growth (PR&G) Committee

Health & Wellbeing Board

City Management Board

Brighton & Hove Connected

Greater Brighton Economic Board, rotating chair representing each partners

Wider city region based leadership

Royal Society of Arts, Manufacturing & Commerce ('RSA') commissioned to work with political and managerial leadership (Nov 16 - Mar 17) to identify way forward to meet challenges

Corporate governance and processes to manage existing council business, eg Performance Management Framework

Second Line of Defence: Corporate Oversight

Local Government Association (LGA) Peer Review

Greater Brighton Board

Council Leadership Board & Leaders' Group oversight of RSA report due in April 2017

External Audit and Inspectorates (e.g. Ofsted) Reports

Third Line of Defence: Independent Assurance

HM Government

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Deliver Integration of health & social care within the city	Executive Director Health and Adult Social Care	10	31/03/19	14/02/17	31/03/19
Comments: October 17 Policy Resources & Growth Committee confirmed support for integration of health and social care based on the city place based geography. Agreed to start shadow year in 2018 progressing to full integration from April 2019. Shadow governance arrangements have been approved and the decisions are being mirrored for sign off by the CCG Governing Body.					
Develop Orbis as part of Place Based Leadership to reduce costs and improve service resilience	Executive Director of Finance & Resources	15	31/03/19	14/02/17	31/03/19

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Orbis growth strategy will develop from 3 year business plan - draft to Orbis Joint Committee on 16 October 2017. Final to the Joint Committee on 20 January.</p> <p>Aside from Business Operations (which already has multiple customers) the most likely source of growth is Revenues & Benefits.</p>					
Develop Stronger Families agenda and other measures to reduce pressures on family life	Executive Director Families, Children & Learning	65	31/03/18	14/02/17	31/03/18
<p>Comments: The Stronger Families Stronger Communities programme (the local Troubled Families programme) is in its sixth year of operation supporting improved outcomes for families with complex problems and delivering targeted family support to families before their issues become entrenched. Improved parental capacity supports whole family resilience and helps reduce the call on specialist services above the social work threshold. The Troubled Families programme is set to end in 2020 which, alongside reductions in core funding for early help interventions, remains a risk from 2019 onwards. Current activity with partners seeks to evidence the impact of this programme and make the spend to save case for continued local funding at programme tapers.</p> <p>Children’s Centres provide services for families for children under 5 including support with parenting and helping parents to access childcare and work.</p> <p>Early this year we brought together the Multi-Agency Safeguarding Team and Early Help Hub to create the Front Door for Families – a single point of contact for families and professionals. Both social work and family support services are using the Strengthening Families model of assessment and planning to identify and address the needs of the whole family.</p> <p>The next step is to develop a whole family working strategy for the council and partners in the city to encourage all services to consider families as an entity with overlapping problems that need to be addressed together.</p>					
Develop the city's physical assets, social and environmental infrastructure	Executive Director Economy, Environment & Culture	65	31/03/17	14/02/17	31/03/17

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Strategic Delivering Board is overseeing the City's Investment Programme of regeneration and infrastructure projects. Circus Street mixed- use regeneration scheme development agreement become unconditional and full construction commenced August 2017. Agreement for sale of Kings House agreed August 2017, Preston Barracks planning permission approved by Planning Committee subject to conditions September 2017 Phase 2 Seafront Arches completed and Phase 3 (Shelter Hall) in construction - September 2017 Housing Living Wage Joint Venture business Plan approved by PRG Committee - October 2017 Road infrastructure works ongoing (North Street and Elm Grove/A259 junction) - October 2017 Cross Party Asset Management Board established - September 2017</p> <p>Nest Steps:</p> <ul style="list-style-type: none"> - Agreement of Conditional Land Acquisition Agreement for Brighton Waterfront Project - November 2017 - Housing Infrastructure Fund application for King Alfred redevelopment consider by CLG - December 2017 					
<p>Improve community cohesion and leadership profile with communities, incl the introduction of community hubs & neighbourhood governance.</p>	<p>Executive Director Neighbourhoods, Communities & Housing</p>	<p>10</p>	<p>30/03/18</p>	<p>14/02/17</p>	<p>30/03/18</p>
<p>Comments: Links to NCH Directorate Objective 5 Improve community well-being & resilience. Directorate Plan Action 5.9 Increase social capital within communities of identity and place and collaborate working between communities and the council through training and development for staff on working with volunteers and communities, leading the development of neighbourhood governance inc LATS and supporting the delivery of neighbourhood hubs. Progress update Oct 2017 - TO INSERT</p>					
<p>Lead Strategy, Governance & Law services to give stronger effect to formulate public policy to increase socialisation within the city</p>	<p>Executive Lead Officer Strategy, Governance and Law</p>	<p>10</p>	<p>31/10/18</p>	<p>14/02/17</p>	<p>31/10/18</p>

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Work in progress with key partners across the city from all sectors to develop a City Vision for 2030. This is scheduled to be completed by autumn 2018. Steering Group overseeing the development process. Once this is in place, Corporate Strategy will be developed to clarify council's role in delivering city vision. After which Directorate Plans will be developed to clarify plans for delivery against which progress will be monitored as part of the Performance Management Framework. Corporate Policy Network in place coordinating a number of strategies across the organisation and links with partner agencies to ensure alignment. City Management Board in place coordinated by the Policy, Partnership & Scrutiny team. There are a number of partnerships such as transport reporting to the City Management Board.</p>					
<p>Partnership work with schools to deliver education which enables young people & meets requirements of local economy</p>	<p>Executive Director Families, Children & Learning</p>	<p>65</p>	<p>30/03/18</p>	<p>14/02/17</p>	<p>30/03/18</p>
<p>Comments: IAG partnership group (Information Advice and Guidance Group) meets half termly, has representatives from every secondary school and college, and training providers and representatives from employer organisations, supporting schools and young people to pathways to employment and training. Includes Enterprise Adviser Network, Sussex Learning Network, National Careers Service and all independent careers advisers in the city. New independent providers are also encouraged to attend this group, to raise awareness of their provision. Once a year, all local training providers present to this group, for their next year's offer.</p>					
<p>16-19 Curriculum and standards group meets half termly, and is made up of all schools with 6th forms and colleges and university representation- vice principals or heads of 6th form. Has regular engagement with the Coast 2 Capital LEP, employers, and supports progression to employment.</p>					
<p>11-16 Curriculum Deputies partnership group, focused on standards and curriculum.</p>					
<p>Secondary and Continuing Education Partnership which now meets twice a year and is made up of secondary schools leaders, 6th form and FE college and universities. Considers wide range of topics and skills and IAG have featured strongly, providing pathways through secondary, FE and HE.</p>					
<p>Brighton & Hove Education Partnership chaired by Pinaki Ghoshal, and made up of representatives from all schools' phases and universities and 6th form colleges- developing and supporting positive education pathways and improving standards.</p>					

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Programme to enhance the council's role to support the city economy and promote business	Executive Director Economy, Environment & Culture	50	30/03/18	14/02/17	30/03/18
<p>Comments: Corporate Modernisation 'Supporting Business' programme established. The Supporting Business Modernisation programme has the following workstreams:</p> <ul style="list-style-type: none"> - Developing the business case for the refurbishment of Brighton Town Hall along the 'City Hall for Business Model'. - Improving the delivery of joined up transactional council services to businesses through Digital First - Establishing a pool of Business Ambassadors who can support the city with business leadership to develop the city's Inward Investment, Trade & Export Strategy - Redesigning the City Council's Economic Development and International functions to align them to the changing needs of the city economy., <p>Next Steps:</p> <ul style="list-style-type: none"> - Business case for Brighton Town Hall refurbishment to be considered by Corporate Modernisation Board - December 2017 - Digital First discovery work and business process review - Q3 2017/18. - Appointment of Business Ambassadors Spring 2018. 					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR31	Greater liability on the council's budget due to budgetary pressures on schools	Executive Director Families, Children & Learning Service Manager - Directorate Policy & Business Support Assistant Director Education & Skills	BHCC Strategic Risk	22/11/17	Threat	Treat	Red L4 x I4	Red L4 x I4		Revised: Uncertain
<p><u>Causes</u></p> <p>Schools' ability to manage the pace and change of school budget reductions and costs of implementing cumulative cost pressures, such as pay rises, higher employer contributions to national insurance, the teachers' pension scheme and the impact of reducing numbers of pupils starting at reception level in Brighton & Hove affecting pupil based funding, will impact on the council's budget for all service delivery.</p> <p>Early indications are that the level of schools' surpluses will fall from £2.895m at 31/03/17 to £1m at 31/03/18. This projection would result in an overall overspend on schools of £1.398m (£2.398m-£1m) at 31/03/18, which would need to be met from reserves.</p> <p><u>Potential Consequence(s)</u></p>										

- *If the level of licensed deficits in 2017/8 is still required by schools which already have Licensed Deficit agreements continuing into 2017/18 then the council will not be able to license any new deficits for other under the current scheme
- * Inequality between schools and impact on relationship between the majority of schools and the council
- * Increased council support to assist schools to improve procurement options, work collaboratively and manage workforce better
- * Stakeholder dissatisfaction due to changes in service location of provision
- * External auditors may reduce their rating of the Council's ability to secure Value for Money
- * If a school is unable to provide sustainable strategies in order to balance their budgets, Finance will have to apply tougher sanctions e.g. removal of a school's delegated financial powers
- * If educational performance requires a school which has is already in deficit to transition to academy status, the DfE policy is that the council will fund the deficit from its core budget and recover the monies from the academy trust and the council will not receive monies until the DfE is satisfied that the amount is a true reflection of what is owed and both parties agree
- * Schools may decide not to 'buy-back' services from existing council support services, reducing workforce

Existing Controls

First line of Defence - Management Controls

1. Annual meeting between Executive Director FCL and Executive Director F&R where budgets are scrutinised and challenged by the Directors to minimise the level of deficits required and ensure best use of public money. The scheme for financing schools, currently allows 40% of the carry forward balance to be used for licensed deficit agreements
2. School budget plans for 2017/18 were finalised on 9 June 17
3. Schools' finance team monitor the budget position for each school
4. Schools' finance team hold regular finance meetings with schools in licensed deficit and a process for schools causing financial concern was introduced in spring 2017

Second Line of Defence - Corporate Oversight

1. For schools in deficit, a Strategy Board has been established with the prime focus upon the school's management of its budget.
 2. The position for schools will be reported to Families, Children and Learning Directorate Management Team (DMT) as part of the TBM reporting process.
 3. Under the Scheme for Financing Schools, the Local Authority (LA) can issue a Notice of Concern where the school has failed to comply with any provisions of the scheme, or where actions need to be taken to safeguard the financial position of the local authority or the school
 4. Report to Policy Resources & Growth (PR&G) Committee on 13 July 2017
 5. Executive Leadership Team (ELT) report 21/6/17 outlined issues re Schools Balances, including recommendation to suspend the governing body's right to a delegated budget for reasons of financial mismanagement after giving the governing body notice of the suspension and if appropriate corrective action is not taken
- * Department for Education (DfE) policy on deficit balance
* Joint letter from Directors of Families, Children & Learning and Finance & Resources sent to all schools highlighting the level of school deficits this year and the wider implications for Council's budget's, with a notice that no further deficit budgets could be licensed.

Third Line of Defence - Independent Assurance

External Audit view of Value for Money

Secretary of State will decide upon any dispute concerning a deficit balance owed between an Academy Trust and the council Academy Trust

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Continue to work closely with schools to ensure that they manage the risk of an increasing deficit in order to limit the potential cost to the LA's budget.	Assistant Director Education & Skills	25	31/07/18	26/06/17	31/07/18

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Notices of concern are sent to schools as necessary, individual challenge meetings continue with schools and the training and support provided to governors continues.</p>					
<p>Establish Strategy Boards within Schools where the academic performance of schools is a concern</p>	<p>Assistant Director Education & Skills</p>	<p>40</p>	<p>31/08/18</p>	<p>26/06/17</p>	<p>31/08/18</p>
<p>Comments: The categorisation process has identified the schools whose financial position puts them at risk of a strategy board being established. Some schools, in line with our published categorisation process, may receive an initial visit from a School Improvement Partner to determine if a strategy board meeting is required. Boards will be established in the autumn term.</p>					
<p>Inform Members of the impact of DfE's calculation of notional individual budgets for schools in 2018/19 which will change so that it will NOT take regards of the locally agreed formula as agreed with the Schools Forum.</p>	<p>Assistant Director Education & Skills</p>	<p>15</p>	<p>31/01/18</p>	<p>26/06/17</p>	<p>31/01/18</p>
<p>Comments: We are awaiting further information from the DfE of notional allocations to schools under the planned formula, following the release of operational guidance in August 2017. This is expected to be received in September 2017 and the Schools Forum will be meeting on 9 October.</p>					
<p>Monitor and inform schools of the new national funding formula for schools</p>	<p>Assistant Director Education & Skills</p>	<p>75</p>	<p>31/01/18</p>	<p>26/06/17</p>	<p>31/01/18</p>

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: The funding documents from the Education & Skills Funding Agency were all sent out in September and we have advised the Schools Forum of what the implications may be locally. We are now in discussions with the Schools Forum (and in consultation with schools about the use of the High Needs Block) regarding how we make the formula work in Brighton & Hove. We will do a wider circulation of information when the Schools Block Working Party have considered the options going forward and have put them to the Schools Forum.</p>					
<p>Work with schools re. number of spare school places available in the city and the impact these have on school budgets.</p>	<p>Assistant Director Education & Skills</p>	<p>33</p>	<p>30/04/18</p>	<p>26/06/17</p>	<p>30/04/18</p>
<p>Comments: Proposals to amend the city's admission arrangements for September 2019 will be considered by the CYP&S committee on 18 September 2017 with a recommendation to support a consultation on the proposals put forward. The consultation will run between October and November and a final decision on admission arrangements will be taken by Full Council in February 2018. The proposals recommend a reduction of 150 primary school places by reducing the Published Admission Number of 5 schools by one class size (30 pupils). There are planned changes to secondary school catchment areas to manage the rising demand for places and the delays in the opening of the new secondary school, The Brighton and Hove Academy. These changes will seek to redistribute some pupils from catchment areas that have fewer places than pupils requiring them to catchment areas where there are more places than pupils to fill them. Alongside this we will monitor the pattern of applications for school places from September 2018 to support schools who may have a surplus of places.</p>					

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Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR32	Sub-standard health & safety measures lead to personal injury, prosecution, financial losses and reputational damage	Executive Director of Finance & Resources Head of Health and Safety Head of Housing Strategy / Private Sector Housing	BHCC Strategic Risk	22/11/17	Threat	Treat	 L3 x I5	 L2 x I5		Revised: Adequate

Causes

To ensure that the council meets the requirements of law and controls the likelihood and impact of risks which have potential to cause harm to residents, visitors and stakeholders there must be robust oversight of arrangements in delivering services and procuring goods to meet health and safety (H&S) legislation and other regulatory requirements. This is challenged by reducing resources, increasing demands and changes to our operating environment.

Potential Consequence(s)

- * Actual and potential harm
- * Custodial sentences for duty holders
- * Fines and litigation
- * Resources wasted
- * Decisions made are challenged
- * Increased costs of rectifying mistakes
- * Financial stability of organisation compromised
- * Reputational damage

Existing Controls

First Line of Defence: Management Controls

1. Health & Safety policy which sets out roles, responsibility and arrangements
2. Access to competent advice (Health & Safety team) including investigation of all incidents
3. Safety management framework - Team Safety
4. H&S Training core programme
5. Fire Risk Assessments (FRAs) in place on all council buildings

Second Line of Defence - Corporate Oversight

1. Corporate H&S Committee, meets quarterly
2. Data insight on managers' health and safety checklists reported annually at ELT and DMT
3. H&S audit programme
4. Housing, Fire, Health & Safety Board meets regularly includes representation from East Sussex Fire & Rescue Service, the council's health & safety, Communications and Building Control and housing managers
5. Community Initiatives Partnership (CIP) involving council, voluntary sector, health sector
6. H&S representation at Risk Management Steering Group/Safety Advisory Group/Major Incident Support Team (MIST)

Third Line of Defence: Independent Assurance

1. Health & Safety Executive (HSE) - last HSE visits: as part of National Waste Initiatives at Depot in 2016 resulted in minor recommendations which were actioned. Control of Vibration in City Parks in October 2017: findings not yet shared.
2. East Sussex Fire & Rescue Service (ESFRS) Regulatory Reform (Fire Safety) Order - ESFRS undertake citywide audits according to a prioritised programme which includes a range of council buildings. No inspections of council buildings have led to the need for enforcement action. All Council high rise buildings have been visited by ESFRS.
3. Internal Audit
4. Care Quality Commission/Ofsted

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
All housing high rise blocks have had fire safety checks by council surveyors, some jointly with ESFRS	Assistant Director Housing	90	17/11/17	16/06/17	17/11/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Following the Grenfell Tower fire the Council have undertaken a great number of actions to check safety, provide information and reassure residents. These include:</p> <p>Existing compliance in terms of Fire Risk Assessments were found to be robust and in place;</p> <p>Undertook additional precautionary joint inspections of all the 43 High-Rise blocks with the Fire Service over and above the usual fire risk inspection arrangements and published the results for each block online. Any works or improvements that were required have been ordered via our partners;</p> <p>Produced a fire safety in flats video and extensive Q&A on the City Councils' website;</p> <p>Staff delivered letters to all high-rise flats in the days following the Grenfell fire giving updates on the inspections being carried out, and their findings;</p> <p>Answered several hundred queries from residents and others in a short period of time;</p> <p>Housing Fire Health and Safety Board (Council, ESFRS & Mears) undertook additional extraordinary meeting twice weekly to co-ordinate resources and manage actions through to completion;</p> <p>Where required, further independent surveys to look at the performance of fire protection systems is underway;</p> <p>Used learning from this initial phase of actions to help inform our medium-term strategy;</p> <p>HRA Asset Management Strategy Review – Providing Safe Homes - approved in principle at Sept Housing and New Homes Committee subject to consideration of the detailed Capital Programme in January 2018.</p> <p>Housing Fire Health and Safety Board (Council, ESFRS & Mears) continue to oversee co-ordination of resources and manage actions through to completion.</p>					
Continued engagement in the Community Initiative Partnership agreed actions - meetings quarterly to review progress. Annual report each June will detail activity	Head of Health and Safety	70	30/03/18	03/04/17	30/03/18

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Since the last quarter the annual report of the Community Initiatives Partnership has been presented at the Audit and Standards Committee and the Corporate Health & Safety Committee.</p>					
<p>The Community Initiatives Partnership met on 6th October 2017, the agenda included: a focus on the annual report from the group which detailed achievements and outcomes, an update on Neighbourhoods and Communities agenda, specifically considering the work of field officers and how tasking and information sharing will be achieved. Sussex Police and East Sussex Fire & Rescue Service have offered shared use of police / fire services premises for field officers working outside core BHCC office hours. This will assist communication, developing working relationships and provide a management control for Personal Safety of Field Officers.</p>					
<p>New and future initiatives were also discussed and these will include a focus on Dementia, the group will link with Rob Persey to co-ordinate work with Dementia Friendly Communities.</p>					
Contribute to Department for Education (DfE) on-line survey of construction of schools premises returned by the council 30/6/17	Assistant Director - Property & Design	100	30/06/17	16/06/17	30/06/17
Independent survey to be commissioned to double check council housing buildings aimed to provide tenants with extra assurance, communications will be provided ahead of the survey to each tenant	Assistant Director Housing	10	17/11/17	05/07/17	17/11/17

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Following the Grenfell Tower fire the Council have undertaken a great number of actions to check safety, provide information and reassure council residents, in particular in high rise blocks.</p> <p>Existing compliance in terms of Fire Risk Assessments were found to be robust and in place.</p> <p>Undertook additional precautionary joint inspections of all the 43 High-Rise blocks with the Fire Service over and above the usual fire risk inspection arrangements and published the results for each block online. Any works or improvements that were required have been ordered via our partners.</p> <p>Where required, further precautionary independent surveys to look at the performance of fire protection systems is underway.</p> <p>Residents and ward councillors have been informed as inspections proceed.</p> <p>Projected end date for these additional precautionary independent surveys and reporting is mid November.</p> <p>Housing Fire Health and Safety Board (Council, ESFRS & Mears) continue to oversee co-ordination of resources and manage actions through to completion.</p>					
<p>Property & Design team check of cladding on all non housing buildings in the operational portfolio, eg. civic officers, historic (museums and libraries) , social care, schools, sports pavilions etc. and the non-operational commercial portfolio</p>	<p>Assistant Director - Property & Design</p>	<p>100</p>	<p>16/08/17</p>	<p>05/07/17</p>	<p>16/08/17</p>
<p>Provide information to the DCLG review of Fire Safety in response to the Grenfell Tower fire</p>	<p>Assistant Director Housing</p>	<p>90</p>	<p>01/11/17</p>	<p>16/06/17</p>	<p>01/11/17</p>

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Comments: Post Grenfell tragedy information required by DCLG in relation to council owned blocks has been provided. Conference call held with DCLG on 7 September regarding our approach and the work we've done since Grenfell, in particular in relation to purpose built private sector blocks.</p> <p>We are collating responses to DCLG to a list of questions to allow DCLG to complete a new burdens assessment with regard to the private sector building data collection they have asked LAs to complete.</p> <p>Housing Fire Health and Safety Board (Council, ESFRS & Mears) continue to oversee co-ordination of resources and manage actions through to completion.</p>					

