

# **Brighton & Hove City Council**

Strategic Risk Register - ELT review 16  
November 2016

**Initial Rating**

**Revised Rating**

LIKELIHOOD	IMPACT				
	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	0	0	0	3	0
Likely (4)	0	0	2	9	0
Possible (3)	0	0	0	1	0
Unlikely (2)	0	0	0	0	0
Almost Impossible (1)	0	0	0	0	0

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



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	<b>Information Governance Management</b>	Chief Executive as SIRO; and Executive Director, Finance & Resources	BHCC Strategic Risk, Legislative	16/11/16	Threat	Treat	 L4 x I4	 L3 x I4		Revised: Adequate

Causes

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

Potential Consequence(s)

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

Existing Controls

First Line of Defence: Management Action

- 1) A suite of Information Governance Policies has been approved;
- 2) An Information Governance training package has been rolled out across the entire organisation;
- 3) An Information Audit has been completed, including business impact assessments for the loss or compromise of Confidentiality, Integrity and Availability;
- 4) Physical access controls have been improved a result of the move to a new datacentre;
- 5) Cyber security controls introduced to minimize security risks and adoption of ITHC principles for internal security scanning.

Second Line of Defence: Corporate Oversight

- 1) The Senior Information Risk Owner (“SIRO”) oversees the organisation's approach to Information Risk Management, setting the culture along with risk appetite and tolerances;
- 2) The Information Governance Board (“IGB”) oversees and provides leadership on Information Risk Management and obligations arising from legislation such as the DPA 1998 & FOI 1998;
- 3) The Caldicott Guardians (CFS and ASC) have corporate responsibility for protecting the confidentiality of Health and Social Care service-user information and enabling appropriate information sharing;
- 4) The Information Governance Team operates as an independent function to provide to provide advice, guidance and oversight in key areas.

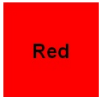

Third Line of Defence: Independent Assurance

- 1) Internal and external ICT audits provide an objective evaluation of the design and effectiveness of ICTs internal controls;
- 2) IT Health Check (ITHC) performed by a ‘CHECK’/‘CREST’ approved external service provider – covering both applications and infrastructure assurance;
- 3) Continued assurance from compliance regimes, including PSN CoCo, HSCIC IG Toolkit and PCI DSS Annual;
- 4) Oversight of Audit and Standards Committee.

<b>Risk Action</b>	<b>Responsible Officer</b>	<b>Progress %</b>	<b>Due Date</b>	<b>Start Date</b>	<b>End Date</b>
SR 10 Risk Action: Business continuity arrangements are being reviewed and updated, then to be considered by decision makers and communicated to services	Civil Contingencies Manager	25	31/03/17	01/04/14	31/03/17
<b>Comments:</b> Update July 2016 - All DMTs have held BCP review sessions, and this is scheduled in quarterly. The Corporate Business Group representatives have been advised of dates. Emergencies & Resilience Team co-ordinates service business continuity plans through Corporate Business Continuity Group representatives. Prioritisation of recovery of services and ICT requirements reported to ELT for approval in January 2016. Work to inform services and review business continuity plans will be undertaken on a quarterly basis via DMTs					

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
SR 10 Risk Action: Implement an organisation wide information risk management process and maintain a prioritised information risk register.	ICT Business Engagement Manager	70	31/12/16	01/09/15	31/12/16
<p><b>Comments:</b> Work to embed the risk management process within ICT is on-going. The ICT risk register is now reviewed monthly by ICTMT and strategies out in place to mitigate major risk.</p> <p>Owing to other demands on the team, the deployment of a fully comprehensive risk management process outside ICT has been delayed. The addition of a new security analyst and new functions through the ICT restructure will help progress the work.</p>					
SR10 New education and awareness programme approved at Information Governance Board on 15/12/15. Objectives - 1. Increase awareness, and understanding of IG across organisation 2. Information Asset Owners practical training to target good IG in their areas with a focus reducing data incidents	ICT Business Engagement Manager	50	31/12/16	15/12/15	31/12/16
<p><b>Comments:</b> Two 'bite-size' training sessions have run with very positive feedback. Future sessions have been scheduled. Sessions for asset owners are being developed.</p>					
SR10 Risk Action: Adoption of bi-annual IT Health Check (ITHC) for 2017	ICT Business Engagement Manager	0	31/12/16	01/09/16	31/12/16
<p><b>Comments:</b> Project to start in September</p>					

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

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR13	Keeping vulnerable adults safe from harm and abuse	Assistant Director Adult Social Care, Head of Adult Safeguarding	BHCC Strategic Risk, Legislative	16/11/16	Threat	Treat	 L4 x I4	 L3 x I4		Revised: Adequate

Causes

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

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

Potential Consequence(s)

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

Existing Controls

First Line of Defence: Management Controls

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

Second Line of Defence: Corporate Oversight

1. Safeguarding Board workplan arising from review of Board. Independent Chair appointed;
2. Learning from Safeguarding Adult Reviews, coroners concerns and case review from national work;
3. Working with ADASS (association of directors of adult social services) on the impact of ongoing legal judgement and advice on DoLs ;
4. HASC Modernisation Board in place;
5. Executive Director HASC meets with Chief Executive
6. Reports on budget pressures to ELT;

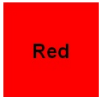

Third Line of Defence: Independent Assurance

CQC Inspection of in-house registered care services

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
SR 13 Risk Action: Continue to raise awareness through messages and training	Head of Adult Safeguarding	60	31/03/17	01/04/15	31/03/17
<b>Comments:</b> Joint Participation and Engagement Group has been set up (April 16), linking the Safeguarding Adults and Children's Boards to engage with the community and promote awareness Regular and ongoing programme of Practice Development Groups within adults assessment service to ensure practice standards are met for safeguarding and mental capacity work.					



Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
SR13 Risk Action: Continue to learn from serious case reviews, coroners inquests and case reviews	Head of Adult Safeguarding	60	31/03/17	01/04/15	31/03/17
<p><b>Comments:</b> Revised Pan Sussex Safeguarding Adults Review protocol in place April 2015, to replace Serious Case Review process following implementation of Care Act. Revised protocol reflects new duties regarding Safeguarding Adults Reviews. Safeguarding Procedures updated April 2016.</p> <p>A Safeguarding Adults Review agreed to be undertaken following referral to the Safeguarding Adults Board. In process of being completed, for final report November 2016.</p> <p>Review of recent deaths of homeless people being undertaken, reported to the Safeguarding Adults Board June 16, then to Members Steering Group. Update Sep 16. This has led to further investigation with a view to further report due to be presented to Safeguarding Adults Board in Dec 16</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR15	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	16/11/16	Threat	Treat	 Red L4 x I4	 Amber L3 x I4		Revised: Adequate

#### Causes

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 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

Robust quality assurance processes embedded and reported on annually

LSCB Work Plan established with strong leadership by the Independent Chair with aligned LSCB sub-group work plans

Serious Case, Local Management and Child Death Reviews identify learning and action for improvement

MASH launched in September 14 to provide robust risk assessments and information sharing between partner agencies

SFSC programme targets support to the most vulnerable families

Continuous professional development and training opportunities offered by the LSCB and good multi agency take up of training

In line with the Government's Prevent Strategy, work with the Police, Statutory Partners, Third Sector Organisations and Communities to reduce radicalisation

Threshold document, agreed by all agencies, signed off by Children and Young People Committee; and LSCB on 2 & 3rd June 2014

Continuous professional development and learning opportunities offered by the LSCB and good multi agency take up of training

New model of practice (wef Oct 2015) for social work teams, with Pods in place to provide stability to service users

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

Early Help strategy in place and governance arrangements in place via LSCB and the MASH Board

Quality Assurance within the city and also across key agencies monitored by the LSCB sub group

The Child Review Board meetings 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

Reports delivered to LSCB following robust auditing of multi-agency case files and safeguarding practice;

### Third Line of Defence: Independent Assurance

Ofsted inspected our social work arrangements in May 2015 and an action plan was developed to take forward recommendations.

LGA Peer Review on Safeguarding recently completed in September 2016 which provided assurance (and helpful challenge) regarding progress against the Ofsted inspection report.

<b>Risk Action</b>	<b>Responsible Officer</b>	<b>Progress %</b>	<b>Due Date</b>	<b>Start Date</b>	<b>End Date</b>
A focus on working with CYP at risk of being missing from care, home and education	Assistant Director - Children's Health, Safeguarding & Care	25	31/03/17	01/04/16	31/03/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Progress to date:            The Pan Sussex commissioned service is now operational and in the process of starting the data reporting agreements. Sussex Police are now not differentiating between 'absent and missing' as per good practice this will create far more demand for services, including missing interviews. Pan Sussex work is led by the police which provides good joint plans and working. Weekly meetings established with police to consider those missing. Children missing education systems are in place and work well. Next steps are to establish and embed good data management and analysis systems using data from new service and to establish processes and service response to those who have been categorised as 'absent' previously, both being led by Head of Service Children in Care to be completed by March 2017.</p>					
Ensure there are effective pathways, information sharing and risk management between MASH and Early Help Hub	Assistant Director - Children's Health, Safeguarding & Care	50	31/03/17	01/04/16	31/03/17
<p><b>Comments:</b> Progress to date:            The LGA Safeguarding Peer Review in September 2016 found that the MASH process was good but did question the two front doors. The recent audit by LSCB with regards effectiveness of the system was positive and the EHH BPI review with regards systems and processes in May 2016 was positive. Next steps are that actions from LSCB audit are to be reviewed by the Head of Service for Children in Need. Additional the detailed findings from the Safeguarding Peer Review will be considered when received (Due in November 2016).</p>					
Full engagement with the LSCB to support effective partnership working in order to safeguard CYP	Assistant Director - Children's Health, Safeguarding & Care	50	31/03/17	01/04/16	31/03/17

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Progress to date:  Services are fully represented on appropriate sub committees and full LSCB and in auditing and Learning Reviews and have 100% attendance at the main LSCB meeting. Senior strategic and operational management representation continues at LSCB sub committees concerned with CSE, Operation Kite, Vulnerable Children, Radicalisation, Monitoring and Evaluation, Child Deaths, Serious Case Reviews and partner agency working. There is active participation in all LSCB auditing arrangements. This is ongoing work and is overseen by the Head of Safeguarding.</p>					
High quality social work is provided to ensure that CYP are effectively safeguarded	Assistant Director - Children's Health, Safeguarding & Care	50	31/03/17	01/04/16	31/03/17
<p><b>Comments:</b> Progress to date:  The LGA Safeguarding Peer Review in September 2016 found that children are being effectively safeguarded and that quality of work is improving and of a good standard. The Quality Assurance Framework (QAF) is fully established with Performance Management systems. Last quarter there was 87% compliance with auditing activity. Links have been established with Principal Social Worker to ensure learning from audit activity and case reviews is fed into social work practice. The Safeguarding Peer Review noted the impact of Lead Practitioners in driving through good practice. SLT continue to monitor action plans arising from Quality Assurance activity. Learning is disseminated via staff briefings and workshops and seminars led by Lead Practitioners. During the last quarter 73% of cases audited through QA activity had a judgement of ,at least, 'good'. Improved activity in numbers of Children in Care in the criminal justice system has been attributed to the improved working between the Youth Offending Team and Social Work service and also the Adolescent service. At end of quarter 1 there were 9 children in care in the criminal justice system the previous year there were 27 children throughout the year. reducing the percentage from 26% to 10%. Next steps include to continue to action the QAF and monitor performance through SLT and DMT Performance Board b and to maintain the existing learning system, both led by the Head of Safeguarding and Performance by Mar 17.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR17	School Places 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	16/11/16	Threat	Treat	Red L4 x I4	Amber L3 x I4		Revised: Adequate

#### Causes

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

School Organisation Plan routinely reviewed internally and pupil forecasting element received independent assurance in 2015

Work has been ongoing on securing site for new secondary school

465 new primary school places (15.5 classes) added in last five years

Two new free schools opened in city

Four class junior site opened on Hove Police Station site September 2014

One new permanent form of entry opened in September 2014 at West Hove Infant School (Connaught)

Following a public consultation two permanent additional forms of entry opened in September 2015 in primary schools serving areas of highest demand, with funding identified in the capital programme

Council officers are working with schools where there are spare places to assist them in developing and sustaining strong partnership relationships with the primary schools in their catchment area;

Second Line of Defence: Corporate Oversight

Strategic Risk 17 agreed by ELT and last reviewed six monthly

Audit & Standards Committee focus on all strategic risks

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 next year, once new school location known

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

In case of dispute over admissions arrangements the Office of the Schools Adjudicator will adjudicate

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

<b>Risk Action</b>	<b>Responsible Officer</b>	<b>Progress %</b>	<b>Due Date</b>	<b>Start Date</b>	<b>End Date</b>
To implement the School Organisation Plan to ensure sufficient school places to meet future need	Assistant Director Education & Skills	50	31/03/17	01/04/16	31/03/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Progress to date:  Progress on the content of the School Organisation Plan has not been progressed as anticipated due to the impact of unanticipated tasks meaning the Cross Party School Organisation Working Group have yet to consider a draft of the document and provide feedback. School Partnerships have been contacted regarding the scheduling of slots to discuss the item and a meeting has already taken place with the Portslade partnership of schools. An individual meeting has also taken place with one of the city's secondary schools. Next steps include finalising the draft SOP and bring to the CPSOWG on 16 November for further feedback, confirming the schedule of meetings with school partnerships over autumn/spring term to discuss school organisation and then for the School Organisation Plan will be taken to a Children, Young People and Skills Committee meeting in 2017. All overseen by the Head of School Organisation.</p>					
<p>To secure agreement on the location of a new six form entry secondary school in Brighton (to ensure there are sufficient school place to meet growing numbers of students) to open September 2018</p>	<p>Assistant Director Education &amp; Skills</p>	<p>50</p>	<p>31/03/17</p>	<p>01/04/16</p>	<p>31/03/17</p>
<p><b>Comments:</b> Progress to date:  Discussions with the Education Funding Agency have continued regarding the identification of a site for the new school. A request for a further site visit to City College to consider the revised proposals that are likely to come forward from their redeveloped masterplan exercise is being actioned. The Executive Director of Families, Children and Learning has met with the recently appointed new Chief Executive of the Sussex Hospital Trust to discuss their plans for the hospital site. Contingency plans have not been further developed in Quarter 2 and will need to reflect any further developments associated with the opening of the new school. The recent publication of the report on the SEND review proposals allow for a more open dialogue about options that could become available as a result of the proposals being put forward. The University of Brighton's project board continues to meet as do the relevant sub-groups. Next steps include contingency plans continuing to be developed and needing to reflect any further developments associated with the school's opening. These plans will consider options such as temporary accommodation on the site, alternative sites to house an 'embryo' school and approaches to follow should no site be available. This work will be overseen by the Head of School Organisation.</p>					



Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR18	Transition to modern, digital IT to improve service delivery	Executive Director of Finance & Resources Head of Digital Transformation ICT Business Engagement Manager Chief Technology Officer	BHCC Strategic Risk, Technological	16/11/16	Threat	Treat	Red L5 x I4	Red L4 x I4		Revised: Uncertain

Causes

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

- 1) a sufficient number of ICT staff with appropriate skills and effective, efficient suppliers
- 2) an investment strategy for sustainable targeted improvements of ICT platforms and systems
- 3) 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 is 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

- 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.
- 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.
- Alignment and prioritisation of project resources to modernisation requirements.
- Established working relationships and governance (Informatics Oversight Committee) for cross social care and health system developments and resourcing, linked to Better Care and Digital Roadmap development.
- Digital First programme has been reviewed. Experienced programmed team in place and growing. A clear timeline of work and savings up to April 17 has been established. Procurement of a new platform that will allow rapid development to take place will conclude by end of December 16.
- 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.
- 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.
- 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

- Digital First programme approved at P&R/Council - incorporating current investments in Digital improving Customer Experience and Information Management Programme, target work to support the new corporate plan and ambitions identified by the board & strategic priorities engagement.
- 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.
- Digital First Members Oversight Group - quarterly
- Digital First programme board

#### Third Line of Defence: Independent Assurance

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

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

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Ensure development of cross-sector digital partnerships across city and city region.	Chief Technology Officer	20	31/03/17	01/04/16	31/03/17
<p><b>Comments:</b> Agreed areas of joint focus with Brighton University with new Digital Transformation lead including potential joint bid; Engagement with Brighton Digital Festival 2017 about two jointly commissioned pieces of work around Open Spaces strategy and digital inclusion Initial work within Digital First on the approach to supplier engagement has been started.</p> <p>The Greater Brighton Digital working group has developed an initial draft of a Greater Brighton digital strategy, which has been submitted to the Greater Brighton Economic Board, alongside indicative plans for Digital Infrastructure and support for public service reform plans.</p>					
Ensure outcomes of ICT Infrastructure Programme are sustainable, embedded and enabling of change within the organisation.	Chief Technology Officer	35	31/03/17	01/04/16	31/03/17
<p><b>Comments:</b> New security infrastructure now implemented for BHCC and Schools, First secure cloud services migrated, continued migration of priority services, new citrix farm built and tested, network interconnect with NHS established, corporate wifi now deployed to HTH and Barts House, shared services wifi ready for deployment, new laptop services rolling out to first tranche of users</p>					
Increase organisational capacity for service transformation by using Digital First team across services and silos to identify efficiencies online	Chief Technology Officer	25	31/03/17	01/04/16	31/03/17
<p><b>Comments:</b> From September 2016 - new Digital First team working in services with business change managers. Where there isn't a business change resource, the programme may now fund that resource. This will allow services to change quicker and realise savings.</p>					

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Information Management - developing and delivering core information practices including customer index, enterprise content management and robust data and record management practices.</p> <p><b>Comments:</b> Initial matched customer index completed, core ECM platform selected, records management support for teams moving under Workstyles completed.</p>	Chief Technology Officer	25	31/03/17	01/04/16	31/03/17
<p>The ICT Service Redesign is realigning available capacity within budget constraints to most effectively support the organisations needs.</p> <p><b>Comments:</b> Consultation completed, implementation underway, Tier 4 complete, Tier 5 completing September, Tier 6 through September and October.</p>	Chief Technology Officer	75	31/07/16	01/04/16	31/07/16
<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> <p><b>Comments:</b> The engagement with Orbis partners is progressing well, BHCC is represented and well established within the Architectural Design Authority for Orbis, agreeing the core platforms and practices for the Orbis partnership. The Greater Brighton digital digital working group is up and running with an initial focus on digital infrastructure and public service reform.</p>	Chief Technology Officer	10	31/03/17	01/04/16	31/03/17

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR2	<b>Financial Outlook for the Council</b>	Executive Director of Finance & Resources Head of Integrated Financial Management & Planning Assistant Director Finance & Procurement Head of Performance, Improvement & Programmes	BHCC Strategic Risk, Economic / Financial	16/11/16	Threat	Treat	Red L5 x I4	Red L4 x I4		Revised: Adequate

#### Causes

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

Implementing the current budget strategy and devising budget plans for 2016/17 will be challenging and there is increased uncertainty until HM Gov't's spending review and the local government finance settlement for 2016 (expected Dec. 2016).

#### 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

- \* Ongoing review of the adequacy of risk provisions and reserves to support the budget strategy and to ensure financial resilience;
- \* Financial recovery planning introduced in May 2016 for demand-led services to help mitigate an in-year forecast overspend in 2016/17.
- \* Consultation and engagement for budget proposals continues to include staff, partners, businesses and Community & Voluntary Sector;

Second Line of Defence: Corporate Oversight

- \* Modernisation portfolio including VfM projects/programmes reviewed by cross-party Member Oversight group;
- \* Close alignment of Corporate Plan and Medium Term Financial Strategy (MTFS) and service and financial planning;
- \* Ongoing review of the MTFS assumptions, the impact of legislative changes; cost and demand pressures; savings programmes; and income and grant assumptions;
- \* Adoption of 4-year service & financial planning approach which sets out what services propose to Stop, Retain and redesign, or commercialise;
- \* Close monitoring of council tax, business rates and other income and regular updating of forecasts;
- \* Continued review of the adequacy of savings programmes alongside other budget measures to support the budget strategy;
- \* Ongoing review and challenge of value for money including Member review, benchmarking, and external audit review;
- \* The cross-party budget review group reviews monthly TBM performance, including financial recovery plans.

Third Line of Defence: Independent Assurance

- \* Annual review by Ernst Young (external auditors) of VfM arrangements leading to an opinion in the annual audit report.
- \* Internal audit reviews of budget management arrangements.

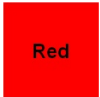

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
* Development of skills and knowledge and/or investment to support options appraisal of new delivery models (action);	Executive Director of Finance & Resources	30	01/04/17	01/09/16	01/04/17
<b>Comments:</b> BMCs process nearing completion - service managers needing support identified. Mgmt development programme in preparation - will include commercial element.					
Corporate Modernisation Delivery Board 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	75	31/03/20	01/04/15	31/03/20

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Corporate Modernisation governance arrangements in place. Internal audit provided 'reasonable assurance' in May 2016. Some of the savings targets for 2016/17 are expected to be difficult to achieve (hence £3m risk provisions). 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 4 year Service &amp; Finance Planning. Finance guidance has been drafted for project/programme managers to ensure consistency of figures being reported to accurately calculate 'return on investment'.</p>					
Schedule regular sessions at City Management Board to enable Finance Directors to review city wide impact & opportunities for joint budget planning	Executive Director of Finance & Resources	0	31/03/17	04/10/16	31/03/17
<b>Comments:</b>					
SR 2 Risk Action: Continue to monitor impact of health sector reforms and local savings strategies	Assistant Director Finance & Procurement	25	31/03/17	01/04/15	31/03/17
<p><b>Comments:</b> Attending monthly Finance &amp; Performance Better Care Fund Board chaired by the CCG. S75 Agreement has been signed and is in place (April 2016). Pool Manager has reverted to the CCG Director of Finance from April 2016. Reporting on pool performance will be to F&amp;P Board and the BCF Programme Board on a monthly basis. Recovery plans and corrective measures will be proposed where necessary. Other discussions with the CCG regarding funding have been undertaken by the DAS resulting in £1.3m additional Better Care Funding and additional S75 risk funding in 2015/16.</p>					
SR 2 Risk Action: Delivery of value for money programme financial and non-financial benefits as part of the Modernisation Programme	Assistant Director Finance & Procurement	50	31/03/17	01/04/15	31/03/17



Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Regular monitoring of performance against target is submitted to CMDDB. Member Oversight Group meets quarterly to focus on each area of the Modernisation Programme including VFM programmes.. All VFM 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 DMT's, ELT, Budget Review Group, and PR&amp;G (5 times per year). The TBM position indicates continued underlying pressures across social care budgets which are impacting on achievement of VFM targets in 2016/17 and later years. Pressures on demand-led budgets have been recognised in setting the 2016/17 budget with over £11m of Service Pressure funding provided. A Financial Recovery Plan approach has been adopted for 2016/17 to ensure early consideration and planning to mitigate against in-year forecast risks, including savings/VFM risks.</p>					
SR 2 Risk Action: Devise and implement Corporate Plan & MTFS service and financial planning timetable and process.	Assistant Director Finance & Procurement	100	31/07/16	01/05/15	31/07/16
<p><b>Comments:</b> 4-year Integrated Service &amp; Financial Plans have now been developed and considered by Full Council including approval of the 2016/17 savings programme. An MTFS update will be undertaken in Summer 2016 to complement a Corporate Plan refresh. Early planning discussions have been held between Finance and the ED Finance &amp; Resources (May 16) and these will continue through to development of a PR&amp;G report to 14 July meeting which will set out a refreshed MTFS and a recommended financial planning approach for setting the 2017/18 budget. This will include a high level refresh of the 4-Year Integrated Service &amp; Financial Plans.</p>					
SR 2 Risk Action: Meet Targeted Budget Management (TBM) reporting timetable and identify risk mitigation and corrective action where necessary	Assistant Director Finance & Procurement	50	31/03/17	01/04/15	31/03/17
<p><b>Comments:</b> 2016/17 TBM Timetable produced and agreed. TBM Month 2 will be the first reporting period for 2016/17 to 9 June PR&amp;G. ELT have considered an early draft and a discussion was held at CMT (11 May) to consider the approach to addressing forecast overspend risks. CMT agreed to the development of Financial Recovery Plans for ELT consideration on 8 June. 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. All savings programmes will also be monitored (including key VFM programmes) through TBM. A review of the financial accountability regime is being undertaken by the ED F&amp;R to consider an escalation process for continued overspending or underachievement of savings.</p>					

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>SR 2 Risk Action: Regular joint updates to City Management Board on partners' financial positions and strategies. Joint action and/or funding options to be agreed where necessary.</p>	<p>Assistant Director Finance &amp; Procurement</p>	<p>25</p>	<p>31/03/17</p>	<p>01/06/15</p>	<p>31/03/17</p>
<p><b>Comments:</b> Joint Finance Leads/CMB sessions were held in 2015/16. City-wide pressures were considered and joint action and/or funding options explored and agreed where appropriate (mainly with health partners). MTFS plans were also shared across the group including budget and taxation proposals, and consultation and engagement information information was shared with CMB partners where appropriate (e.g. Council Tax Reduction Scheme proposals affecting Police and Fire). It is planned to continue joint meetings and information sharing in 2016/17.</p>					
<p>SR 2 Risk Action: Regular MTFS updates of the City Council's projected financial position for future years</p>	<p>Head of Integrated Financial Management &amp; Planning</p>	<p>50</p>	<p>31/03/17</p>	<p>01/04/15</p>	<p>31/03/17</p>
<p><b>Comments:</b> MTFS 2015/16-2019/2020 updated and approved by P&amp;R and Full Council in March 2015. 4-year. An updated MTFS was provided to 9 July P&amp;R titled 'Corporate Plan &amp; MTFS 2015 - 2019: Budget Planning and Resource Update 2016/17'. 4-year Service &amp; Financial Plans were considered by P&amp;R and Full Council for the 2016/17 budget process and approved a £20m savings programme for 2016/17 and around £58m savings over 4-years toward meeting the £68m gap over the period. The approved 2016/17 budget also included over £11m service pressure funding together with £20m investment funding (for Restructure &amp; Redundancy, Modernisation, 4 year plans and CFDA) and £3m risk provisions to support and ensure delivery of the budget and savings targets. The budget and 4-year plan therefore identifies clear plans and opportunities for managing the financial situation over the next 4 years. Potential changes to Local Government Finance are being closely monitored including 100% Business Rate Retention, Attendance Allowance transfer, 2017 Business Rate revaluation, etc.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR20	<b>Ability of health and social care to integrate services at a local level to deliver timely and appropriate interventions</b>	Assistant Director Adult Social Care Interim Head of Adult Social Care Commissioning Interim Assistant Director, Adult Social Care	BHCC Strategic Risk, Economic / Financial	16/11/16	Threat	Treat	 L4 x I4	 L3 x I4		Revised: Adequate

Causes

The ability of the health and social care system to progress with integrated teams and to commission appropriate services to support early intervention and ongoing care, supported by the Better Care Fund.

Potential Consequence(s)

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

Existing Controls

First Line of Defence: Management Controls

1. Continued roll out of cluster working started in 3 of the 6 clusters. Social Care work aligned with GP clusters June 2016 and continue to be developed as part of the ongoing service redesign programme
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. Better Care Finance and Performance Group monitors spend and performance.

Second Line of Defence: Corporate Oversight



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

Third Line of Defence - Independent Assurance

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 agreement to be revised annually each June.	Assistant Director Adult Social Care	75	30/06/17	23/03/16	30/06/17
<p><b>Comments:</b> 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>					
SR 20 Risk Action: Deliver Phase 1 Better Care implementation plan from September 2014. Cluster working under development. Cluster one, went live in September 2015. This model is based around GP's and multi - disciplinary teams	Assistant Director Adult Social Care	75	31/03/17	01/09/15	31/03/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> 3 clusters currently operating with multi-disciplinary team working. From June 2016 development programme to change working practices and monitor performance and outcomes. Update Nov 16: This work remains ongoing and full roll out of cluster teams in April 17.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR21	Housing Pressures	Executive Director Economy, Environment & Culture Head of Housing Strategy / Private Sector Housing Assistant Director Housing	BHCC Strategic Risk, Environmental / Sustainability	16/11/16	Threat	Treat	 L4 x I4	 L3 x I4		Revised: Adequate

Causes

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 23,000 households currently on the Housing Register, c 1,800 households 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 requirements in terms housing numbers; improve overall housing supply and housing mix; deliver affordable lower cost homes.
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

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. The City Plan also sets out housing targets across all tenures; policies on securing affordable housing through the planning system, residential development standards. Housing Revenue Account Asset Management Strategy is aligned to Housing Strategy in support of improving housing supply & housing quality. 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. The Student Housing Strategy is due for review in 2017, 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 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 Special Purpose Vehicle.
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. Forthcoming review of Student Housing Strategy.
10. Ongoing work of Greater Brighton Housing & Growth Working Group to accelerate delivery of new homes.
11. The establishment 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)'.  
Inaugural meeting of the Board taking place on 25 October 2016

## Second Line of Defence: Corporate and Committee Oversight

Corporate Investment Board

Strategic Investment Board

Cross Party Estates Regeneration Board

Strategic Housing Partnership (cross sector)

## Third Line of Defence: Independent Assurance

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



Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Continue to track number of Right to Buy Purchases; student houses; HMOs, accepted as homeless under our statutory duty and the number of cases ASC & Children's accept a duty to house	Assistant Director Housing	50	31/03/17	01/04/15	31/03/17
<p><b>Comments:</b> RTB completions are monitored and reported to housing leadership team; Qtrly meetings with the Strategic Housing Partnership including university reps and private landlords. Evidence for an Additional licencing scheme for HMOs currently being researched. Student housing strategy work underway.</p> <p>Private Sector Housing licence 3000 Houses in Multiple Occupation (HMOs). Proposals to consult on extending discretionary licensing of private rented homes to widen improvement of standards to be considered at November 2016 Housing &amp; New Homes Committee (H&amp;NHCTte). Government consultation on extending mandatory HMO licensing and related reforms commencing. Head of Housing Strategy Property &amp; Investment. November 2016.</p> <p>Housing Allocation Policy framework ensuring best use of existing council and registered provider resources through nomination of affordable housing to priority households being reconsidered at H&amp;NHCTte November 2016. Head of Temporary Accommodation &amp; Allocations. November 2016.</p> <p>ELT considered draft student housing study and issues arising. Informed Leadership Board Workshop – HMOs and University Growth held on 10 October 2016. ELT level discussions with Vice-Chancellors of Universities. CEO /Executive Directors. Nov / Dec 2016. Development of Student Housing Strategy. Head of Housing Strategy, Property &amp; Investment / Planning Policy, Projects and Heritage Manager / Strategic Housing Partnership. 2017 workplan.</p>					
SR 21 Risk Action: Affordable housing City Plan policy to be adopted	Executive Director Economy, Environment & Culture	100	31/03/16	01/04/15	31/03/16
<p><b>Comments:</b> The Affordable Housing Policy is part of the City Plan which was Adopted by Full Council on 24th March 2016.</p>					
SR 21 Risk Action: Greater Brighton Economic Board, City Deal & regional working to find housing solutions.	Executive Director Economy, Environment & Culture	50	31/03/17	01/04/15	31/03/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Greater Brighton Housing &amp; Growth Working Group continues to meet regularly to accelerate delivery of new housing supply through freedoms and flexibilities sought as part of the wider GB Devolution proposals. Includes Government, Homes &amp; Communities Agency and GB Devolution partner authorities. Next Greater Brighton Housing &amp; Growth Working Group, Nov / December 2016.</p> <p>In addition, following One Public Estate Bid we are launching the Greater Brighton Strategic Property Board, to provide direction, oversight and accountability for the One Public Estate Programme. The Board will bring together senior officer representatives from local, regional and national public sector partners as a local strategic assets forum. Members will work collaboratively to identify and take forward opportunities across the public estate to including to create economic growth (new homes, employment floorspace and jobs). The Board will meet quarterly, with its inaugural meeting on 25 October. CEO, Exec Director EEC.</p> <p>The Coastal West Sussex and GB Local Strategic Statement 2 was agreed by the 10 constituent authorities in March 2016 and a study has been commissioned to evaluate the Housing Market Areas and Functional Economic Areas for CWS and GB Area (to be completed in Jan 2017). Policy, Projects and Heritage Team Manager.</p>					
SR 21 Risk Action: Work through City Deal with regional partners & LEP to promote Economic development incl increased sub-regional working to meet housing need	Executive Director Economy, Environment & Culture	50	31/03/16	01/04/15	31/03/16
<p><b>Comments:</b> Greater Brighton Housing &amp; 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 &amp; Communities Agency funding options - Starter Homes Expressions Of Interests, Home Builders Fund, Estates Regeneration Prospectus; Housing &amp; Planning Act impact /considerations; Updates on One Public Estate Submission; Housing Delivery Models Proposals; Private Sector Rented matters; Feedback from C2C LEP Housing Task Force; development and update on Large Sites Delivery Work. Next meeting Nov / Dec 2016. Head of Housing Strategy, Property &amp; Investment.</p>					
SR21 Risk Action: Consider use of New Policy Article 4 a) allocates sites for purpose built housing; and b) manages properties to meet student housing needs	Executive Director Economy, Environment & Culture	50	31/03/17	01/04/15	31/03/17

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> City plan approved and work is underway. The Student Housing Strategy is due for review in 2017, informed by our most recent analysis of student number assumptions and supply and demand for student accommodation in the City. Student Housing Study to inform both City Plan Part 2 and Student Housing Strategy refresh. Draft student housing study and issues arising informed Leadership Board Workshop – HMOs and University Growth held on 10 October 2016. ELT level discussions with Vice-Chancellors of Universities. CEO /Executive Directors. Nov / Dec 2016. Development of Student Housing Strategy. Head of Housing Strategy, Property &amp; Investment / Planning Policy, Projects and Heritage Manager / Strategic Housing Partnership. 2017 workplan. Progress on preparing City Plan Part 2 (Scoping paper consultation) which will look at options for site allocations is ongoing. Policy, Projects and Heritage Team Manager.</p>					
<p>SR21 Risk Action: Exercise Duty to Co-operate with Neighbouring Authorities to address the shortfall in housing supply that is not deliverable in Brighton &amp; Hove</p>	<p>Assistant Director Housing</p>	<p>100</p>	<p>16/03/16</p>	<p>01/04/14</p>	<p>16/03/16</p>
<p><b>Comments:</b> Delivery of Temporary accommodation for homeless families through the temporary accommodation procurement (DPS) for the Greater Brighton area has been in place wef March 2016</p>					
<p>SR21 Risk Action: 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>31/03/17</p>	<p>01/04/15</p>	<p>31/03/17</p>

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Progress to date - student housing study:            Student Housing Study to inform both City Plan Part 2 and Student Housing Strategy refresh commissioned by Planning working in conjunction with Housing from Dr Darren Smith following formal ITT process.            Both universities offered opportunity to comment on full draft report (in strictest confidence) in terms of accuracy of evidence and student numbers. Meeting held and email exchanges with University of Sussex with regard to draft study.            Amendments agreed and made by Dr Smith subject to ELT steer.            ELT considered draft student housing study and issues arising.            Informed Leadership Board Workshop – HMOs and University Growth held on 10 October 2016.</p> <p>Next steps - student housing study:            Further briefings arising from Leadership Board Workshop – HMOs and University Growth held on 10 October 2016. Head of Housing Strategy, Property &amp; Investment / Planning Policy, Projects and Heritage Manager. Nov / Dec 2016.            ELT level discussions with Vice-Chancellors of Universities. CEO /Executive Directors. Nov / Dec 2016.            Review release of study aligned to City Plan and Housing Strategy timelines and any further ELT steer - end Nov 2016. Head of Housing Strategy, Property &amp; Investment / Planning Policy, Projects and Heritage Manager            Development of Student Housing Strategy. Head of Housing Strategy, Property &amp; Investment / Planning Policy, Projects and Heritage Manager / Strategic Housing Partnership. 2017 workplan.</p>					
SR21 Risk Action: HRA stock improvement & estate regeneration initiative (New Homes for Neighbourhoods) to increase affordable housing supply	Assistant Director Housing	60	31/03/17	01/04/15	31/03/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Housing Revenue Account Asset Management Strategy is aligned to Housing Strategy in support of improving housing supply &amp; housing quality. Housing stock review is an ongoing process.</p> <p>HRA asset management strategy has been approved by Housing and New homes committee and P&amp;R committee March 2016 for 2016-2020.</p> <p>HRA AMS supports increasing housing supply through:</p> <p>Our 'New Homes for Neighbourhoods' estate regeneration programme to deliver new affordable homes in the city. 262 new homes have been developed or are in the pipeline, including: new homes delivered at Robert lodge; further schemes on site at Findon Road, Wellsbourne, Selsfield Drive and Lynchet Close - Lead Regeneration Programme Manager;</p> <p>Improving supply through best use of existing HRA assets including conversions / hidden homes programme, improvements being carried out to senior housing units to convert bedsits into 1 bed flats - Head of Housing Strategy, Property &amp; Investment.</p> <p>Future HRA investment risks arise through reaching the HRA borrowing cap. Mitigation includes:</p> <p>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 Special Purpose Vehicle - Head of Housing Strategy, Property &amp; Investment / Lead Regeneration Programme Manager.</p> <p>Greater Brighton Housing &amp; 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, including raising the HRA borrowing cap. Head of Housing Strategy Property &amp; Investment.</p> <p>Regular Review through regular Estate Regeneration Programme Board officer and member meetings. Lead Regeneration Programme Manager, Head of Housing Strategy, Property &amp; Investment.</p>					
SR21 Risk Action: Investigate options for council resources to develop finance expertise to increase council's ability to negotiate effectively with developers and local private agents re. schemes for housing and to provide affordable housing	Assistant Director Housing	50	31/03/17	01/04/15	31/03/17

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Funding approval agreed at Housing and New homes committee in March 2016 to evaluate and progress proposals for alternative models to deliver affordable homes including joint ventures.</p> <p>Following previous deferral, Housing &amp; New Homes Committee on 16 November 2016 are to re-consider recommendations in relation to taking forward proposals for 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 Special Purpose Vehicle. Head of Housing Strategy, Property &amp; Investment / Lead Regeneration Programme Manager November 2016.</p> <p>Housing Strategy &amp; Development team continue to work with Planning, developers, as well as Homes &amp; 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 CP 20 Affordable Housing. We await Housing &amp; Planning Act regulations and the impact of Government investment and legislative approach in favour of low cost home ownership including through Starter Homes. Head of Housing Strategy, Property &amp; Investment through regular meetings with HCA and of Affordable Housing Delivery Partnership. January 2017.</p>					
SR21 Risk Action: Investigate options to procure more housing for affordable rented and shared ownership use	Assistant Director Housing	50	31/03/17	01/04/14	31/03/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Funding approval agreed at Housing and New Homes Committee in March 2016 to evaluate and progress proposals for alternative models to deliver affordable homes including joint ventures. 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 Special Purpose Vehicle. Report to September 2016 Housing &amp; New Homes Ctte. Decision be deferred to the next meeting of the Committee to ensure that members can feel fully supportive of the proposals. Further work is being undertaken on addressing key concerns through extension of comprehensive briefings offered to Housing spokes and their lead members / groups. Detailed list of FAQs and responses being prepared for member sign off. Further Housing Delivery Options report is on draft agenda for 16 November 2016 Committee. Project development continues, including detailed follow up on meeting between BHCC / Bevan Brittan &amp; Hyde / Trowers, in particular regarding draft Heads of Terms &amp; Counsel advice. Further briefings &amp; updates for members arranged including: Estate Regen Members Board; Green Group; Labour Group; Conservative H&amp;NH Committee Councillors &amp; Group. Peer review - ongoing. Head of Housing Strategy, Property &amp; Investment &amp; Lead Regeneration Programme Manager. November 2016.</p>					
<p>SR21 Risk Action: Act on outcome of joint partners' bid for £59M for extra care housing to address social care residential needs as part of 2015-18 Affordable Housing Programme</p>	<p>Assistant Director Housing</p>	<p>50</p>	<p>31/03/17</p>	<p>01/04/15</p>	<p>31/03/17</p>
<p><b>Comments:</b> Good progress on delivery of Brooke Mead extra care housing scheme. A 'Topping Out' Ceremony was held on Friday 17 June and speeches were given by Councillor Anne Meadows (Chair of Housing &amp; New Homes) and David Issott (Managing Director of Willmott Partnership Homes) (WPH). Work continues on-site and the concrete frame is now complete and brickwork is up to 1-2 floor level. The windows are installed up to the fourth floor level and the first fix of mechanical and electrical is complete for ground and first floor. In addition the water tank and communal boilers have been installed in the plant room and except for the area occupied by the work crane, the screeding is virtually complete. 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 investment delivering a supported housing scheme of 10-12 units for former homeless older adults with mobility and mental health issues.</p>					

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Next steps:

Meet with ASC to commence comprehensive needs profiling - Head of Housing Strategy Property & Investment / Housing Leadership Team – Nov/Dec 2016

Explore and develop the business case supporting the commissioning new supported housing - Head of Housing Strategy Property & Investment / Housing Leadership Team - Nov/Dec 2016

Continue to progress delivery of Homeless Change Fund project, including reviewing against other strategic priorities - working toward report to January 2017 Housing & New Homes Committee. Housing Stock Review Manager

Completion of Brooke Mead - by June 2017 - Estate Regeneration Team. Work with Social Care colleagues to identify nominees. Housing Team.

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.

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.

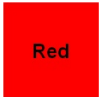

Continue to review options for any further HCA funding toward specialist homes for older, disabled and vulnerable people under 2016 – 21 Shared Ownership and Affordable Housing Programme - subject to overall business case. Via Monthly HCA meetings - Head of Housing Strategy, Property & Investment.

Measures of Success

- Progress the construction of the Brook Mead Extra Care Housing Scheme in July 2017 (March 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)





Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR22	<b>Modernising the Council</b>	Chief Executive Head of Performance, Improvement & Programmes	BHCC Strategic Risk	16/11/16	Threat	Treat	 L4 x I4	 L3 x I3		Revised: Adequate

Causes

Modernisation is the council's portfolio of change management programmes and projects which will support delivery of corporate principles and priorities. This in turn will help evidence achievement of outcomes in relation to council's purpose as set out in the Corporate Plan. The Corporate Plan sets out, "our purpose to provide strong civic leadership for the well-being and aspiration of Brighton & Hove. We will be successful if we are judged to deliver:

- A good life: Ensuring a city for all ages, inclusive of everyone and protecting the most vulnerable.
- A well run city: Keeping the city safe, clean, moving and connected.
- A vibrant economy: Promoting a world class economy with a local workforce to match.
- A modern council: Providing open civic leadership and effective public services."

Modernisation themes include – Deliver Differently, Increase Income and Improve Efficiency, Manage Demand, Engagement/Co-production and Delivery with Communities, Improve Customer Contact.

The current corporate programmes include – Adult Social Care Value for Money, ASC Assessment Service Redesign, Children's Services Agency Placement Review, Joint Review of Special Education Needs and Disability (SEND) in Children's Services and Learning Disability in Adult Social Care, Affordable housing, Neighbourhood Working, Community Collaboration, City neighbourhoods, Enforcement & inspection, Royal Pavilion, Music & Arts, Libraries, Big Conversation – Future of Our City Parks, City Planning & Development Modernisation, Orbis programme, Digital First, Workstyles VfM, Income & debt management VfM, Procurement & Contract Management VfM, Good Governance & Leadership, Communications, Able and Willing, Supporting Businesses.

Potential Consequence(s)

If the programmes/projects are not successful in delivering intended benefits, it will impact on the achievement of these outcomes failing to deliver our Corporate Plan.

Modernisation drives the budget planning process and feeds into the Medium Term Finance Strategy. A number of cross-cutting programmes such as Income & Debt, Third Party Spend and Customer First in a Digital Age enable directorates to drive efficiency savings. If the modernisation project/programmes are not delivered successfully, it may impact on council's financial position.

Existing Controls

First line of defence - management control:

Performance Improvement & Programmes team to support, coordinate and challenge programmes and projects delivery.

Reporting to the Corporate Modernisation Delivery Board, Directorate Modernisation Boards are set up to drive the programmes and projects forward and deliver outcomes and benefits.

Reporting to the Directorate Modernisation Boards, there are Programme and Project Boards responsible for planning, set-up and management of programmes and projects.

Corporate Modernisation Network consisting of project/programme managers across the organisation work to map and manage project/programme dependencies and escalate any risks/issues to Corporate Modernisation Delivery Board.

Second line of defence - corporate oversight

Corporate Modernisation Delivery Board has been set up to initiate and lead programmes and projects that are intended to achieve the Corporate Plan priorities and principles including cross-cutting programmes and projects. The Board is chaired by the Chief Executive and consists of Executive Leadership Team and other key officers of the council. The Board regularly reviews risks escalated by individual programmes and projects and initiates mitigating actions. The Board ensures limited resources are effectively targeted.

A cross-party Member Oversight Group monitor progress and provide support and challenge as required.



The financial benefits are reported to the Policy, Resources & Growth Committee as part of TBM reports.

Third line of defence - independent assurance

Internal audit. Last reviewed May 2016 - 'reasonable assurance'

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
To drive and manage the modernisation programmes and projects to enable delivery of savings. This responsibility rests with the individual project/programme managers and accountability with the relevant Senior Responsible Owners (SROs). Progress updated provided on behalf of CMDDB by Head of PIP.	Head of Performance, Improvement & Programmes	70	31/03/17	01/04/16	31/03/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Update Oct 16:  All the programmes/projects are RAG rated on a quarterly basis. Based on quarter two RAG rating update, 4 programmes were red, 14 were amber and 5 were green. The subjective judgement of the Corporate Modernisation Delivery Board is that the overall RAG rating of the modernisation portfolio is Amber.  All modernisation project/programmes are designed to enable delivery of savings. Total savings package for 2016/17 = £20.344million, savings at risk £2.315million as per Target Budget Management month 5 forecast (11% at risk).</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR23	<b>Developing an investment strategy to refurbish and develop the city's major asset of the seafront</b>	Executive Director Economy, Environment & Culture Head of Sport & Leisure	BHCC Strategic Risk	16/11/16	Threat	Treat	 L5 x I4	 L3 x I3		Revised: Adequate

Causes

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

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

DfT funding secured for the redevelopment of the West Street / A259 Junction and Shelter Hall. Initial infrastructure work commenced late 2015

Coast Revival Funding secured to develop Madeira Drive Investment and Regeneration Plan

HLF Funding secured for improvements to Volks Railway

Seafront Arches and A259 infrastructure Phase 2 works completed June 2016

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

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
Develop stage 2 funding bid for Coastal Communities Funding for Madeira Terraces redevelopment	Major Projects & Regeneration Manager	10	31/03/17	10/10/16	31/03/17
<b>Comments:</b> Coastal Communities Fund (CCF) have recently invited the council to submit an application of Stage 2 funding c,£4m towards the Madeira Terraces Project					
Officers continue to respond to Seafront Scrutiny report recommendations.	Executive Director Economy, Environment & Culture	90	31/12/16	01/12/14	31/12/16

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Seafront Investment Programme governance arrangement agreed March 2015.  Update October 16: Seafront Investment Programme Board meets monthly  Seafront Investment Plan under development. Report to Policy &amp; Resources Committee Jan-Feb 2016.  Update Oct 16: Final Investment Plan approved by PRG Committee Oct 16.  Funding secured for redevelopment of Shelter Hall. Planning application May 2016  Update Oct 16: Planning permission granted Sept 16  Seafront projects included in Greater Brighton Economic Board project pipeline for future rounds of Local Growth Fund  Update Oct 16: Brighton Waterfront included in Local Growth Fund bid, outcome anticipated Nov 16</p>					
<p>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</p>	<p>Executive Director Economy, Environment &amp; Culture</p>	<p>45</p>	<p>31/03/17</p>	<p>03/08/15</p>	<p>31/03/17</p>
<p><b>Comments:</b> The Council is exploring practical solutions to secure investment to rebuild and regenerate the Terraces and secure the long-term future of Madeira Drive.  Actions to date include:</p> <ul style="list-style-type: none"> <li>• Planning permission secure for anti-climb fencing</li> <li>• £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.</li> <li>• The Greater Brighton Economic Board agreed at the meeting on the 13th of October 2015 to include Madeira Drive regeneration in the project pipeline for potential funding through Local Growth Fund Round 3.</li> </ul> <p>Successful One Public Estate bid will provide c £70k for project development for stage 2 CCF bid.</p> <p>Next steps:</p> <ul style="list-style-type: none"> <li>• Continue to explore potential solutions to secure investment to rebuild and regenerate the Terraces</li> <li>• Continue to liaise with affected tenants and relocate to alternative accommodation where possible</li> <li>• Continue to liaise with tenants on the on-going operation of Madeira Drive</li> </ul>					

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Work to implement the HLF funded plans for Volks can continue with the success of stage 2 funding bid.	Seafront Development Manager	50	30/04/17	01/11/15	30/04/17
<p><b>Comments:</b> 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>					



Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR24	Welfare Reform	Executive Director of Finance & Resources Welfare Reform Programme Manager	BHCC Strategic Risk	16/11/16	Threat	Treat	Red L4 x I4	Amber L4 x I3		Revised: Uncertain

Causes

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

Additionally further to the July 2015 national budget a new programme of welfare reform is commencing from April 2016.

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 DWP about change to Universal Credit and go live date for Universal Credit for a limited cohort is 14th December 2015. Budget and digital support has been commissioned from the third sector to support Universal Credit claimants. Timing for more advanced roll out in Brighton and Hove expected between Summer 2017 and September 2018.
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 a joint strategy to minimise the impact of these changes is being planned across services.
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. Consultation has been undertaken and reports authored for committee and council.
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, for example actions around the CESP and the communities prospectus from 2017

#### Second Line of Defence Corporate Oversight:

Welfare Reform meetings at CMT level booked in to track these changes and enable a corporate response, this incorporates a detailed risk register with progress of actions reviewed at programme boards.

#### Third Line of Defence Independent Assurance:

None

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 reducing to £20k - November 2016	Welfare Reform Programme Manager	66	30/10/17	01/06/15	30/10/17
<b>Comments:</b> Precise measures now known, £20k Implementation date only vague Autumn 2016 Probable caseload identified Action plan in development with Housing colleagues Discretionary Housing Payment (DHP) position not clear but some increase in funding expected					

Workshop held 15th October with colleagues from Housing, Children's Services, ASC, CVS, Advice services to develop cross services approach to benefit cap.

Initial meetings held with DWP to plan for practicalities of implementation

Feb 2016: Waiting for Welfare Reform and Work bill to complete passage through Parliament.

Work continues with Housing and Children's services to implement action plan

March 2016:

Exact timing of implementation of £20k cap still not known, meeting held with member of project team from DWP and still slotted for 'Autmn 2016'. As such this solution Risk Action title has been extended until December 2016

DWP allocation for 16/17 confirmed, £170k increase on 15/16. The full year impact of the new cap is estimated to be between £2m and £3m.

Specific project meeting to address the cap now formed

Specific HOS meeting with colleagues from Housing and Children's services in place

Specific action plan to address the impacts now in first draft

Risks for implementation and possible budget pressures being fed up through Welfare Reform Programme Board 10th March

July 2016 - Project approach in place to deal with increased caseload, resources identified to increase capacity of the team and report due to DMT to ask for permission to recruit.

Report on the expected risks from Ben Cap (and other reforms) gone to ELT and Leadership Group. Training for members on the changes to be rolled out.

Letter from DWP received 21st July confirming roll out of benefit cap would begin from 7th November 2016 and take place over a number of weeks.

October 2016

Further details of rollout received, all current claims - approx 100 - will have the new cap applied from 7th November, new cases - approx an additional 580 - are preliminarily due to have the cap applied w/c 19th December although according to DWP this date could slip depending on how the roll out in the rest of the country goes so we are not treating it as confirmed yet. The full year effect in terms of the amount Housing Benefit will be reduced by is now at £2.1million. The Discretionary Housing Payment budget has been re-profiled to take into account this new information. This information has been fed into budget planning across services.

New burdens funding has also been received from DWP to provide extra support for managing this change. A proposal to expand the ben cap team to deal with the larger numbers using the new burdens funding was submitted to F&R DMT in September and agreed. Recruitment has taken place with new members of the team starting 24th October. We are also in discussion with JCP about co-locating a member of JCP staff on the ben cap team.

Outreach is underway to customers affected following on from Job Centre Plus communications about the changes.



The end date for this item has been extended. It was previously set to 31st December 2016 to reflect that this is when the provision was due to be fully rolled out. It has now been extended until Oct 2017 which is the date we have confirmed funding in place to work with customers affected by this change.

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Keep relevant staff and stakeholders up to date with information as it becomes available	Welfare Reform Programme Manager	75	05/12/16	01/06/15	05/12/16
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**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.  
Key updates have included details and key impacts of July 2015 budget measures and CTR issues.

Information provided to relevant services (largely Housing and Children's services) about policy changes which are likely to have direct service impacts and create budget pressures.

Communications plan set out and put in place to deal with changes starting in 2016 and 2017. Newsletter for professionals produced and briefings being given to relevant services across the city.

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Prepare for Universal Credit (UC)	Welfare Reform Programme Manager	60	01/03/17	04/05/15	01/03/17
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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Further meetings with DWP re rollout of Universal Credit (UC) in place. Council will commission some support services for people on UC (funded by DWP). Housing have own action plan re direct payments of rent. Revenues and Benefits are required to undertake some business process changes. Rollout of UC planned for 14th December 15, project underway to enable required business changes in revs and bens; and, project underway to commission budgeting and digital support for people on UC (funded by DWP, commissioned by council). Rollout of UC complete. Systems in place within the Revenues and Benefits service and Housing services to manage functionality change. Contract in place to commission Moneyworks to provide digital and budgeting support to claimants of UC.</p> <p>Contract with Moneyworks to be managed through until Mar 2017, impact on customers' ability to pay rent to be monitored and responded to over this time.</p> <p>July 2016 - Government have released a revised timescale which put back the completion of UC by a year to 2022. There is no information available about when Brighton &amp; Hove may undergo full rollout other than it is expected that all new claims for working age people will be for Universal Credit by September 2018.</p> <p>The delayed rollout will have implications for other services and their medium term business planning including revs and bens and housing. This information has been shared with those services.</p>					
Provide policy options and author reports to give members options on policy issues Eg Council Tax Reduction	Welfare Reform Programme Manager	75	31/03/17	01/04/15	31/03/17

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Council Tax Reduction Report due to P&amp;R and Council in December - on track  Welfare Reform Report due to NCE committee November - on track  May have to review DHP policy later in the year which will require committee report  CTR report on schedule; NCE report completed  CTR governance completed, decision made by full Council Dec 16  DHP policy reviewed, no requirement to take report back to committee as current policy allows Universal Credit to be encompassed.</p> <p>The CTR scheme must be reviewed each year before 31st January even if no changes are proposed to be made to the scheme.  July 2016 CTR review process for 2017/18 underway. Due to be completed by 31/03/17</p> <p>Oct 2016</p> <p>CTR process underway, consultation on possible changes opened in September and will close at the beginning on November.</p> <p>Report due to go to P,R&amp;G on 8th December</p>					
Report data to programme board on the effectiveness of the caseworking support in place to help the most significantly affected by the Welfare Reforms. Eg trend analysis, financial impact	Welfare Reform Programme Manager	100	31/03/16	01/04/15	31/03/16

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Previous programme board (PB) cancelled, next PB due in December where progress will be reported December PB was also cancelled due to a number of staff having left BHCC, however a meeting was held with the corporate owner of SR24 and the SRO of the welfare reform programme to review the analysis of the caseworking so far. The work is on track and the approach is showing considerable benefits in comparison with national trends. Feedback received and a full business case based on this evidence for the continuation of the programme will be presented by the end of March.</p> <p>PB did not go ahead due to staff changes within the organisation but a meeting was held with the owner of SR24 and the SRO for welfare reform to review the progress made. Feedback received which has been incorporated into a business case for 17/18</p>					
<p>The library service is leading digital inclusion for the council. We are working with this project around digital support for claimants of universal credit, this will include an analysis of current staff skills. There is also a need to identify specific support for UC claimants and fund this through DWP funding streams.</p>	Welfare Reform Programme Manager	100	14/12/15	01/04/15	14/12/15
<p><b>Comments:</b> Project to commission digital support for people claiming UC underway</p> <p>Project to commission digital support completed, digital support for people on Universal Credit will be provided by Moneyworks</p>					
<p>The programme maintains a detailed risk register which is reviewed quarterly.</p>	Welfare Reform Programme Manager	66	31/03/17	01/04/15	31/03/17

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Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Next meeting due September 2015; previous meeting due Sept cancelled, next meeting due December 2015 and will be reviewed there. PB in December also cancelled due to a number of staff having left bhcc. In its place a meeting was held with the corporate owner of SR24 and the SRO of the welfare reform programme to review the risk log.</p>					
<p>The welfare reform programme has been extended for a year, therefore this solution has been extended until 31st March 2017</p>					
<p>Risk log reviewed with SRO for WR August 2016.</p>					
<p>The Government have stated there will be no new welfare reforms outside those already announced under the current government.</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR25	<b>Organisational Capacity as a Result of Change</b>	Executive Director of Finance & Resources Assistant Director HR & Organisational Development	BHCC Strategic Risk, Professional / Managerial	16/11/16	Threat	Treat	Amber L4 x I3	Amber L4 x I3		Revised: Uncertain

Causes

Resilience of organisation due to pace of change, reduction in staff, changing staff and loss of knowledge and history

Potential Consequence(s)

- \* Capacity to undertake change work to design high quality services
- \* Impact on fulfilment of statutory duties
- \* Partnership working becomes more fragile as a result of personnel change
- \* Staff 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. Compensation Panel (consisting of Head of Law, HR and Finance) formally signs off any severance/redundancy packages
2. Business Planning process including Directorate Plans applies delivery of Corporate Plan to each service area
3. Some statutory Performance Indicators (PIs) are Key PIs and are reported regularly to ELT, quarterly or annually
4. Other Management Information for example from the annual Staff Survey highlighting areas for focus
5. HR working with others to develop a people strategy taking into account organisational needs

Second Line of Defence Corporate Oversight:

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

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.

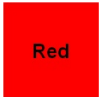

Formal assurances to be sought from these areas over the ability to maintain and operate the controls.

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

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Each DMT monitors staff absence and welfare and are supported by HR Business Partners to determine any necessary interventions	Head of Business Partnering	20	31/03/17	01/04/16	31/03/17
<p><b>Comments:</b> HR Business Partners have flagged the need for DMT and other managers to hold regular 1 to 1s with staff and return to work interviews for all absences</p> <p>Staff reminded to update the Pier HR system for all 1 to 1 engagements so that compliance can be tracked</p> <p>Policies and arrangements in place to address concerns of both management and staff, eg Occupational Health referral, whistleblowing, etc.</p>					
Finance monitor contributions from and financial standing of Key Partners to key council policies and programmes as part of routine service	Assistant Director Finance & Procurement	25	31/03/17	01/04/16	31/03/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<b>Comments:</b> TBM (Targeted Budget Management) reports to PR&G Committee on a regular basis including issues and risks relating to Key Partners					
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	Assistant Director HR & Organisational Development	25	31/03/17	01/04/16	31/03/17
<b>Comments:</b> Current work on People Strategy is ongoing and will be prepared for Policy & Resources and Growth (PR&G) Committee					
Through the Corporate Modernisation Programme Affordable Housing Development Programme support affordable housing for households working in the city	Assistant Director Housing	10	31/03/19	20/04/16	31/03/19
<b>Comments:</b> Recommendations in Housing & New Homes / Policy & Resources Committee reports for March 2016 Committee cycle were approved.					

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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
SR26	<b>Council's relationship with citizens</b>	Executive Director of Finance & Resources Head of Communications	BHCC Strategic Risk, Customer / Citizen	16/11/16	Threat	Treat	 L4 x I4	 L3 x I3		Revised: Adequate

Causes

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 NCH and 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 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. Fairness Commission working with other public sector agencies and third sector organisations
2. 'Horizon scanning' by ELT and DMTs of legislative change affecting council service delivery
3. Officer Steering Group representing 5 biggest customer service functions meets regularly to analyse impact on citizens and plan improvements
4. CCG and council work on the Health & Wellbeing Board, including co-location at Hove Town Hall
5. 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
6. NCE Committee oversight of programmes relating to the 6 workstreams in NCH

Third Line of Defence Independent Assurance:

None

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	75	31/07/17	20/04/16	31/07/17

**Comments:** Customer Promise has been developed by the Customer Experience Steering Group consisting of services representing top 20 transactions with the council which includes service standards. This has been shared with customers and Institute of Customer Service and was approved by the Executive Leadership Team in August 16. Next steps are - launch it across the organisation in the Customer Service week in October + communicate to customers via various channels + develop guidance for services to help them comply with the promise. Our performance against these standards gets reported in the Customer Insight Report.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
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	50	23/02/17	20/04/16	23/02/17
<p><b>Comments:</b> Finance working with central government (including DCLG / LGA Business Rates Steering Group) to explore direction of travel BHCC working with SE7 partners to assess potential impact of different Business Rate Retention policy designs</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	0	14/12/16	20/04/16	14/12/16
<p><b>Comments:</b> The new Head of Communications is consulting with her team and stakeholders.</p>					
Volunteering Policy and delivery arrangements across council services and with CVS	Head of Communities, Equalities & Third Sector	10	30/06/19	01/06/15	30/06/19
<p><b>Comments:</b> Volunteering Policy to be submitted for approval to the Neighbourhood, Communities and Equalities Committee in July 2016 after wide consultation. Development of delivery arrangements will continue - host training, specific service support, volunteering platform.</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
SR27	Devolution	Executive Director Economy, Environment & Culture Project Manager Greater Brighton Economic Board Business Manager	BHCC Strategic Risk, Political	16/11/16	Threat	Treat	Amber L4 x I3	Amber L4 x I3		Revised: Adequate

Causes

Readiness of politicians and management teams to take up opportunity of Devolution could determine the city's profile in the Region.

Potential Consequence(s)

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

Existing Controls



First Line of Defence: Management Controls

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

The City Council submitted a bid for devolution deal with government with Greater Brighton Economic Board partners in September 2015

Devolution Programme consisting of four streams submitted for approval to the Corporate Modernisation Board

Second Line of Defence: Corporate Oversight

Corporate oversight through the Modernisation Programme Governance

Third Line of Defence: Independent Assurance:

None

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Develop appropriate communications programme	Executive Director Economy, Environment & Culture	35	31/03/17	20/04/16	31/03/17
<p><b>Comments:</b> The communications strategy for the Greater Brighton Devolution proposals is being led by Adur &amp; Worthing Councils on behalf of the Greater Brighton Economic Board. Communications updates from the chair of Greater Brighton Economic Board following each meeting established.</p>					
Establish Devolution Programme governance arrangements	Executive Director Economy, Environment & Culture	100	15/06/16	20/04/16	15/06/16
<p><b>Comments:</b> Governance arrangements for the Greater Brighton devolution proposals are as follows:</p> <ul style="list-style-type: none"> <li>- Greater Brighton Economic Board, a joint committee that brings together the Leaders of Greater Brighton alongside business partners (Universities, South Downs National Park Authority, FE representatives, Coast to Capital LEP)</li> <li>- Greater Brighton Officer Programme Board - provides officer support and oversight</li> <li>- Internal corporate oversight of the devolution proposals established through the corporate modernisation governance structure.</li> </ul>					
Review of Governance arrangements	Executive Lead Officer Strategy, Governance and Law	10	31/03/17	20/04/16	31/03/17

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p><b>Comments:</b> Proposals for establishing a sub-national transport body under consideration with South East Seven partners and Coast to Capital LEP. Wider review of governance proposals will commence once devolution proposals have been further developed</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Initial Rating	Revised Rating	Future Rating	Eff. of Control
SR29	Contract Management	Executive Director of Finance & Resources Procurement Strategy Manager	BHCC Strategic Risk	16/11/16	Threat	Treat	Amber L3 x I4	Amber L3 x I4		Revised: Adequate

Causes

Historic sub-optimal contract specification (this doesn't happen now in general) 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

Potential Consequence(s)

- Poor 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

Well-resourced procurement function to ensure that appropriate and legally robust commercial delivery options are chosen and robust contracts are in place.

Robust contract KPIs in place so that contract performance and risk are understood.

Second Line of Defence: Corporate Oversight

Well-resourced corporate contract management oversight function to train and challenge contract managers and commissioners.

Third Line of Defence: Independent Assurance

None