

APPENDIX 3



















Q2 2022/23 update on the council's current Strategic Risks linked to Policy & Resources Committee.









- Risks are prioritised by assigning risk scores 1-5 to the likelihood (denoted by 'L') of the risk occurring, and the potential impact (denoted by 'I') if it should occur. These L and I scores are multiplied; the higher the result of $L \times I$, the greater the risk. e.g. $L4 \times I4$ which denotes a Likelihood score of 4 (Likely) x Impact score of 4 (Major), which gives a total risk score of 16.

LIKELIHOOD	Almost certain (5)	5	10	15	20	25
	Likely (4)	4	8	12	16	20
	Possible (3)	3	6	9	12	15
	Unlikely (2)	2	4	6	8	10
	Almost impossible (1)	1	2	3	4	5
		Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
		IMPACT				

- A colour coded system, similar to the traffic light system, is used to distinguish risks that require intervention. Red risks are the highest (15-25), Amber risks are significant (8-14), Yellow risks are moderate (4-7), and then Green risks are lowest (1-3).
- The Strategic Risk Register (SRR) mostly includes Red and Amber risks. Each strategic risk has a unique identifying number and is prefixed by 'SR' representing that it is a strategic risk.
- Each risk is scored twice with an Initial 'Current' level of risk and a Revised 'Target' risk score:
 - The **Initial 'Current' Risk Score** reflects the Existing Controls already in place under the 'Three Lines of Defence' methodology. This represents good practice as it identifies the First Line – Management Controls; Second Line – Corporate Oversight; and Third Line – Independent Assurance and the currency and value of each control in managing the risk. Therefore the Initial Risk Score represents the 'as is/' 'now' position for the risk, taking account of existing controls.
 - The **Revised 'Target' Risk Score** focuses on the application of time and/or expenditure to further reduce the likelihood or impact of each risk. It assumes that any future Risk Actions, as detailed in risk registers, will have been delivered to timescale and will have the desired impact.
 - The Risk Owners are asked to consider the 4Ts of Risk Treatments – Treat, Tolerate, Terminate, Transfer. Risk actions should reduce the likelihood and/or impact – if neither are true, there will not be any reason to undertake the action.

All of the council's Strategic Risks are listed below, showing the current and target risk scores.

Risk Nos.	Risk Title	Current Risk Score Likelihood (L) x Impact (I) & Direction of Travel (DOT)	Target Risk Score Likelihood (L) x Impact (I) & Direction of Travel (DOT)	Committee (s)	Risk Owner
SR36	Not taking all actions required to address climate and ecological change and transitioning our city to carbon neutral by 2030	4 x 5  HIGH (RED)	4 x 4  HIGH (RED)	Environment, Transport & Sustainability Committee	Executive Director, Economy, Environment & Culture
SR02	The council is not financially sustainable in the medium term	5 x 4  HIGH (RED)	4 x 4  HIGH (RED)	Policy & Resources Committee	Chief Finance Officer
SR25	Insufficient organisational capacity or resources to deliver all services and respond to changing needs and changing circumstances	5 x 4  HIGH (RED)	4 x 4  HIGH (RED)	Policy & Resources Committee	Chief Executive
SR37	Adverse impact on health outcomes and business continuity from high levels of disease transmissions and pandemics in the city	4 x 4  HIGH (RED)	3 x 4  SIGNIFICANT (AMBER)	Adult Social Care Public Health Committee	Executive Director, Health & Adult Social Care
SR32	Challenges in ensuring robust & effective health & safety measures, leading to personal injury, prosecution, financial losses, or reputational damage	4 x 4  HIGH (RED)	3 x 4  SIGNIFICANT (AMBER)	Policy & Resources Committee	Director, Human Resources & Organisational Development
SR18	The organisation is unable to deliver its functions in a modern, efficient way due to the lack of investment in and exploitation of technology	4 x 4  HIGH (RED)	3 x 4  SIGNIFICANT (AMBER)	Policy & Resources Committee	Executive Director, Governance, People & Resources
SR13	Not keeping adults safe from harm and abuse	4 x 4  HIGH (RED)	3 x 4  SIGNIFICANT (AMBER)	Adult Social Care Public Health Committee	Executive Director, Health & Adult Social Care
SR15	Not keeping children safe from harm and abuse	4 x 4  HIGH (RED)	3 x 4  SIGNIFICANT (AMBER)	Children, Young People & Skills Committee	Executive Director Families, Children & Learning
SR10	Corporate information assets are inadequately controlled and vulnerable to cyber attack	4 x 4  HIGH (RED)	3 x 4  SIGNIFICANT (AMBER)	Policy & Resources Committee	Chief Executive

Risk Nos.	Risk Title	Current Risk Score Likelihood (L) x Impact (I) & Direction of Travel (DOT)	Target Risk Score Likelihood (L) x Impact (I) & Direction of Travel (DOT)	Committee (s)	Risk Owner
SR21	Unable to manage housing pressures and deliver new housing supply	4 x 4  HIGH (RED)	4 x 3  SIGNIFICANT (AMBER)	Housing Committee	Executive Director, Housing, Neighbourhoods & Communities
SR24	The council is unable to provide an effective welfare support response to households facing financial hardship.	4 x 3  SIGNIFICANT (AMBER)	3 x 3  SIGNIFICANT (AMBER)	Policy & Resources Committee	Chief Finance Officer
SR30	Not fulfilling the expectations of residents, businesses, government and the wider community that Brighton & Hove City Council will lead the city well and be stronger in an uncertain environment	3 x 4  SIGNIFICANT (AMBER)	2 x 4  SIGNIFICANT (AMBER)	Policy & Resources Committee	Chief Executive
SR29	Procurement non-compliance and ineffective contract performance management leads to sub-optimal service outcomes, financial irregularity and losses, and reputational damage	3 x 4  SIGNIFICANT (AMBER)	2 x 3  MODERATE (YELLOW)	Policy & Resources Committee	Chief Finance Officer

Risk Details

Risk Code	Risk	Responsible Officer	Risk Category	Current Risk		Target Risk				
SR10	Corporate information assets are inadequately controlled and vulnerable to cyber-attack	Chief Executive Head of Strategy & Engagement	BHCC Strategic Risk, Legislative, Policy & Resources Committee, Technological	<div style="background-color: red; color: white; padding: 2px;">Red</div> L4 x I4		<div style="background-color: yellow; color: black; padding: 2px;">Amber</div> L3 x I4				

Causes

BHCC is highly dependent on its digital information asset (more than 300 business systems containing 10's of millions of records and more that 20 million inbound and outbound emails a year).

This asset is vulnerable to cyber-attack from several threat actors including employees, cyber criminals, hackers and to some extent foreign states.

In addition to an intentional cyber-attack, the sensitive information (personal citizen information or corporate sensitive information) is vulnerable to accidental loss or accidental publication.

The growing volume of digital information (compounded by the tendency to over retain information), the pervasiveness of digital technologies and sophistication of cyber threat requires a constantly evolving approach to cyber security, Information Governance (IG) and Information Management to combat this threat.

The ways of working adopted during the current Covid-19 (C-19) pandemic heightens this risk and would make recovery more challenging.

This risk is linked to the Corporate Plan Outcome: ' A well run city: Keeping the city safe, clean, moving and connected'.

Potential Consequence(s)

- A successful large-scale cyber-attack could halt the entire operation of the organisation. A successful medium scale cyber-attack would severely disrupt services by preventing access information, payments and/or communication. This would have a tangible impact on citizens lives and greatly increase the potential for physical harm and even death due to the impact on service delivery

- A successful medium scale cyber-attack would have serious financial impact. The cost of recovery and repair (and potentially imposed penalties) is likely to exceed £10million
- Any loss of data (either through attack or accident) is likely to damage the council's reputation with the public who entrust us with their information
- The Public Services Network (PSN) & Health & Social Care Information Center (HSCIC) could impose operational sanctions which would be catastrophic for many services.

Existing Controls

First Line of Defence: Management Action

Prevention - Technical Controls

- Corporate firewall to monitor and control incoming and outgoing network traffic.
- Hard drive protection to prevent access to information on lost or stolen devices.
- Password policy in line with NCSC (National Cyber Security Centre) advice.
- Hosting in a tier three, ISO 27001 Certified datacentre.
- Secure e-mail (using NCSC Mail Check to maintain DMARC, SPF, DKIM and TLS configurations).
- Patching regime in place across entire estate.
- Annual health checks and penetration tests.
- Membership of South East WARP (Warning, Advice and Reporting Point) organised by the National Cyber Security Centre) providing up-to-date advice on information security threats, incidents and solutions.
- IT&D incident management process integrating data breach and cyber security incidents.
- Procurement of all new and changed applications is subject to review against IS and IG standards.

Prevention – Behavioural Controls

- The council's Behaviour Framework applies to all staff and includes under 'Behaving Professionally' the text "I handle confidential matters and information discreetly and within set guidelines (e.g. Data Protection, data sharing protocols).
- Online IG training is published on the learning gateway and cyber-security sessions delivered by the local police cyber-crime unit have been made available to all staff.
- A variety of guidance materials (including guidance on strong password creation, phishing and working from home safely during c-19) are published on the Wave.
- Privacy impacts assessments (PIAs) conducted for all new business process and systems involving personal information.

Recovery Controls

- Documented major incident process in place.
- Basic recovery procedures documented for major systems.

- Full backups of business data for all internally hosted application.
- Shared Orbis expertise - 5 CISSP (Certified Information Systems Security Professional) qualified staff working in the partnership.
- Managed relationship with ICO (Information Commissioners' Office).

Second Line of Defence: Corporate Oversight

- A suite of Information Governance Policies are regularly reviewed and approved by IGB.
- An information risk register is regularly reviewed by Information Governance Board (IGB) and the Senior Information Risk Owner (SIRO).
- The Senior Information Risk Owner (SIRO) is briefed monthly on areas of risk.
- The Information Governance Board ("IGB") oversees and provides leadership on Information Risk Management and obligations arising from legislation such as the Data Protection Act (DPA) 1998 & Freedom of Information (FOI) Act 1998.
- The Caldicott Guardians (Executive Directors Families, Children & Learning; and Health & Social Care) have corporate responsibility for protecting the confidentiality of Health and Social Care service-user information and enabling appropriate information sharing.
- The Information Governance Team operates as an independent function to provide advice, guidance and oversight in key areas.
- Information Governance and Cyber Security receives oversight from the Audit and Standards Committee.
- A Joint Orbis Data Protection Officer (DPO) has been in post as of May 2018. This role assists in the monitoring of internal compliance, provides advice on data protection obligations and Data Protection Impact Assessments (DPIAs).
- Risk reviewed by A&S Committee in July 2019, January 2021.

Third Line of Defence: Independent Assurance

1. Internal and external IT audits provide an objective evaluation of the design and effectiveness of IT&Ds internal controls. An annual Internal Audit schedule is agreed with internal audit; some focus audits specifically on Information Governance (IG) areas, but all will cover some aspect of IG. The outcome of all audits is reported to the Audit and Standards Committee quarterly.

* 2021/22: Email Communication - personal and sensitive encryption (Reasonable Assurance), DWP/Searchlight System Security Compliance (Reasonable Assurance), PIER Application Control (Reasonable Assurance), Information Governance - Remote Working (Reasonable Assurance), IT Access Management (Reasonable Assurance), Network Security (Reasonable Assurance),?

* 2020/21: Cyber Security (Reasonable Assurance), IT Asset Management during Covid 19 (Reasonable Assurance), GDPR (Reasonable Assurance), Housing Management System Implementation (Partial Assurance)?

* 2019/20: ICT Compliance Framework (Reasonable Assurance), Mobile Device Management (Reasonable Assurance), Purchasing Card System (Reasonable Assurance), Main Accounting System (Substantial Assurance)
 2. IT Health Check (ITHC) performed by a 'CHECK'/'CREST' approved external service provider – covering both applications and infrastructure assurance. The ITHC approach has been updated to include one standard annual check and one targeted solution specific check (e.g. the mobile service).
 3. Continued assurance from compliance regimes, including Public Sector Network (PSN) CoCo (Code of Connection); NHS Digital Data Security and Protection (DSP) Toolkit; and Payment Card Industry Data Security Standard (PCI DSS).



Reason for Uncertain status for effectiveness of controls: Cyber threats are evolving to become more sophisticated and our growing dependence on technology means that the impact of a successful attack has greatly increased. Proportionate technical and behavioural mitigation of this risk may not prevent a highly sophisticated, persistent attack.

While we recognise the need for transparency and accountability, for the purpose of this report, information which may compromise security or in some way increase the organisation's vulnerability to cyber-attack may have been withheld.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Prevention - Technical Controls: Improve the Council's Information Risk Management process maturity. This will include elevating the visibility of the risk register, implementing technical solutions to improve information asset management and publicizing clear processes and guidance.	Head of Strategy & Engagement	25	31/03/23	01/04/22	31/03/23
<p>Comments: Q1 update: A risk register covering critical information risk is now in place. Further review and future developments are currently in planning. Improved asset management processes will be addressed as a future phase of the Access Management project.</p>					

Last Updated: 02/11/2022

<p>Prevention - Technical Controls: Manage an on-going programme of IT platform management and migrate data held on legacy network drives to Microsoft M365.</p>	<p>Head of Strategy & Engagement</p>	<p>25</p>	<p>01/04/23</p>	<p>01/04/22</p>	<p>01/04/23</p>
<p>Comments: Q1 update: Any remaining SQL2012 databases (EOL July 2022) are on track to be decommissioned by May/June. Removal of Windows Server 2012 (including all shared drives) has now started. This will be complete before support expires in October 2023. Piloting of a new MS SharePoint environment to replace shared drives is now underway. This work will provide the understanding of migration tools/resource requirements to support service planning for the migration of all content during 2022/23.</p> <p>Last Updated: 02/11/2022</p>					
<p>Prevention - Technical Controls: Review and improve user access controls (network and application access rights for starters, leaver and movers) via the Access Management project</p>	<p>Head of Strategy & Engagement</p>	<p>25</p>	<p>31/03/23</p>	<p>01/04/22</p>	<p>31/03/23</p>
<p>Comments: Q1 update: Technical assurance for the DataHub design (including Pier and Active Directory integration) is complete and DPIA work is underway. A prototype build is currently underway and MS licence implications are being analysed.</p> <p>Last Updated: 02/11/2022</p>					

Risk Code	Risk	Responsible Officer	Risk Category	Current Risk		Target Risk				
SR18	The organisation is unable to deliver its functions in a modern, efficient way due to the lack of investment in and exploitation of technology	Executive Director Governance, People and Resources Head of Strategy & Engagement Programme Manager	Policy & Resources Committee	 L4 x I4		 L3 x I4				

Causes

The organisation is highly dependent on technology for the delivery of services. However, technology requires ongoing financial investment to keep pace with the expectations of staff and customers and avoid technology failures which lead to disruption to services.

Investment can be sub-divided into 5 key areas:

1. Investment in foundational technology: ensuring a reliable and secure infrastructure
2. Investment in 'end user' technology: provide appropriate device, corporate systems, and office productivity tools
3. Investment in business applications: ensuring service owned systems are fit for purpose
4. Investment in digital transformation: enabling modernisation programmes to develop and utilise new digital approaches and technologies
5. Investment in leaderships and staff: improving our leaders and staff's tech competencies and ensuring the opportunities provide by technology are recognised and exploited

Link to Corporate Plan: Outcome: ' A well run city: Keeping the city safe, clean, moving and connected'

Potential Consequence(s)

1. Investment in foundational technology

BHCC will be more vulnerable to cyber-attack (SR10) as well as regular service outages caused by systems failure. This will result in failure to deliver services, a loss of revenue, an increased risk to residents and a negative impact on staff morale

2. Investment in 'end user' technology

Lack of (or inadequate) end user technology will limit service ability to achieve relevant corporate plan objectives/make the required service improvements. It will also have a negative impact on staff morale and make it more challenging to attract and retain talent due to not meeting expectations of a modern working environment.

3. Investment in business applications

Continuing to run business specific applications which are not fit for purpose will limit service ability to achieve relevant corporate plan objectives. They will also put the organisation at greater risk of cyber-attack (SR10) and raise risks associated with poor information management, accessibility, and interoperability with digital products.

4. Investment in digital transformation

Digital transformation underpins the organisation's ability to deliver value for money services, provide excellent customer service and create organisational agility. Inadequate investment (and investment which that is not balanced across the multiple facets of digital - cultural change, process improvement and digital technologies) will lead to a failure to meet these corporate objectives. It will also have a negative impact on staff morale and negatively impact the council's and city's reputation as a digital city.

5. Investment in leadership and staff

Managers and leaders require support to understand the implications of new technologies and how they can be utilised. Staff will need to be supported to become more digitally curious and engaged and have the confidence to adopt new ways of working. Without the investment to support these changes, the value of any investment in technology will be lost.

Existing Controls

First Line of Defence: Management Action

1. Investment in foundational technology

a. Planned annual capital investment in foundational IT (a share of £1M split between foundational and end user technology) is managed through a structured capital investment programme Foundational IT (FIT),

formally 'Digital Organisation Programme (DOP) with the appropriate programme structures and artifacts and oversight via the Corporate Modernisation Board (CMDB)

b. Exceptional capital investment is approved at CMDB and managed alongside planned capital investment.

c. Investment programmes to date have delivered multiple new capabilities including - off site, secure Data Centre storage (ODC); Platform migrations (Citirix and Windows10), a GDS (Government Digital Services) security accreditation mail service, ubiquitous wi-fi capabilities across all BHCC offices, and remote working service (AOVPN) for the entire workforce

2. Investment in 'end user' technology

a. Planned annual capital investment in 'end user' technology (a share of £1M split between foundational and end user technology) is managed through a structured capital investment programme Foundational IT (FIT), formally 'Digital Organisation Programme (DOP) with the appropriate programme structures and artifacts and oversight via the Corporate Modernisation Board (CMDB)

b. Exceptional capital investment is approved at CMDB and managed alongside planned capital investment.

c. Investment programmes to date have delivered multiple new capabilities including – the creation of a new mobile service and the introduction of 1800+ iPhones/tablets and the introduction of 3,000 new laptop devices.

3. Investment in business applications

a. With oversight from CMDB, investment in the Eclipse programme (£2.8M) to replace the core social work case management system.

b. Investment in the replacement of the housing management system.

4. Investment in organisational transformation

a. With oversight from CMDB, investment via the Digital Customer programme (£1.7M) has sponsored multiple digital transformation projects including corporate web migration, MyAccount, Customer Index/Viewer project and the Contact Management project

b. Ad hoc digital improvements were made as part of the Covid response including the Clinically Extremely vulnerable (CEV) App, Community Hub app, Free school meals app, PPE form, Homeless food delivery, Discretionary grant application, Business grant application, etc

5. Investment in leadership and staff

a. Leadership Network is a forum for developing leaders

Second Line of Defence: Corporate Oversight

1. Corporate Modernisation Delivery Board (CMDB) oversees the alignment of programmes and projects to the Corporate Plan aims and review any gaps. This includes the oversight of the Foundational IT programme

(FIT), Digital Customer programme and the Future Ways of Working programme

2. Executive Leadership Team (ELT) have oversight of the biannual staff survey and specifically the relevant indicator 'I have access to the equipment, systems & resources I need to do my job effectively' (2021: 71%, 2019: 57%, 2017: 55%)
3. Tech & Digital Board in place to review progress, identify interventions where strategic changes on IT are required, and produce a re-focused strategy that aligns the needs of services
4. 31Ten are providing consultancy around digital strategy.
5. Silversands have provided assurance around Microsoft 365.
6. The A&S Committee reviewed this risk in January 2021 and July 2019.

Third Line of Defence: Independent Assurance

1. Internal Audit:

- * 2021/22: MCM Housing Repairs Application (Reasonable Assurance), Public Sector Bodies - Website & Mobile Applications - Accessibility Regulations (Partial Assurance)?
- * 2020/21: Care System Replacement Project – Eclipse (Reasonable Assurance), Housing Management System Implementation (Partial Assurance), Cloud Computing (Reasonable Assurance), IT Access Management (Partial Assurance)?
- * 2019/20: Mobile Device Management (Reasonable Assurance), Surveillance Cameras (Partial Assurance)
- * 2018/19: Digital First (Minimal Assurance), Housing Management System Replacement (Reasonable Assurance), Care management system re-procurement (Reasonable Assurance)

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Investment in 'end user' technology - Foundational IT Programme: Deployment, adoption and training of new information management tools (Microsoft365) to replace personal/shared drives & wave	Head of Strategy & Engagement	25	31/03/23	01/04/22	31/03/23
<p>Comments: Q1 update: The full MS Teams product has now been rollout out and a series of training sessions delivered across the organisation. Piloting of a new MS SharePoint environment to replace shared drives is now underway. This will provide the understanding of migration tools/resource requirements to support service planning for the migration of all content during 2022/23. A design for the Wave replacement will be completed by end of May 2022 and content migration will run through Q2.</p> <p>Last Updated: 02/11/2022</p>					
Investment in 'end user' technology - Foundational IT Programme: Strategic Telephony Review	Head of Strategy & Engagement	25	31/03/23	01/04/22	31/03/23
<p>Comments: Q1 update: Currently in phase 1/4 - Migrating Centrex analogue phone system to VOIP cloud telephony. Business engagement to build requirements for Avaya replacement is underway (workshops run in March).</p> <p>Last Updated: 02/11/2022</p>					
Investment in business applications: Strategic review of HR & Financial information systems	Chief Finance Officer	20	31/05/22	16/11/21	31/05/22

Comments: Sep-22: SOTICIM were appointed to carry out an options appraisal to establish the next steps for the corporate systems strategy. Several workshops have taken place with key stakeholders and vendor demo's have been provided. The review completed in March 2022. Follow up sessions were held to clarify outline business case assumptions and costings and a report was taken to Policy & Resources Committee on 29 July 2022 (deferred from the planned 7 July meeting) recommending that the council proceed to procurement of replacement corporate systems with an ERP solution.

A Programme Board structure is currently being set up and will start in September 2022. The procurement phase is planned to be determined by March 2023, requiring approval of the Policy & Resources Committee to make the award on the basis of an updated Full Business Case. As award/implementation is subject to approval, an application to the Modernisation Fund to act as 'guarantor' for interim (procurement phase) costs will be made in the unlikely event that approval is not given and these costs cannot be capitalised (i.e. there is no revenue budget that could absorb these costs).

In the meantime, new contracts with existing suppliers have been secured for the current applications (approved at March 22 P&R) for 3 years (4 years for the Finance system) which will ensure continuity of current systems and enable time for detailed procurement and implementation of replacement systems (if award of contract is approved).

Last Updated: 01/09/2022

Investment in digital transformation - Digital Customer: Implement a series of digital improvements to the online customer experience	Head of Strategy & Engagement	25	31/03/23	01/04/22	31/03/23
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Comments: Q1 update: Completing phase 1 of the web redesign and associated rearchitecting of MyAccount to support new navigation principles. Initiating next phase of web redesign (forms rationalisation, content redesign, improved search and accessibility compliance).

Last Updated: 02/11/2022

Investment in foundational technology: Foundational IT Programme: a series of ongoing improvements to the speed and reliability of the underlying corporate infrastructure.	Head of Strategy & Engagement	25	31/03/23	01/04/22	31/03/23
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Comments: Q1 update: Migration of users to a new AOVPN environment is underway. Migration will run in a series of bathes throughout Q1 and improve the remote connectivity experience. The LAN network infrastructure project (replacement of end of life network components) is entering a procurement phase.

Last Updated: 02/11/2022

Investment in leadership and staff: Establish a digital skills framework for BHCC and ensure the appropriate learning & development solutions are made available and communicated to all staff	Business Partner / HR Business Partnering	5	31/03/23	17/11/21	31/03/23
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Comments: May-22: This is currently being scoped and we are utilising the Government Digital Skills Framework. We are identifying service champions to support this work, but there have been delays due to capacity issues and change of personnel in L&D to support scoping and design.

Last Updated: 02/11/2022

Risk Code	Risk	Responsible Officer	Risk Category	Current Risk		Target Risk				
SR2	The council is not financially sustainable in the medium term	Chief Finance Officer Assistant Director, Customer, Modernisation and Performance Insight	Policy & Resources Committee	Red L5 x I4		Red L4 x I4				

Causes

Link to Corporate Plan 2020-23: Attributes 7. 'How will the plan be delivered' actions to achieve 'A well run council'.

Reductions in central government funding continued through to 2020 under various Comprehensive Spending Reviews. The changes to local government funding introduced in 2013/14 also transferred greater risks to the council, particularly in relation to Business Rate valuation appeals. There is a cumulative impact of reductions in government funding to other public agencies in the city. The greatest risks are from the potential ongoing economic impacts of Covid-19, increasing cost and demands across demand-led services such as social care and homelessness, and rising inflation and cost of living implications.

Medium Term Service and Financial Planning was introduced in 2016/17 but two successive one-year local authority financial settlements in 2019 and 2020 made longer term planning difficult. A 4-year planning period has been re-introduced following the 2021 Spending Review announcement and a more comprehensive MTFs will be developed in 2022/23. However, forecasting the Medium-Term Financial Strategy will remain challenging given the continuing uncertainty in funding and taxation levels and the added dimensions of the pandemic and rising inflation. There is also increased uncertainty until HM government determines its long-term approach to Local Government Finance, including the Fair Funding Review, potential reform of business rates and Council Tax, and the funding of social care.

Potential Consequence(s)

The council will need to adapt to the financial impact of Covid-19 and continue robust financial planning in a highly complex environment. Failure to do so could impact on financial resilience and mean that outcomes for residents are not optimised.

Existing Controls

First Line of Defence: Management Controls

1. Ongoing review of the adequacy of risk provisions and reserves to support the medium-term budget strategy and to ensure financial resilience.
 2. Medium term resource projections (MTFS) and estimates of demographic and other changes in costs to ensure that budget shortfalls (gaps) are identified at the earliest opportunity and planning can begin at an early stage to address predicted gaps including identification of taxation strategies and savings programmes and options.
 3. Consultation and engagement with the Leadership (member oversight), cross-party Budget Review Group and partners (particularly the Clinical Commissioning Group 'CCG') for development and approval of the annual budget led by the Executive Leadership Team (ELT) and the Chief Finance Officer (CFO).
 4. Targeted Budget Management (TBM) Month 7 (October) and month 9 (December) projections are undertaken to accompany the draft (Nov/Dec) and final (Feb) budget reports to Policy & Resources Committee to ensure in-year trends and pressures are reflected in resource projections and budget setting.
 5. Taxbase forecasts and projections are updated and reflected in the Medium-Term Financial Strategy (MTFS) and annual budget proposals and reported by the statutory deadline (31 January).
 6. Investment requirements are reviewed and funding flexibility identified to ensure delivery of modernisation and invest-to-save proposals.
- * Key control: annual revenue and capital budgets approved by Budget Council in February with a balanced budget and 'funded' capital programme;
- * TBM Monitoring regime includes RAG rating of budget performance with an escalating scale of scrutiny and intervention where continued overspending is evident. Interventions focus on development of Financial Recovery Plans approved and monitored by the CFO but can ultimately include 'special measures' such as specific financial management or vacancy controls.

Second Line of Defence: Corporate Oversight

1. Modernisation portfolio monitored by the Corporate Modernisation Delivery Board (CMDDB).
2. Close alignment of Corporate Plan priorities with the annual budget and Medium-Term Financial Strategy (MTFS) demonstrated by aligning investments to the 6 Corporate Plan priorities and testing savings against a prioritisation matrix.
3. Regular monitoring and review by Policy & Resources (P&R) Committee of the MTFS assumptions, the impact of legislative changes; cost and demand pressures; savings programmes; and income, taxation and grant assumptions through TBM reporting and various budget reports (Jul, Nov/Dec, Jan and Feb).
4. RE-adoption by P&R of a longer term planning approach following announcement of a 3-year Comprehensive Spending Review in 2021. Plans will cover a 4 year period and identify investment

requirements, including capital investment, to ensure delivery.

5. Ongoing review and challenge of value for money primarily supported by the external audit review and other independent advice (LGA) where appropriate.

6. The cross-party Budget Review Group periodically reviews TBM performance and Treasury Management performance.

7. The Administration's Leader and Finance Lead/s provide challenge and steer for the development of budget proposals by officers.

8. Oversight of pooled funds and integrated arrangements through separate governance arrangements including Health & Wellbeing (HWB) Board and BHCC - CCG officer meetings.

Third Line of Defence: Independent Assurance

1. Annual review of Value for Money (VfM) arrangements by the External Auditor leading to an opinion in the annual audit report. The last review (2019/20) concluded there were no governance issues to report and arrangements to secure VfM and the council's use of resource were reasonable. Next External Audit VFM report (on 2020/21 arrangements) is due at Audit & Standards Committee on 19 April 2022.

2. Internal audit reviews:

Internal Audit reviews on all aspects of financial management, governance and reporting are undertaken on a rolling basis to provide management with assurance and recommendations for improvements.

* 2021/22: Accounts Payable (Reasonable Assurance), City Clean Expenditure (Reasonable Assurance), Capital Programme (Reasonable Assurance)

* 2020/21: Budget Management (Substantial Assurance), Payroll (Reasonable Assurance), Business Rates (Reasonable Assurance), Accounts Receivable (Partial Assurance), Council Tax (Reasonable Assurance).

* 2019/20: Main Accounting System (Substantial Assurance), Treasury Management (Reasonable Assurance), Purchasing Card System (Reasonable Assurance), BACS Payment Arrangements (Reasonable Assurance), Care Payments (Substantial Assurance), Adult Social Care Income (Reasonable Assurance), Housing Rents (Reasonable Assurance).

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
<p>Continue to monitor impact of health sector reforms, including development of the Integrated Care System (ICS) and associated financial implications.</p> <p>Comments: Aug-22: Meetings with the CCG Chief Executive and Chief Operating Officer and the council's Chief Executive and Director of Adult Services (DAS) are in place to ensure alignment of resource and budget planning processes as far as possible. 3-year agreement on joint funding of S117 mental health cases signed off. Development of the new Integrated Care System (ICS) and ICPs is in train including discussions around joint funding approaches and pathways. NHS capital funding of facilities for complex cases transferring from long stay hospitals (TCP) and out of area is in negotiation alongside development of business cases. Similarly, redevelopment of Knoll House, which will include local provision for ABI placements, is underway including discussions with the NHS regarding continuing care funding. Monthly reporting of the council's element of the risk share of S31 partnerships is provided via the Targeted Budget Management framework. An emerging risk, however, is the national NHS pay award which may need to be funded from existing NHS funding allocations, potentially jeopardising local funding arrangements.</p> <p>Last Updated: 11/08/2022</p>	Chief Finance Officer	30	31/03/24	01/04/20	31/03/24
<p>Corporate Modernisation Delivery Board includes monitoring and RAG rating of critical VFM and other savings programmes that support the council's current and medium term financial position. Reporting links to TBM reporting which also monitors savings delivery.</p>	Assistant Director, Customer, Modernisation and Performance Insight	50	31/03/24	01/04/20	31/03/24

Comments: Aug 22: Corporate Modernisation governance arrangements are in place. Corporate Modernisation Delivery Board (CMDB) continues to provide support and challenge to project/programme managers and Senior Responsible Owners. All budget figures reported link to the TBM budget monitoring process. A revised RAG guidance has been prepared which is resulting in more accurate reflection of the progress. A revised Modernisation Investment programme was agreed by Budget Council in February 2020 and is underpinning modernisation programmes and activities over the next 4 years to support achievement of identified savings requirements to address budget gaps in the MTFs. Planning for 2023-27 MTSFP has started. One of the key corporate modernisation programmes is 'Fair & Inclusive - workforce and services' to strengthen our support for customers and staff from protected characteristics.

Last Updated: 25/08/2022

Meet Targeted Budget Management (TBM) reporting timetable and identify risk mitigation and corrective action where necessary	Chief Finance Officer	25	31/03/24	01/04/20	31/03/24
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Comments: Aug-22: The current annual TBM reporting timetable has been produced and agreed. TBM reports are regularly shared with the cross-party Budget Review Group (BRG) to ensure additional member oversight of the financial position. TBM reporting will identify risk mitigation and corrective action for overspending areas identified by RAG ratings. The TBM regime ensures that escalating interventions apply where continued overspending (RED RAG) is evident. Interventions focus on additional scrutiny by the CFO and/or Chief Executive Officer (CEO), CFO approval of Financial Recovery Plans, and ultimately potential 'special measures' interventions where overspending persists. All savings programmes will also be monitored through the TBM report and via the Corporate Modernisation Delivery Board (CMDB). The council maintains a Working Balance of £9m to mitigate general financial risks. The current in-year position (TBM Month 3, June) shows a very high forecast risk of £8.8m but this will increase to £13.6m once the pay award 'offer' is added to the forecast. ELT will consider wider options i.e. beyond directorate actions, for managing the position over the remainder of the year.

Last Updated: 11/08/2022

Update and maintain an MTFs and 4-year Budget Planning timetable and process.	Chief Finance Officer	25	31/03/24	01/09/19	31/03/24
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Comments: Aug-22: Medium Term Budget Planning will continue over the current political term and beyond. The budget for 2022/23 was approved by Budget Council in February 2022 and included the annual budget and 4-year projections. MTFS updates are provided, as a minimum, each July and February to P&R to ensure resource projections and predicted budget gaps continue to be identified as early as possible to ensure that the associated savings requirement and proposals can be developed in good time. An updated MTFS and financial scenarios were provided to 7 July P&R Committee identifying potential budget gaps of between £13m (best case) and £31m (worst case) for 2023/23 and circa £42m over the 4-year period 2023/24 to 2026/27, however, projections are highly uncertain and depends on ongoing financial impacts of the pandemic, current inflationary pressures, impact of the cost of living situation on demand for council services, and government funding support provided for 2023/24 and beyond.

The council has a well-defined budget setting process which begins early in the financial year (May) and works iteratively through to draft proposals in November/December and final proposals and approval of the budget in February. An ELT-Member Session was held on 19 May to start the process with the Administration. Further workshops are planned in September and October. The budget process is designed to ensure that MTFS estimates and assumptions are kept under review using latest information to inform the position for at least the next 3 years with a primary focus on the next financial year which is the only period requiring formal approval by full Council. The budget process includes the following iterative elements:

- Assessment of underlying demographic demands and cost pressures and forward projections of these based on current activity and current financial monitoring trends;
- Assessment of current income collection & recovery performance trends;
- Updated estimates of resources based on latest government information and announcements, and anticipated legislative changes including transfers of services in (new burdens) or out of local government;
- Updated estimates of taxation resources based on latest monitoring information and government information and announcements, including consideration of any expected in-year surplus or deficit;
- Estimates of inflationary pressures based on latest information and announcements, for example, from Local Government Employers (LGA) pay negotiations, reports from the Actuary on Pension Fund liabilities, tracking of indicators including RPI/CPI and other inflationary indicators, and consideration of legislative changes (e.g. known changes to employers National Insurance);
- Iterative development and review of savings proposals to meet the latest estimated 'budget gap'. This is achieved by allocating 'indicative targets' to each directorate as a guideline for developing savings – normally taking some account of the relative scale of budgets and corporate priorities. Proposals are regularly reviewed by ELT and by members of the Administration through agreed and regular member oversight processes (usually led by the Lead Finance member/s). This ensures that member prioritisation and alignment with corporate priorities is built into the process.

All elements are updated at least 3 times, often more regularly, throughout the annual budget setting process.

The ongoing impact of Covid-19, current inflationary pressures and the impact of the cost of living situation may change the financial planning outlook in future years. The situation is being monitored closely and updates are taken regularly to P&R Committee.

An additional process to development an accompanying Business Framework will support the budget process this year which will help to define priorities and, in particular, identify essential services and the cost of providing these to agreed minimum or other recommended standards.

Last Updated: 11/08/2022

Risk Code	Risk	Responsible Officer	Risk Category	Current Risk	Target Risk				
SR24	The council is unable to provide an effective welfare support response to households facing financial hardship.	Chief Finance Officer Head of Welfare, Revenues & Business Support Revenues & Benefits Manager	Policy & Resources Committee	Amber L4 x I3	Amber L3 x I3				

Causes

Link to Corporate Plan 2020-23. Outcome 2: A City Working for All and action 2.1 Build community wealth

Covid-19 has meant significant economic, business, social and welfare impacts on how Brighton & Hove City Council (BHCC) and its partners provide support and rollout Universal Credit (UC). There are increasing implications for staffing levels within services; rent collection; council tax collection, and pressures on social services and homeless services. The voluntary sector is also reporting a high level of strain on their resources. A government decision to discontinue the £20 pw Universal Credit top-up beyond September 2021, plus increases in fuel, food and rental costs led to a very difficult winter for low income households and high demand for welfare support. Crucially the Council response was significantly bolstered by the government's Household support Fund (£2.1m). With cost of living pressures exacerbated by the Ukraine crisis and escalating fuel costs the Council will need to ensure that more restricted funding in 2022/23 is effectively targeted to people and families in need. The council will be distributing the Council Tax Energy Payment (Rebate) (£16m), the associated discretionary element of the scheme (£0.6m), and a further tranche of the Household Support Fund (£2.1m) in 2022/23 alongside existing discretionary housing and Council Tax Reduction funds.

Covid-19 redefined the approach taken towards welfare support by BHCC and partners. The strategic

medium and long term delivery arrangements are to be determined as the cost of living impacts evolve. A strategic report will be presented to committee in May 2022 but the more limited funding in 2022/23 does not coincide with a projected drop in demand, particularly looking ahead to next winter.

The lead agency for UC is the Department for Work and Pensions (DWP) who have adapted and streamlined their processes and brought in extra resources to process claims. However, they are now in the process of moving to a post-Covid model with an emphasis of reducing unemployment to pre-covid levels. The full working age Housing Benefit caseload is scheduled to transfer to UC by the end of 2024.

Potential Consequence(s)

Increased service pressures on housing, social services and voluntary sector providers such as food banks and money advice services.

Greatly increased volume of Council Tax Reduction and Universal Credit claims during 2020-21 and 2021-22, and levels are still higher than before the pandemic.

Increase of food poverty, fuel poverty, money flow, property rent arrears, and growing Council Tax arrears
Significant extra pressure on local discretionary budgets and funds.

Decreased rent and Council Tax collection.

Existing Controls

First Line of Defence: Management Actions

a) BHCC Local Discretionary Social Fund (LDSF) provides assistance with emergency food vouchers, fuel etc. (currently topped up by Household Support Funding).

b) Community Hub deals with requests for help from the public. Referral routes now established to welfare rights, money advice, food banks, etc.

c) Mature links with Community & Voluntary Sector (CVS) at a strategic and operational level ensure an appropriate city-wide response with additional funding from Household Support Funding.

d) Contain Outbreak Management Funding (COMF) £610k to support projects regarding welfare managed by Welfare Support Manager (Strategy) some of which will carry forward to 2022/23 to ensure continued support.

e) £2.1m Household Support Fund for specific support (50% households with children) managed through corporate cross-working group as established during Covid – providing multi-organisational support for residents from October 2021 to March 2022. The Household Support Fund is expected to be repeated for the 6 months April to September 2022 (£2.1m).

f) The council's welfare support hub, including Welfare Rights, LDSF and benefit cap support, will deal with new cases coming in, as per current procedures.

g) Report to committee in May 2022 presenting current mitigations and/or policy options in response to

constantly changing demands including the cost of living increase.

First Line of Defence: Management Controls

1. Cross service and multi-agency strategic meetings to co-ordinate full range of welfare responses.
2. BHCC Welfare Rights, Welfare Reform and Discretionary Help and Advice teams monitor welfare changes and coordinate a corporate response to them.
3. Ongoing meetings are held with Department for Works Pensions (DWP) about change to Universal Credit (UC) and how we respond to vulnerability.
3. Council Tax Reduction (CTR) rules can be set and changed by the BHCC. Revised scheme from April 2022 moving to an earnings banding scheme.
4. Provide case working support directly to customers most significantly affected by the changes, eg benefit capped, or contesting a DWP benefit decision, or being given benefit advice and support.
6. Regular links maintained with advice and voluntary sector so impacts on citizens can be judged and assessed.
7. Corporate Debt Policy has now been embedded and is being mainstreamed. As part of this, the welfare support function is linked in to ensure sensitive and ethical debt collection.
8. Various discretionary welfare funding streams are being carefully monitored and adjusted using temporary funding to respond to changes in demand.
9. £150 Energy boost payment via Council Tax Service from April 2022. Recommendations for associated discretionary scheme to committee in April 2022.
10. Next tranche of the Household Support Fund to be distributed following approvals at either April or May P&R depending on when guidance is received.

Second Line of Defence Corporate Oversight:

1. Executive Leadership Team (ELT)
2. Full Council
3. Policy & Resources Committee
4. Reviewed by A&S Committee in March 2021, March 2020, March 2019.

Third Line of Defence Independent Assurance:

1. Internal Audit:
 - * 2021/22: Welfare Discretionary Funding (Reasonable Assurance), Housing and Council Tax Benefits (Substantial Assurance).
2. Department for Work & Pensions (DWP) oversee distribution of the Household Support Fund
3. Department of Health & Social Care (DHSC) oversee the Contain Outbreak Management Funding (COMF)

4. Department of Levelling Up, Housing & Communities oversee the Energy Payment and associated discretionary fund.

Reason for Uncertainty of Effectiveness of Controls: The significant economic, business, social and welfare impacts of the recovery from Covid-19, the Ukraine crisis, global fuel costs, and national inflation. The existing known difficulties for BHCC and its partners to deliver welfare financial support, in terms of resourcing and identifying specific vulnerable households in the city. A government decision to discontinue the £20 pw Universal Credit top-up beyond September 2021, plus increases in fuel, food and rental costs, and the end specific welfare support funding from March 2022.

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Consider the implications for any new Council Tax Reduction schemes for future years and a new model and to further simplify the approach.	Chief Finance Officer	50	31/03/22	23/04/20	31/03/22
<p>Comments: Aug 22: New scheme approved and will be implemented for April 2022. The new scheme moves to an earnings banding approach, increases support by £0.4m, and enables some support to JAM (Just About Managing) households just outside of the welfare system. A review of the scheme for 2023/24 will commence in September 2022 but is expected to focus on refinement of earnings bandings and other scheme parameters rather than major alteration of the scheme. The council's financial challenges also means that options for further investment in or broadening of the scheme are likely to be very limited.</p> <p>Last Updated: 11/08/2022</p>					
Continually review impact of Universal Credit (UC) and prepare for migration of remaining cases	Revenues & Benefits Manager	70	31/03/24	04/05/15	31/03/24
<p>Comments: The pandemic has changed the situation with Universal Credit. Applications surged and the DWP broadly kept up with demand, ensuring that claims were assessed. Pre-Covid the DWP was piloting Managed Migration of legacy benefit cases onto Universal Credit (cases where for example, housing</p>					



benefit was still in payment). This did present a risk to the council, as it was unknown how that process would impact on the claimants in the pilot area (Harrogate), or the broader timetable for national implementation. Since the pandemic, it is even less clear what the timetable will be, or indeed what stage the DWP's pilot is at. However, the government has confirmed that the pilot is now on hold until later in 2022. There is no indication of when bulk migration of remaining cases may happen but the commitment to complete the transfer by the end of 2024 remains unaltered. Ultimately, some cases are likely to remain on Housing Benefit, such as pension age, temporary accommodation and supported accommodation. The UC project in Brighton and Hove maintains a monitoring brief, and links up services strategically within the council, with the Community and Voluntary Sector and with other interested parties in the city (for example landlords in the private sector and Registered Social Housing). This ensures that that the council can identify issues of local or national significance. There is advanced DWP joint working embedded in the Welfare Support service, and as an ongoing outcome of the Covid Response.

Last Updated: 02/11/2022

Keep relevant staff and stakeholders up to date with information as it becomes available	Revenues & Benefits Manager	75	31/03/24	01/06/15	31/03/24
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Comments: The established working relationships on an operational level have strengthened during the pandemic, linking key teams in the Welfare, Revenues & Business Support service with others involved with supporting vulnerable people in maximising their finances, and maintaining their tenancies, for example Housing Income management, Housing options, Adult Social Care, Communities Equalities & Third sector and the Family Information Service. There are also strong links with the local Jobcentre Plus via a DWP partnership manager, Jobcentre managers and work coaches. Welfare Rights staff (in Revenues & Benefits) reach out via the Advisory Services Network into the voluntary advice sector and provide training for council teams and external advisors. There is also a strand of work exploring the pathways between debt and mental health services, and this is drawing together new stakeholders in a productive discussion. The risk end date has been extended because the government timetable for welfare reform (specifically UC) has been extended. Work will continue throughout 2022 and beyond.

Last Updated: 02/11/2022

Risk Code	Risk	Responsible Officer	Risk Category	Current Risk		Target Risk				
SR25	Insufficient organisational capacity or resources to deliver all services and respond to changing needs and changing circumstances	Chief Executive Director of Human Resources & Organisational Development Programme Manager HR Consultant / Reward Policy & Projects HR Business Partner Chief Finance Officer	Policy & Resources Committee	 L5 x I4		 L4 x I4				

Causes

Link to Corporate Plan 2020-23. Attributes 7 'How will the plan be delivered' actions to achieve 'A well run council', action 7.2.

The capacity required to deliver services is impacted by a number of internal and external factors which include:

- Budget pressures caused by reductions in Local Government funding and the Covid-19 pandemic;
- Increasing demand for services across the council and partner organisations;
- Managing the recovery from the pandemic now we are 'Living with Covid' and the changing attitudes and behaviours of the workforce post-pandemic;
- Increased cost of living crisis impacts both our own workforce as well as the council needing to meet the increased needs of people in Brighton & Hove
- Increased customer expectation
- Cuts to the workforce in previous years reduced the number of management tiers so more reliance on certain individuals (SPOF)

- The need to adapt to new technologies increases the skills gap for the organisation
- Committee system is very resource intensive in the context of a complex political environment of no overall control; minority administration;
- A challenging industrial relations environment.

These affect our ability to manage the resilience of our organisation which is exacerbated by the reduction in staffing over the last decade, including a reduction in leadership capacity in the top four tiers of the organisation.

Potential Consequence(s)

1. Failure to deliver required changes in the organisation
2. Lack of engagement from trade unions and/or complex employee relations issue
3. Capacity to undertake change work to design high quality services, and to redesign services in line with reduced resource is lost
4. Difficulty of retaining and recruiting the right staff with the right skills to key posts
5. Council delivery alters and working methods change permanently due to Covid-19 and new technology
6. Negative impact on fulfilment of actions to improve equalities and other statutory duties
7. Partnership working becomes more fragile as a result of changed arrangements after Covid-19
8. Personal resilience tested by increased workloads, different ways of working and less certainty leading to potential stress and sickness
9. More stressful workloads can lead to people leaving or retiring earlier
10. Less ability to be agile and flex to the organisation's needs, drive high quality services and increased performance
11. Less resilience as an organisation.

Existing Controls

First Line of Defence: Management Controls

1. Decision making through the budget process includes effective consideration of resources to deliver on priorities
2. Support from Performance, Improvement and Performance (PIP) and other support services to support the modernisation programme
3. Management capacity and capability being enhanced by Leadership Performance Management processes and Development Programme, and support delivered via the Leadership Network.
4. Staff Survey data is analysed and priority actions agreed with key stakeholders, with plans in place to manage these.
5. Human Resources & Organisational Development (HROD) activity has been pulled together into single 'Our

People Promise' to maximise resource efficiencies and ensure there is an attractive and competitive employment offer to attract and retain the right staff with the right skills.

6. Business Planning process including Directorate Plans to identify key priorities with named responsible officers, and plans kept under review to manage capacity.

7. Budget process includes capacity as a key consideration

8. Some statutory Performance Indicators (PIs) are Key PIs and are reported regularly to ELT, quarterly or annually.

9. HR Business Partners support Directorate Management Teams (DMTS) to monitor people related data including staff absence compliance with people related processes such as 121s, return to work interviews, and wider data insight to indicate where there are issues of capacity.

10. A robust wellbeing offer is in place, designed to address all wellbeing needs, and also specific needs related to Covid19.

11. There is a dedicated role for Trade Unions Relations

12. Future Ways of Working Programme Board oversees the delivery of the Future Ways of Working Programme

13. Our People Promise Board oversees the delivery of Our People Promise strategy

Second Line of Defence: Corporate Oversight

1. Executive Leadership Team (ELT) lead delivery of governance arrangements and oversee Gateway process for requests for new resources.

2. Corporate Delivery Modernisation Board (CMDDB) and Directorate Modernisation Boards have oversight of a portfolio of modernisation projects and programmes enabling increased organisational capacity such as ICT infrastructure, Business Improvement, Workstyles, People and Culture Change, including the Future Ways of Working, Our People Promise and Fair and Inclusive Workplace programmes.

3. Constitutional Working Group input to streamline governance arrangements and structure

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

5. Members Policy Chairs Board and Policy & Resources Committee have oversight of key policy priorities.

6. Corporate Equalities Delivery Group oversee the delivery of the Fair & Inclusive Action Plan and Directorate Equalities Delivery Groups

7. Reviewed by A&S Committee in March 2021, July 2019.

Third Line of Defence Independent Assurance:

1. Local Government Peer Review 2017 focused on Leadership and Industrial Relations.

2. Internal Audit

- * 2021/22: Performance Review Compliance - PDPs and 1 to 1s (Partial Assurance), Agency Staff Contract (Reasonable Assurance)
- * 2020/21: Recruitment (Reasonable Assurance), Working Time Directive (Partial Assurance)
- * 2018/19: Personal Service Companies and Use of Consultants (Reasonable Assurance), Wellbeing Project (Substantial Assurance)

Reason for Uncertainty in Effectiveness of Controls: Decisions on priorities and resource could impact on the capacity of officers' to deliver on all priorities identified, whilst maintaining services

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Deliver the Fair and Inclusive Action Plan	Director of Human Resources & Organisational Development	65	31/03/23	01/04/19	31/03/23

Comments: Modernisation funds have been secured to continue to progress this work through to March 2023 as part of the wider Our People Promise programme. The Fair and Inclusive Action Plan (FIAP) has four workstreams including Accountability & Consequences, Learning & Development, Recruitment, Retention and Progression and Communities and Services. Priority actions to achieve the successful recruitment and retention of staff at all levels from communities not currently proportionately represented within the workforce include delivery of insight programmes, inclusive recruitment training for managers and a review of our Recruitment & Selection Policy. This work will address disproportionate outcomes of the recruitment process, such as BME applicants being less likely to be shortlisted or employed in the middle and upper pay bands. A range of coaching and training is also being offered to increase development opportunities for staff under-represented in the middle and upper pay bands, as well as the new Diverse Talent programme that was launched in January 2022 for BME staff employed at grades 3-6. Actions to improve the experience of disabled staff as reported in the Staff Survey 2021 includes improving the workplace adjustments process, providing disability awareness training across the organisation, ensuring opportunities for development and implementation of an IT&D Accessibility project. A pilot using an external partner 'Microlink', is underway to improve the offer to disabled staff in the organisation. Measures of success: Deliver specified and non-cashable benefits for the project/programme (March 2023). 5% improvement in staff survey results against 'The organisation feels like a fair and inclusive place to work' (Staff Survey – May 2021, to be measured in survey May 2023).

The work continues to be developed and implemented and progressed in collaboration with our workers for a and trade unions. It is reported and tracked through the People and Culture Change Board which is chaired by the Director HROD, as well as oversight from the Corporate Equality Delivery Group, chaired by the Chief Executive.

Last Updated: 22/09/2022

Deliver the Future Ways of Working Programme, which includes new use of technologies and accommodation	Director of Human Resources & Organisational Development	60	31/10/22	01/11/21	31/10/22
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Comments: A significant amount of initial work has taken place to consider future ways of working, and a pilot working phase is underway to ensure we take advantage of new ways of working established during Covid19, and maximise potential efficiencies in how we use resources by building an employment offer that:

1. delivers to our customer,
2. Provides value for money,
3. supports staff wellbeing,
4. is inclusive and accessible,
5. makes us an employer of choice
6. considers our carbon footprint and
7. supports our members

New ways of working continue to be designed to improve customer experience and streamline the use of resources. Continuing development of new technologies, and in particular tools to support collaboration and flexible working (such as the roll-out of Office 365) are supporting staff to have more choice and flexibility in the way they work and increase how time can be spent efficiently (less travel, less duplication by use of sharepoint etc.). Our Future ways of working continues to be developed in partnership with staff representatives and worker forums, and there is a pilot space of collaborative work spaces that will be used to underpin the blueprint for office space of the future.

Our return to the offices using service and team agreements has gone well, and a review of our office usage will be undertaken during May, and insight from the pilot will be used to inform a full business case about future ways of working and accommodation strategy during 2022.

Last Updated: 22/09/2022

Deliver the Our People Promise Strategy	Director of Human Resources & Organisational Development	60	31/03/23	01/04/19	31/03/23
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Comments: Modernisation funds have been secured to continue to progress this work through to March 2023. The work is delivered through 5 workstreams. Future Ways of Working and the Fair and Inclusive Action plan are 2 of the workstreams and are reported as separate risk actions. The other workstreams are seeking to address organisational capacity issues through attracting, retaining and supporting staff across the organisation and the leadership to manage and prioritise current demands. Current actions underway include:

Learning and Development: A comprehensive management development offer is available that has recently been reviewed to ensure a focus on managing priorities, overcoming overwhelm and supporting managers to focus on performance. The leadership development offer is under review and will be re-shaped to address development needs identified through the staff survey, current organisational priorities, and post-pandemic issues. This will be supported by a continued focus on performance through the rated leadership development programme. A learning and development offer for all staff is available, as well as a newly revised induction programme.

Wellbeing: The results of our staff survey, and insight from focus groups and the Wellbeing Steering Group are being used to develop a new wellbeing strategy. Immediate priorities have been identified as supporting for mental health, financial wellbeing, specific health issues (e.g. women's health) and support for frontline staff.

Resourcing: Significant work is underway to support areas of the organisation that have recruitment issues currently. For example additional resource has been identified for HASC to support recruitment and staffing matters, including a role funded to support staff attendance and wellbeing. The pay-line for the organisation is under review, to address increasing issues around low pay, particular with regard to the post-pandemic cost of living crisis. Ongoing work continues, and benefits such as the rental deposit loan for staff are being well publicised.

Work has started to review Our People Promise and develop a workforce strategy alongside the medium term financial strategy.

Next steps include:

1. Develop a people strategy for the organisation (Director of HR, September 2022);
2. Develop wellbeing strategy in response to insight data (HR Lead Consultant , September 2022)
3. Implementation of the reward changes (Head of HR, Reward, Policy and Strategy, September 2022).

Measures of success: Deliver specified and non-cashable benefits for the project/programme (September 2021). 10 % improvement in staff survey results against 'I feel valued by my employer' and 'my employer cares about my wellbeing' question (Staff Survey – May 2019, to be measured in survey May 2023).

The work emerging from all of the steps described above continues to be developed and implemented and progress is reported and tracked through the People and Culture Change Board which is chaired by the Director HROD.

Last Updated: 02/11/2022

Robust processes to review committee work programme and to track committee decisions to enable adequate preparation time	Assistant Director, Legal & Democratic Services	10	31/03/23	01/06/22	31/03/23
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Comments:

Last Updated: 07/09/2022

Risk Code	Risk	Responsible Officer	Risk Category	Current Risk	Target Risk				
SR29	Procurement non-compliance and ineffective contract performance management leads to sub-optimal service outcomes, financial irregularity and losses, and reputational damage.	Chief Finance Officer Procurement Strategy Manager	Policy & Resources Committee	Amber L3 x I4	Yellow L2 x I3				

Causes

Link to Corporate Plan 2020-23. Attributes 7 'How will the plan be delivered' actions to achieve 'A well run council'.

The City Council has recognised weaknesses and sometimes serious failures in contract performance management. There are over 200 contract managers throughout the council, of which less than 20% could be considered as 'professional'. Many of those identified manage contracts only as an 'add on' to their regular job, often they are not budget holders. To address this additional funding has been provided to maintain the core Corporate Procurement Team expertise, deliver a risk based and spend analysis approach which focuses on key contract areas. Procurement compliance to contract standing orders requires a full understanding of legislation and internal governance procedures. In order to deliver sustainable culture change and improve efficiency we must continue to address:

- Historical sub-optimal contract specification
- 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.
- Significant reduction in resources in 'back office' functions and services reducing capability to effectively manage
- Lack of commercial skills and contract management skills / expertise throughout the authority combined with treating Contract Management as an 'add-on' to normal duties
- Failure by management to recognise the importance of an effective contract Management team
- Lack of willingness to hold 'difficult conversations' with suppliers
- Low levels of senior engagement with suppliers.
- Poor understanding of markets and delivery models
- Lack of corporate oversight of contracting and commissioning.
- Ongoing resource pressures in Procurement means this risk still exists. As demand increases, the reducing ability of the Procurement and Contract teams Performance to plan rather than react may mean that contracts 'fall through the net'.

Potential Consequence(s)

1. Investigations into current contracts continue to show potential poor Value for Money (VfM), inefficiencies, inconsistent levels of management and failure to achieve outcomes.
2. Legal challenge from suppliers / service users
3. Reputational damage for the council - both the administration and officers
4. Poor outcomes or failure of services and associated impact on service user
5. Diversion of scarce resources to resolve issues, currently resolution is only being performed by a small number of Contract Managers and through intervention of the Contract Performance Team.

Existing Controls

First Line of Defence: Management Controls

1. Utilise procurement function to ensure that appropriate and legally robust commercial delivery options are chosen and robust contracts are in place
2. Robust contract Key Performance Indicators (KPIs) in place so that contract performance and risks are understood
3. Contract Standing Orders and other procurement guidance and training
4. Declaration of Interest Processes
5. Relevant paragraphs of the Employee Code of Conduct
6. Fraud Awareness Training e-learning delivered by Internal Audit.

Second Line of Defence: Corporate Oversight

1. Well-resourced corporate contract performance management oversight function to train and challenge

contract managers and commissioners

2. Progress reviewed by Corporate Modernisation Delivery Board (CMDB), Members Oversight Group and Members Procurement Advisory Board (PAB)

3. Audit & Standards Committee reviewed the risk in March 2021, March 2020, March 2019.

Third Line of Defence - Independent Assurance

1. Internal Audit:

* 2021/22: Procurement Compliance – Phase 1 & 2 (Minimal Assurance), Highways Contract Management (Reasonable Assurance), Highways Maintenance (Reasonable Assurance)

* 2019/20: Contract Collusion (Reasonable Assurance), Grants to community and voluntary organisations (Reasonable Assurance)

* 2018/19: Care management system re-procurement (Reasonable Assurance), Housing Management System Replacement (Reasonable Assurance)

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Continue to identify changes in staff structures to ensure that contract managers are identified, understand their role and deliver to the standards expected by the Council	Procurement Strategy Manager	75	31/03/24	14/03/19	31/03/24
Comments: Procurement has a database of contract managers which is periodically updated every six months against contracts owned by budget holders. Reports from the finance system are available re budget holders and Corporate Procurement Team ask them for verification that the contract managers are still in place or any changes in staff. The Procurement Team's 'Forward Plan' is kept regularly updated and ensures that responsible officers are named in the plan which is regularly considered by Procurement Advisory Board.					
Last Updated: 02/11/2022					
Initiate mandatory procurement and contract management training linked to contract standing orders	Procurement Strategy Manager	40	31/03/23	14/03/19	31/03/23

and contract management e-learning module

Comments: The e-learning modules will be completed in 2021/22 and promoted throughout 2022/23. These will be targeted at all contract managers. Reports will be prepared for ELT. The reports will propose a) mandatory contract management training, including group sessions by service area b) contract officers will be required to have to complete the e-learning before attending which will be monitored c) the Procurement Team will report attendance to ELT.

Last Updated: 02/11/2022

Publicise importance of full compliance to contract standing orders when tendering, ensuring contracts are well managed and the development of contract management where performance has not met expectations	Chief Finance Officer	80	31/03/23	14/03/19	31/03/23
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Comments: Aug 22: Since October 2019 the Corporate Procurement Team has presented management information to ELT with the aim of cascading to service areas. This identifies areas for improvement and successful practice. These updates to ELT and DMT's will remain on-going. RAG rating of current and forthcoming procurements has been produced and focused work with DMT's on any RED rated procurement projects is underway.

An action plan to respond to the 9 recommendations for the two phase audit review of procurement compliance has been put in place and reported to Audit & Standards Committee on 28 June 2022. All actions have started and some are complete. Actions focus on providing training and support to areas of identified non-compliance or control weaknesses and ensuring additional monitoring and scrutiny of procurement and contracting activity. General awareness raising through communication and advice provided to all contract managers across the authority has also been actioned.

Last Updated: 11/08/2022

Risk Code	Risk	Responsible Officer	Risk Category	Current Risk		Target Risk				
SR30	Not fulfilling the expectations of residents, businesses, government and the wider community that Brighton & Hove City Council will lead the city well and be stronger in an uncertain environment	Chief Executive Service Manager - Directorate Policy & Business Support Business Improvement Manager - HNC	Policy & Resources Committee	Amber L3 x I4		Amber L2 x I4				

Causes

Link to Corporate Plan 2020-23. 7 Council Attributes 'Working in Partnership', actions 7.7

Fulfilling the expectations of business, government and the wider community that Brighton & Hove City Council will lead the city well and be stronger in an uncertain environment. Whilst the council has already established effective partnership arrangements to benefit the city such as Brighton & Hove Connected <http://www.bhconnected.org.uk/>, the City Management Board (CMB) find out more via <http://www.bhconnected.org.uk/content/city-management-board>; Greater Brighton Economic Board (GBEB) find out more via <https://greaterbrighton.com/about-us/introducing-the-economic-board/>) and wider city regional based leadership, if it does not 'step up to the mark' and embrace its role for Placed Based Leadership the council may be perceived as less relevant to business and wider community and others due to factors such as:

1. Brexit's implications & opportunities for the city's economy resulting from the UK exiting the EU given the

current trade profile where 45% of Brighton & Hove's trade is with the EU and 79% of this service is service exports. Brighton & Hove is the 9th largest city in the UK for the value of service exports per job (source: Centre for Cities, How do cities trade with the World? April 2019)

2. Other economic uncertainties include the changing shape of retail and the high cost of housing affecting recruitment and retention of workforce across all economic sectors

3. Reduced council expenditure and changes to the traditional municipal model

Potential Consequence(s)

* Our civic institutions are unable to provide effective leadership to the city

* Adverse impact of economic uncertainty and social change on wellbeing, community cohesion and opportunities for citizens so that City Wealth reduces

* Business cannot grow

* Inequality grows

* Fragmentation of communities

* Fragmentation of framework for public service institutions

* Uncertainty over long term funding and rising health and social care demands makes delivery of public services very challenging

* Lost opportunity to position the city as a positive place to attract businesses and employees who will benefit city growth

* Reputation of council suffers as civic leadership role in the city

* Citizens and businesses have less confidence in engaging with the council

Existing Controls

First line of defence: Management Controls

1. Partnership structures, including City Management Board, Greater Brighton Economic Board, Thematic partnerships to further develop shared community leadership of the city.

2. City Management Board are not decision making but they are important influencers and it is an effective way of putting strategic issues on the radar of public authorities.

3. Brighton & Hove Connected is a network of community & voluntary organisations and businesses in the city.

4. Corporate governance and processes to manage existing council business, eg Performance Management Framework (PMF).

5. Fair and Inclusive Action Plan and Directorate equality plans

Second Line of Defence: Corporate Oversight

1. Full Council

2. Policy & Resources (PR) Committee has oversight of key budget and policy decisions and all reports have a financial, legal and community impact assessments.
3. Health & Wellbeing Board have similar assurance functions as the PR Committee.
4. Local Government Association ad-hoc guidance and peer review
5. Corporate Modernisation Delivery Board and the Executive Leadership Team (ELT) oversee the application of the Performance Management Framework.
6. Policy Chairs Board oversight of issues of policy.
7. Corporate Equality Delivery Group
8. Tourism, Equality, Communities and Culture committee
9. Equality and Inclusion Partnership.
10. Sussex Resilience Forum
11. Community Safety Board
12. Safeguarding Adults Board and Safeguarding Children's Board
13. Two Independent Persons on the Audit & Standards Committee.
14. Audit & Standards Committee reviewed this risk in January 2020 and January 2021.

Third Line of Defence: Independent Assurance

1. HM Government
2. External Audit reviews of financial position of the city council - June 2019.
3. Inspectorate reports e.g. Ofsted 2018 - Children's Services - Good Judgement; and Ofsted focused visit in February 2020 looking at services to children in need and child protection plans resulted in positive comment.
4. LGA peer review Equality Framework for Local Government.
5. Investigatory Powers Commissioner – reviewed the use of investigatory powers (2018)
6. Internal Audit
 - * 2021/22: Major Capital Projects - Brighton Centre / Black Rock (Reasonable Assurance)
 - * 2019/20: Brighton Centre (Reasonable Assurance)
 - * 2018/19: Royal Pavilion and Museums (Partial Assurance), Seafront Investment Strategy (Reasonable Assurance)

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Continue effective collaboration with health & social care within the city to achieve population health and wellbeing	Executive Director Health and Adult Social Care	70	31/03/24	14/02/17	31/03/24
<p>Comments: The Integrated Care System (ICS) for Sussex will become a statutory function from July 2022 and Brighton and Hove City Council will be a formal partner in its ongoing development and the delivery of health and care services to our whole population. BHCC has approved system governance arrangements for the Integrated Care Board and Assembly being established across Sussex. Developing placed based governance and operational structures for Brighton and Hove working under the principle of subsidiarity will be the focus for the next year where design and delivery of services will focus from neighbourhoods upwards depending on the optimal model of care to meet patient/service user outcomes. Further guidance has been released from national government with a white paper on integration which will be considered with the white paper on Adult Social Care 'People at the Heart of Care' and 'Fair Cost of Care'.</p> <p>Last Updated: 02/11/2022</p>					
Convening partners to have a joined up understanding of city wide problems and to agree joint approaches to solve them	Head of Policy, Partnerships & Scrutiny	50	31/03/24	18/11/21	31/03/24
<p>Comments: Post pandemic engagement is being carried out in several areas, and thematic partnership arrangements are being revived and renewed as required - this will continue and inevitably will take time to reestablish</p> <p>Ensuring the democratic mandate of BHCC is clear to partners across city is vital to this risk to help ensure we have political / community leadership demonstrated within our partnership structures. This will be further developed in Q1 2022. Work with partners in areas such as rough sleeping, infection control, and supporting businesses to access government funding, has emerged due to responding to and recovering from Covid-19.</p> <p>Last Updated: 02/11/2022</p>					

Develop a strong lobbying strategy to effectively influence government	Head of Policy, Partnerships & Scrutiny	75	31/03/23	07/01/20	31/03/23
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Comments: Policy, Partnerships and Scrutiny (PPS) coordinated the material and presentation of the Brighton & Hove City Council submission to Ministry of Housing, Communities & Local Government (MHCLG) All-Party Parliamentary Group (APPG) enquiry into the local authority role in achieving Net Zero. The report is now published by the House of Commons.

Last Updated: 02/11/2022

Develop and maintain the city's physical assets to meet future challenges, including climate change	Acting Executive Director - Economy, Environment & Culture	75	31/03/23	14/02/17	31/03/23
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Comments: Strategic Delivery Board is overseeing the City's Investment Programme of regeneration and infrastructure projects.

Greater Brighton Economic Board:

- agreed a Digital Infrastructure Plan in October 2019;
- Is supporting Coast to Capital LEP with development of their Local Industrial Strategy (paused in 2020 due to the Covid-19 pandemic);
- established an Infrastructure Panel to oversee delivery of Energy and Water Plans for Greater Brighton (plans approved in July 2020);
- considering an investment pipeline of infrastructure projects to support economy recovery following Covid-19 public health crisis;
- Agreed Covid-19 Economic Recovery Plan in October 2020 and monitoring progress;
- Report on impact of Covid-19 pandemic on the greater Brighton economy commissioned and presented in October 2021.

Cross party working groups for major regeneration projects recommenced in July 2020 following pause during Covid-19 pandemic

A new City Downland Estate Plan is under development and expected to be agreed in December 2022.

New Strategy for Well-Managed Highway Infrastructure, including risk-based approach to highway maintenance, agreed March 2021, and new Highway Maintenance contract agreed October 2022.

Direction of travel for Local Transport Plan 5 agreed in March 2022 with a particular focus on becoming

carbon neutral by 2030.
Tourism Recovery Plan agreed by TECC committee in June 2021.

Last Updated: 10/11/2022

Development & Delivery of an Inclusive Cities Action Plan	Head of Communities, Equalities & Third Sector	75	31/03/23	12/02/20	31/03/23
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Comments: Previously there was a Collaboration Framework. Focus has shifted to developing an 3 years Inclusive Cities Action Plan as part of the council's participation in the national Inclusive Cities Programme and as its corporate commitment to being a City of Sanctuary and an anti-racist council ensuring equality of opportunity and access to services for all and the assets they are to the city. This was agreed with members and partners in late 2019. Development of the Inclusive Cities Action Plan was delayed in 2020 due to the pandemic. The Programme coordinators - COMPAS – the Centre on Migration Policy and Society within University of Oxford called a meeting with BHCC in September 2020 to update on the restart of the programme. The council's Lead Member for Equality and lead officer working on Inclusive cities continues to attend the virtual Inclusive Cities programme meetings - November 2020, January 2021, May 2021 and as required by the national programme. COMPAS has encouraged BHCC to complete its action plan by the end of the calendar year 2021. The Brighton & Hove taskforce met in January and April 2021 and an initial action plan has been developed. Further work on the action plan including consultation on the draft has been paused as staff resources have been directed to the urgent resettlement of Afghan evacuees on the government's resettlement programmes and to of Ukrainian refugees via the government's Homes for Ukraine Sponsorship Scheme or Family Visas. Work on the inclusive cities action plan is expected to restart in Summer/Autumn 2022 when dedicated staff, funded through the government programmes, to deliver the Afghan resettlement scheme and Homes for Ukraine have been recruited and inducted.

Last Updated: 02/11/2022

Engage communities, communicate the council's priority areas and showcase our work to enable the city's strong prospects as a healthy place to live, work and do business, able to withstand challenges and grasp future opportunities	Assistant Director Policy & Communications	70	31/03/23	10/01/19	31/03/23
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Comments: A considerable amount of work has been undertaken since the last update to communicate and engage stakeholders on the council's Carbon Neutral 2030 programme specifically on (but not limited to):

- The first Local Transport Plan taking forward recommendations from the city's climate assembly - Active and sustainable travel ie Hanover LTN
- The launch of a practical guide for moving to a circular economy.
- Schools' 'Our City, Our World' environmental vision and climate change plan for the classroom and communities came together in a day of action about food and climate.
- The wilding of the former golf course at Waterhall,
- Planting of thousands of trees
- Upgrading nearly 700 boilers in council homes and trialling energy-efficient heat pumps, saving emissions and heating costs for residents.
- Brighton & Hove being one of the top five councils in the country for electric vehicle charging points, with over 300 installed
- Introduction of the first all-electric refuse truck in the south east.

Further comms activity is now planned on

- protecting biodiversity
- how we keep money in the local economy
- the social benefits of climate action, such as tackling the cost-of-living crisis and the health benefits from clean air.

We also want to better show the impact of our actions with regards to climate change.

A planned climate panel is also key to ensuring ongoing engagement with the city - this is being led on by PPS.

Communications campaigns are now planned for the following areas during the remainder of 22/23:

- Covid / Public health - TBC'd
- Housing and homelessness
- The look and feel of the city
- Support low-income households
- Promote equality and inclusion across the city
- Investment in regeneration

Last Updated: 02/11/2022

Ensure the council's Budget Strategy clearly communicates policy priorities, funding and resourcing and aligns with statutory agencies and other key institutions to better manage the risk	Chief Finance Officer	10	31/03/23	07/01/20	31/03/23
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Comments: Sep-22: The Corporate Plan (A Fairer and Sustainable City) was approved in February 2020. The 2021/22 and 2022/23 budgets included investments linked to each of the Corporate Plan priorities which was clearly laid out in the February Budget Council reports. These included recurrent, one-off and enabling capital investments, some of which were for 2023/24.

Future Corporate Plan commitments, including Carbon Net Zero, are built into the Capital Investment Programme, where known, and revenue investment of £1m pa is assumed in the Medium Term Financial Strategy up to the end of this Administration.

The 2023/24 budget process has commenced with scenarios set out in the 7 July 2022 Policy & Resources Committee report. This paints a very challenging picture that, without substantial additional government funding, will lead to a different set of budget proposals to those seen in recent years. No assumptions for investment or support to Corporate Plan priorities can be made pending the government's Autumn Statement. There is also a whole Council election next May and therefore the budget process will need to be mindful of this given the No Overall Control status of the Authority.

Elsewhere, more detailed work is needed with NHS partners over joint funding arrangements to support the incoming local Integrated Care System (ICS). The governance for this system is in the process of being determined.

Last Updated: 01/09/2022

Forming and sustaining strategic partnerships	Head of Policy, Partnerships & Scrutiny	50	31/03/24	18/11/21	31/03/24
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Comments: We have established partnerships across city and sub region, but these have been impacted by pandemic and lack of opportunity to convene in person meetings. Some partnerships have maintained via virtual meetings, but there is increasing need to adapt our practice to take account of these developments. We presented to City Management Board recently and agreed to take work further, though this could be impacted by White Paper on Levelling up and Devolution , possibly requiring new arrangements and focus in local areas.

Last Updated: 02/11/2022

Full and active member of the Local Resilience Forum	Head of Safer Communities	75	31/03/23	01/04/20	31/03/23
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Comments: BHCC are active members of the local, Sussex Resilience Forum. Officers from the Emergency Planning and Resilience team attend the working groups and senior managers attend the executive group on a regular basis. A clear action plan has been developed setting out priority work for the group to undertake such as ensuring that emergency plans for each local authority are fit for purpose and that learning and development can be rolled out to ensure that staff are aware of their roles and responsibilities going forward. Several workstreams have been developed including, death management, weather and environment, events, communications and community resilience. The Sussex Resilience Forum links to local health resilience partnership and the Sussex health responders.

Last Updated: 27/10/2022



Programme to enhance the council's role to support the city economy and promote business	Acting Executive Director - Economy, Environment & Culture	95	31/03/23	14/02/17	31/03/23
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Comments: - The EEC directorate reports Major Projects updates to Strategic Delivery Board.
- Government Business Grants and Discretionary Grants have been delivered to businesses that are impacted by Covid-19
- City Recovery Programme governance structure established with an events and economy working group

focused upon supporting local business and economic recovery

- Covid-19 Economic Recovery Plan developed and presented to Greater Brighton Economic Board – October 2020
- Covid-19 City Recovery Plan to be developed and presented to P&R Recovery Sub Committee
- Brighton and Hove circular economy routemap and action plan agreed 2020 and revised in May 2022
- Employment & Skills Recovery Plan to be presented to P&R Sub-Committee in March 2021
- ABCD Cultural Recovery Plan agreed November 2020 - nine projects being advanced are supported by the Welcome Back Fund and a new Arts Development Manager was appointed in September 2022.
- Tourism recovery plan agreed by TECC committee June 2021 - update on performance of the visitor economy in 2021/22 and work of VisitBrighton to support of the sector's recovery presented to TECC committee in September 2022
- Kingsway to the Sea investment plan allocated £9.5m Levelling Up funding and planning decision expected in late 2022.
- An update on the Greater Brighton economy and the impact of the covid-19 pandemic was commissioned and presented to Greater Brighton Economic Board – October 21

Last Updated: 10/11/2022

Risk Code	Risk	Responsible Officer	Risk Category	Current Risk		Target Risk				
SR32	Challenges in ensuring robust & effective health & safety measures, leading to personal injury, prosecution, financial losses, or reputational damage	Director of Human Resources & Organisational Development Interim Head of Health and Safety Business Improvement Manager - HNC Head of Health and Safety Compliance and Transformation Manager Interim Head of Health and Safety	Policy & Resources Committee	 L4 x 14		 L3 x 14				
<p><u>Causes</u></p> <p>Link to Corporate Plan 2020-23: Attributes 7. How will the plan be delivered. Actions to achieve A well run council.</p> <p>To ensure that the council meets the requirements of law and controls the likelihood and impact of risks which have potential to cause harm to residents, visitors and stakeholders there must be robust oversight of arrangements in delivering services and procuring goods to meet health and safety (H&S) legislation and other regulatory requirements. This includes responding to the global COVID-19 pandemic to ensure the safety and health of our staff and residents of the City. This is challenged by reducing resources, increasing demands and changes to our operating environment, and increased focus by regulators.</p> <p><u>Potential Consequence(s)</u></p> <ul style="list-style-type: none"> * Actual and potential harm * Ability to respond to COVID-19 involves new skills and increased pace of response 										

- * Custodial sentences for duty holders
- * Fines and litigation
- * Resources not well directed with implications for efficiency
- * Decisions made are challenged
- * Increased costs of rectifying mistakes
- * Financial stability of organisation compromised
- * Reputational damage.

Existing Controls

First Line of Defence: Management Controls

1. Health & Safety (H&S) policy which sets out roles, responsibilities and arrangements
2. Access to competent advice (Health & Safety team) including technical fire safety and lead investigation of all health & safety incidents
3. Safety management framework - Team Safety. Link to HR processes e.g. working time directive returns which triggers risk assessment for the individual
4. Deployment of H&S expertise to support high priorities identified e.g. COVID-19 response; staff support to Housing and City Environment Management (CEM)
5. H&S Training core programme (online learning and face to face where essential)
6. Fire Risk Assessments (FRAs) in place on council buildings with a programme of review which is monitored by Head of Health and Safety and AD Property and Design
7. Wellbeing Steering Group coordinated by Health & Safety with membership including workforce reps identifies targeted support for staff through feedback and links to local and national campaigns
8. Housing Fire Health and Safety Board (Council, ESFRS) continue to oversee co-ordination of resources and manage actions through to completion. Ongoing monitoring of outcome of Grenfell Public Inquiry and any potential implications for the council relating to housing. The enforcing authority are supportive of the council's approach and have developed joint partnership working to assessing and managing fire risk.
9. The Assurance Group has been re-established and has oversight of the health and safety strategic action plan. The response to Covid continues to impact on officers' capacity across the council and is delaying the progression of some of the activities outlined in the plan.
10. H&S Membership at Safety Advisory Group/Major Incident Support Team (MIST)

Second Line of Defence - Corporate Oversight

1. COVID-19 Regular meetings: COVID-19 Recovery Working Groups covering specific aspects (e.g. PPE and Ways of Working); and Directorate Consultative Meetings with Unions (separate School Union meeting) take place regularly.
2. The Corporate H&S Committee is being reformed as the Corporate (H&S) Consultative Forum with new dates

being planned from November 2021.

3. Corporate H&S Team assess assurance levels for general H&S based on H&S Checklists linked to Team Safety plans. Risk profiling is underway across all directorates and will be used to inform future audit programs.

Assurance work ongoing in relation to quality checking school and council services COVID-19 risk assessments and arrangements.

4. H&S audit programme has been paused because of COVID-19 and will be re-assessed as part of the wider COVID-19 Secure assurance work and review of the H&S Strategic Action Plan. The new audit plan is underway with the first stage being undertaking corporate risk profiling. This is underway across all directorates and the findings will be used to inform prioritised and targeted audits.

5. Housing, Fire, Health & Safety Board meets regularly includes representation from East Sussex Fire & Rescue Service, the council's Health & Safety, Communications and Building Control Teams and housing managers

6. The Economy, Environment and Culture health & safety board oversees co-ordination of resources to manage risk and emerging safety issues

7. Community initiatives partnership, chaired by East Sussex Fire and Rescue Service. Membership includes relevant BHCC services and third sector agencies. Governance and escalation through Members existing governance structures

8. Ongoing assurance will be managed through the health and safety strategic action plan, in particular the corporate risk profiling is a key activity. Information obtained from the corporate risk profiling will be available for external parties undertaking inspections and quality assurance.

9. Reviewed at Audit & Standards Committee in January 2021 and September 2019.

Third Line of Defence: Independent Assurance

1. Post Grenfell tragedy (June 2017) information required by Ministry of Housing Communities and Local Government (MHCLG) in relation to council owned blocks was provided. The Council provide data to MHCLG on private sector blocks visual inspections.

2. East Sussex Fire & Rescue Service (ESFRS) Regulatory Reform (Fire Safety) Order - ESFRS undertake citywide audits according to a prioritised programme which includes a range of council buildings. No inspections of council buildings have led to the need for enforcement action. All Council high rise buildings have been visited by ESFRS.

3. A Notice of Contravention issued by the HSE in response to their investigation into the fatality in a school Feb 2019 outlined necessary action. The council have responded to the NOC and no further comment has been provided by the HSE.

4. HSE Control of Vibration unannounced inspection in City Parks in October 2017, linked to national focus on work related health. Areas for improvement identified which has led to development of an action plan with assigned leads and timescales for action. HSE responded to RIDDOR reports specifically on vibration in March

2018 visiting City Parks and City Clean. A request for an update on progress was responded to in October 2020.

5. After Inquest re. fatality of a council employee in 2018 the BHCC Coroner issued a Regulation 28: Report to Prevent Future Deaths in March 2019. Head of Health & Safety and Senior Lawyer prepared a letter in response to outline the activity of the council to address the issues raised within the Regulation 28 Report, and our plans to address the long-term corporate issues. This is managed through the Health & Safety Strategic Action Plan.

6. Royal Society for the Prevention of Accidents (RoSPA) undertook an independent audit of BHCC's health and safety framework and arrangements between 1-3rd and 10th December 2020. Final report issued from RoSPA February 2021. Key elements from the RoSPA report have been included in the strategic action plan.

7. Ofsted and CQC undertake statutory audits of schools, educational settings and care homes and care services.

8. Internal audit:

* 2021/22: Property and Design - Corporate Landlord (Reasonable Assurance)

Risk Action	Responsible Officer	Progress %	Due Date	Start Date	End Date
Develop Wellbeing Strategy informed by the bi-annual 'Well Workforce Survey'.	Interim Head of Health and Safety	80	31/03/22	01/04/19	31/03/22
<p>Comments: Jan-22: The Wellbeing Strategy is under review to ensure planned activities remain relevant and link to local and national priorities and campaigns. This includes ensuring appropriate resource is identified and in place to deliver this important work. The wellbeing action plan will continue to be overseen by the Our People Promise Board. Themes arising from the all Staff Survey will continue to feed into the action plan.</p> <p>Oct-21: OPP board taking place 7/10/21 to review progress and agree future priorities. A reviewed wellbeing action plan will be developed based on the findings and future progress will be tracked by the OPP board. Future staff and well being surveys will measure performance improvements. Responsibility for well being is being realigned to sit alongside other People Promise work streams to ensure there is join up in activity. It is recommended that this risk action is reassigned to Senior HR Business Partner once this is completed.</p> <p>Mar-21: Well Workforce Survey launched by Public Health in liaison with the Wellbeing Steering Group Feb 20. Data analysed by Public Health shared with Wellbeing Steering Group, however response to COVID-19 has taken precedence. Staff wellbeing work is currently being focused on within the 'Ways of Working' (WOW) working groups and as a result a 'Pulse survey' was commissioned and undertaken in June-July 2020 focusing on staff wellbeing as a result of the impact of COVID-19 work and lockdown. The results of the survey have been analysed and presented to ELT 16/09/20 to help inform decisions about wellbeing focus going forward.</p>					

The output/ work of the WOW working group is shared with staff forums and the Unions for consultation. A dedicated wellbeing page was developed on the councils website at the start of the pandemic and this has been maintained and developed as the main source of resources for staff/ their families. Next 'Staff Survey' has been commissioned by HROD and will be launched 19. April for 3 weeks - results of the survey will be reviewed by the Well-being Steering Group and the data used to further inform well-being priorities. Current specific focus on mental health and accessibility with engagement of Staff Forums.

Last Updated: 02/11/2022

Housing Fire Safety Board plan and monitor the ongoing programme of sprinkler installations in the council's housing stock as approved by Housing Committee	Assistant Director Housing	50	31/03/23	01/04/16	31/03/23
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Comments: May-22: Work with ESFRS on the Building Risk Review program, to promote engagement and data sharing around higher risk residential buildings with a view to agreeing a single point of contact. Continue joint monitoring of statutory fire risk assessment and other duties and a risk based approach to investment and response to issues arising, including fire doors in council blocks. Ensure emerging Fire Health & Safety Standards from central government post Grenfell are reviewed and implemented as required. In particular, concerning issues with fire doors. Continue to update Housing Committee. Commissioned consultancy resource to review building safety guidance post Hackett Review and following publication of the Building Safety Bill. Commenced Planned works programme to replace doors. Continued engagement with ESFRS, including through Housing Fire Health & Safety Board.

Last Updated: 02/11/2022

Re-assess Team requirements to deliver an effective H&S service to manage this risk (both core and COVID-19 risks)	Interim Head of Health and Safety	80	31/03/24	01/09/20	31/03/24
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Comments: Jul-22. Recruitment into the H&S team has been successful and the remaining post has returned from Maternity leave. Risk profiling has also been completed by all Directorates. The Head of Health & Safety has also returned to post and will be fully back by the beginning of August. The Schools audit programme is progressing with a self assessment checklist having been sent out to all schools. The responses from this will help shape our schools audit programme. The return of the Head of H&S will also see a planning process over

the next 3 months that will help shape the work of the team over the next financial year.

Apr-22: Support of the Covid response continues to sit in the Future Ways of Working programme. As per of the Government's Living with Covid plan; the Covid-19 Risk Assessment template has been replaced by the Respiratory Infection RA template. Recruitment into the team vacancies has been successful and 2 of the 3 posts have been filled as of April 2022. The remaining post will be filled in July 2022 after their maternity leave finishes. The Risk Profiling process is not yet fully complete as returns have not yet been received from all Directorates. New Audit approach within Schools also being devised for the Summer term.

Nov-21: Supporting the Covid response has moved towards the Future ways of working programme. Resourcing and capacity in the Health & Safety team are reduced with continuing interim arrangements in place. There are on-going challenges in recruiting candidates to vacancies in the team. The H&S Assurance group has approved the Directorate risk profiling approach. The data is now being gathered and service priorities and adjustments to service provision will be realigned as appropriate.

Mar-21: During the onset of the pandemic, the activity of the Corporate H&S Team was reviewed to ensure service delivery would continue during lockdown. Changes were made to the Duty Officer system and H&S officers remained contactable and available throughout the lockdown period. The service continue to predominantly work from home with essential site visits including fire risk assessment work being undertaken. The service continue to respond flexibly to the changing national and local restrictions and have maintained an accessible service throughout the pandemic.

The Strategic Action Plan has been reviewed to ensure covid-19 work streams can be delivered alongside 'business as usual' H&S work. This included reprioritising the work activities identified and identifying any resourcing pressures which will be escalated to ELT as necessary.

As the HSE have re-engaged with BHCC in relation to the fatality in 2018 (contact made March 2021), work priorities have been reviewed to ensure capacity for the Interim Head of health & Safety to ensure appropriate and timely response to the HSE.

Last Updated: 02/11/2022