

Corporate Risk Register - Strategic Risks Quarterly Update

Report Author: Helen Belenger
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Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown

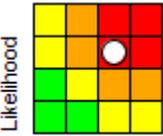
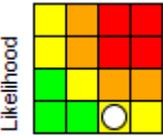
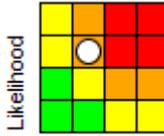
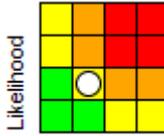
Controlled

Status	Risk No.	Risk Area	SLT Lead	Original Score	Previous 1/4ly Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 01	Financial Resilience	John Ward	9	4	6	3	31-Mar-2019	Good
	CRR 08	Skills / Capability / Capacity	John Ward	3	3	3	2	31-Mar-2019	Good
	CRR 09	Business Continuity	John Ward	9	6	6	3	31-Mar-2019	Good
	CRR 68	Health and Safety	John Ward	9	4	4	4	31-Mar-2019	Good
	CRR 97	Cyber Risk Attack Across ICT Estate	John Ward	6	6	6	6	31-Mar-2019	Good
	CRR 145	Data Protection Act Breach - Loss of Data	John Ward	4	4	6	3	31-Mar-2019	Good

Control Pending

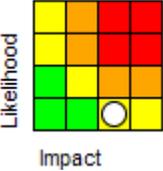
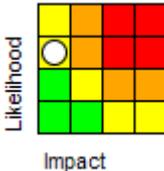
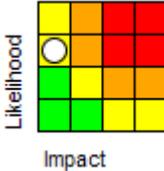
Status	Risk No.	Risk Area	SLT Lead	Original Score	Previous 1/4ly Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 88	Non Achievement of Recycling Target of 50% by 2020	Jane Dodsworth	6	3	3	3	01-Jan-2020	Improving
	CRR 147	Southern Gateway Regeneration	Paul Over	9	9	6	4	30-Jun-2019	Improving
	CRR 148	Local Plan	Andrew Frost	9	9	9	3	31-Jul-2020	Improving
	CRR 149	Impact of Universal Credit (UC) on working claimants across the district	Louise Rudziak / Jane Dodsworth	9	6	6	3	31-Mar-2019	Improving
	CRR 165	Brexit	John Ward	6	6	6	4	29-Mar-2019	Poor

Management Controlled

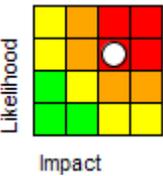
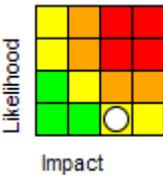
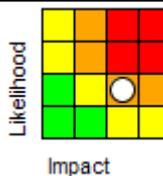
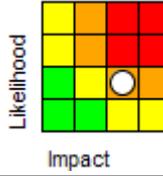
CRR 01 Financial Resilience		Management	Controlled		
		Corporate Links	Corporate Plan Priority - Use Resources Effectively and Efficiently.		
<p>Risk Description:</p> <ul style="list-style-type: none"> - Failure to maintain a robust and deliverable budget will lead to a lack of resources to fund services and council priorities, leading to reactionary decision making, and reputational consequences. - Failure to maximise efficient use of resources and so unsuccessful redirection of resources and not achieving objectives and outcomes of the council including deficit reduction plans. - Failure to maximise income streams. - Unpredictable Government policy (e.g. Brexit and localisation of business rates.) <p>SLT Risk Owner: John Ward Responsible Officer: Helen Belenger</p>					
Original and Target Risk Assessment					
Original Risk Date	31-Jul-2012		Target Risk Date	31-Mar-2019	
Original Risk Score	9		Target Risk Score	3	
Current and Previous Quarter Risk Assessment					
Current Assessment Previous Quarter Assessment	05-Sep-2018		6		
	04-Sep-2018		4		

Internal Controls	Current Status	
Five Year Financial Model and Deficit Reduction Plan	<ol style="list-style-type: none"> 1. Monitor and update the 5 year financial model as required and review with CMT. 2. Assess against progress on Deficit Reduction Plan and savings targets. 3. Monitor income volatility in relation to use of New Homes Bonus (NHB) (Policy approved) and localisation of both Council Tax Reduction scheme (CTR) & business rates. 	Good
Income Streams	<ol style="list-style-type: none"> 1. Monitor income performance and review with SLT so remedial action can be taken. 2. Heads of Services and budget managers monitor income monthly from budget monitoring reports. 3. Service managers to assess fee setting for services in accordance with Fees & Charging Policy, and react when if income reductions occur. 4. Putting money in place to achieve better returns. 	Good
Reconciliation of Income	<ol style="list-style-type: none"> 1. Monthly reconciliations by services. 2. Non compliant services are identified by Internal Audit when service is reviewed as part of the Audit Plan. 3. Support given by Financial Services when setting up new income streams and reconciliation processes. 	Improving
Control of Expenditure	<ol style="list-style-type: none"> 1. Approval limits and routes for additional funding are detailed in the Council's Constitution and Financial Regulations. 2. Quarterly monitoring of major variances by SLT. 	Good
Financial Strategy Principles	<ol style="list-style-type: none"> 1. All key decisions of the Council should relate back to the Corporate Plan. 2. Ensure the revenue and capital programme remain balanced and sustainable over a rolling 5 year period. 3. Over the next 5 years maintain a position of non-dependency on reserves. 4. In order to maintain a balanced budget in a climate of no growth, savings in the revenue budget or external funding will need to be identified before any new revenue expenditure, including capital expenditure that has revenue consequences, is approved. 5. Review costs in response to changes in service demand. 6. Where the Council has discretion over charging for services, consideration needs to be given as to the extent to which service users should bear the costs, and the proportion met by Council Tax. 7. Continue to review the Council's costs in order to find further savings. 8. Match Council Tax increases to a realistic and affordable base budget. 9. Budgets should be pooled with other service providers to achieve more effective and cost efficient outcomes for the community. 10. New Homes Bonus (NHB) is a non ring-fenced grant from Government. Council policy has agreed in principle that this funding should be reserved to reward communities that have accepted growth. However, the allocation of this source of funding and its use must take into account that as this is not new funding; it can be used to protect services, and aid the council's legal requirement to set a balanced budget. The allocation of this funding will be reviewed annually during the budget setting process taking into account the financial settlement from Government. 11. Localisation of Business Rates. The decision to pool our business rates should be reviewed annually after receipt of government draft settlement to that the Council is in the best financial position. The Section 151 Officer 	Good

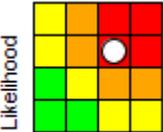
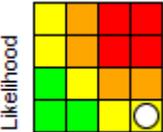
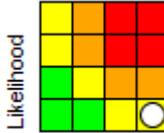
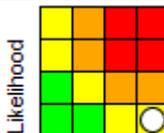
	continues to review the risks and opportunities that will emanate from the 100% localisation of business rates.	
Revenue and Capital Programme Principle	<p>1. Capital receipts, reserves and interest on investment will primarily be available for new investment of a non-recurring nature, thereby minimising the overall financial risk.</p> <p>2. Ensure that a sufficient level of reserves are maintained, as informed by the Financial Strategy, so that the Council can remain flexible and is able to respond to a changing local government environment.</p> <p>3. Borrowing could be used for capital schemes or "invest to save" projects providing the cost of servicing the debt is contained within the revenue savings/income the project generates. The payback period for invest to save projects should be shorter than the life of the asset.</p>	Good
Treasury Management	1. Generate better returns with the Treasury Management Strategy and the Investment Protocol and the Council's view of risk and increased diversity.	Good
Latest Position Statement		
02 Oct 2018	<p>The Council has secured Government funding certainty until 2019-20 as it accepted the 4 year settlement funding agreement available from 2016-17 onwards.</p> <p>The Council uses its 5 year Financial Strategy Model to forecast its future budget requirements, although due to the 2019 spending review, the fair funding position after the 2019-20 settlement, including the localisation of business rates, there remains a lot of uncertainty surrounding future Government funding. This is underlined by the continued uncertainty in relation to Brexit and the impact this may have directly on council services or on the demand for its services.</p> <p>The council remains part of the Coastal West Sussex business rates pool in 2018-19, and the Government is currently undertaking a consultation for 75% localisation of Business Rates for 2019-20, prior to any new system coming into effect from 2020.</p> <p>During the year monitoring of the financial targets continues to be undertaken through the relevant programme boards, and the achievement of savings or increased income as part of the Council's Deficit Reduction Plan which underpins its ability to continue to set balanced budgets, whilst not relying on the New Homes Bonus (NHB) or any other temporary funding as well as forward fund an 25 year asset replacement programme.</p> <p>Parking income continues to be monitored on a monthly and quarterly basis to determine trends. Tariffs were reviewed and amended 1 April 2018, with an agreement to freeze charges until April 2020. Parking income is affected by changes in the use of cities and towns, with latest figures showing volume as being down but duration of stay having increased.</p> <p>In preparation for the 2019-20 budget cycle any on-going variances identified as part of the 2017-18 closedown will be considered, plus any growth to address budget pressures or new service requirements. These will be considered by SLT and Cabinet at their strategy days. Links to other funding partners, including WSCC, for service delivery and joint funding arrangements will need to be considered taking into account their own budget pressures, plus the uncertainty in the economy due to Brexit. The risk score has increased as result of the likelihood moving to probable.</p>	

CRR 08	Skills / Capability / Capacity		Management	Controlled
			Corporate Links	Corporate Plan Priority - Use Resources Effectively and Efficiently.
Risk Description: Failure to have resilience in the staff structure, and so lack the right number of staff with the right skills to deliver services, along with unrealistic expectations of services, which could lead to service failure, reputational damage and potential litigation.				
SLT Risk Owner: John Ward. Responsible Officer: Joe Mildred / Tim Radcliffe.				
Original and Target Risk Assessment				
Original Risk Date	31-Jul-2012		Target Risk Date	31-Mar-2019
Original Risk Score	3		Target Risk Score	2
Current and Previous Quarter Risk Assessment				
Current Assessment Previous Quarter Assessment	04-Sep-2018		3	
	24-Jul-2018		3	
Internal Controls				Current Status
Workforce Development Plan	<ol style="list-style-type: none"> 1. Ensure commissioning and objectives remain relevant and up to date. 2. Review personnel literature, marketing CDC as an employer at recruitment fairs. 3. CDC salaries - benchmarking exercise to be undertaken and monitored. 4. New apprenticeship Levy. 			Good
Appraisal Process	<ol style="list-style-type: none"> 1. Succession planning considered during appraisal process. 			Good

	<ul style="list-style-type: none"> 2. Completion of appraisals on time. 3. Strategic training needs identified using Belbin or equivalent. 4. Possible use of 360 degree appraisals. 	
Training Plan and Budget	<ul style="list-style-type: none"> 1. Use First Line Managers course to develop new managers. 2. Use diploma management studies for senior managers. 3. Specific training programme for new Directors and Divisional Managers. 	Good
Recruitment Benefits	<ul style="list-style-type: none"> 1. Use of benefits packages for relocation, assisted house purchase scheme to aid recruitment. 2. Guidance to be issued for how to use recruitment benefits. 	Good
Staff Satisfaction Survey	<ul style="list-style-type: none"> 1. Staff survey to be undertaken every two years, and action plans progressed. 	Improving
Strategic Leadership Team & Divisional Managers	<ul style="list-style-type: none"> 1. Specific training programme to newly appointed Divisional Managers to address core competencies, hosted by Portsmouth University. 	Good
Measuring Staff Turnover by Significant Groups	<ul style="list-style-type: none"> 1. SLT to review turnover statistics and the reasons quarterly. 	Good
Latest Position Statement		
04 Sep 2018	<p>Apprenticeship Levy came into effect 1.4.17 and several staff now undertaking levy funded courses. Workforce development initiatives are live.</p> <p>Corporate Pay review underway and due to be agreed and implemented in 2019, will focus on ensuring equal pay for equal tasks with some additional resource to include in designing a new reward structure, with a focus of targeting the levels where recruitment difficulties are apparent.</p> <p>Workforce planning including Divisional Manager's (DM) training programme at University of Portsmouth nearing completion. Increased use of premier payments for those areas with long term established recruitment issues and the use of the relocation scheme has aided recruitment for some service areas. Successful recent recruitment of CCS Divisional Manager & ICT Service Manager.</p> <p>Access to courses on Levy has been of some concern although number of courses increasing and has been publicised to managers and uptake is increasing (up to 14 accessing the scheme by the end of 2018), requirement to release staff for 20% of time to study and pre-course requirements. HR monitoring take-up of courses and spend of Levy. Strong links developed with both Chichester College and University, new ICT apprentice just started.</p>	

CRR 09	Business Continuity	Management	Controlled		
		Corporate Links	Corporate Plan Priority - Use Resources Effectively and Efficiently.		
Risk Description: Failure to react to an incident that would adversely affect the delivery of services, including leading to a breach of the council's statutory duties under the Civil Contingencies Act and result in both inability to service the community and reputational damage.					
SLT Risk Owner: John Ward. Responsible Officer: Helen Belenger/Warren Townsend.					
Original and Target Risk Assessment					
Original Risk Date	31-Jul-2012		Target Risk Date	31-Mar-2019	
Original Risk Score	9		Target Risk Score	3	
Current and Previous Quarter Risk Assessment					
Current Assessment	05-Sep-2018		6		
	23-Jul-2018		6		
Previous Quarter Assessment					
Internal Controls					Current Status
Robust BC Plans	<ol style="list-style-type: none"> 1. Refresh Business Impact Assessment (B.I.A). 2. Critical services to prepare plans. 3. Test Plans. 4. Retrain where necessary, embed BC into culture of the council. 5. Identify system to store BC plans. 				Good

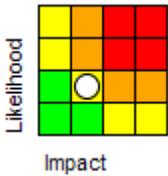
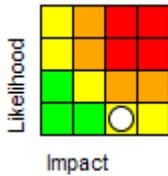
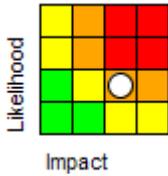
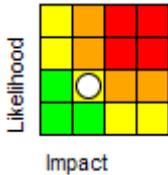
	<p>6. Non critical services to make appropriate arrangements.</p> <p>7. Audit of Plans in high risk service areas.</p> <p>8. Effective backup of data.</p>	
BC Management Strategy	<p>1. Annual BCM corporate meetings held.</p> <p>2. Key managers identified for BC plans.</p> <p>3. Articles for team briefs or management forum to embed BC planning into organisation.</p>	Good
Disaster Recovery Team	<p>1. Training and repeated messaging to embed BC cultural into organisation.</p> <p>2. Annual appraisals targets for Divisional Managers and relevant staff.</p>	Good
Latest Position Statement		
06 Sep 2018	<p>Whilst the internal controls are good for business continuity, the risk score is always likely to continue to remain the same because the impact is serious and the likelihood is possible rather than unlikely. The main reason for this is the continuing cyber-attack threats that organisation continue to get. We have good mitigation against cyber-attacks; however there remains a risk.</p> <p>Physical controls against loss of IT or building/s are good and would be 'unlikely' and less of a risk.</p> <p>The IT team are currently considering the use of cloud storage for critical documents that currently cannot be kept on Resilience Direct (storage facility for business continuity plans only). Also, a project is currently underway to investigate the installation of a server back-up to be located at the depot which would significantly reduce lost time in the event of the loss of IT at EPH. Consideration will also be given to relocating the main servers to a bespoke-fitted server room at the depot and EPH's current server room would provide the back-up. Approval for the approach to a server back-up is due by 31st October 2018. The risk score would very likely be reduced if cloud storage and a server back-up were to be implemented.</p>	

CRR 68	Health and Safety		Management	Controlled
			Corporate Links	Corporate Plan Priority - Use Resources Effectively and Efficiently.
Risk Description: Failure to adhere to H&S policies and procedures leading to death or serious injury of an employee or third party resulting in prosecution under H&S legislation, adverse publicity, fines and possible prison sentences. Such failures may also lead to civil claims for compensation.				
SLT Risk Owner: John Ward.				
Responsible Officer: Helen Belenger/Warren Townsend.				
Original and Target Risk Assessment				
Original Risk Date	03-Sep-2013		Target Risk Date	31-Mar-2019
Original Risk Score	9	Likelihood Impact	Target Risk Score	4
				
				Likelihood Impact
Current and Previous Quarter Risk Assessment				
Current Assessment Previous Quarter Assessment	05-Sep-2018			4
	23-Jul-2018			4
		Likelihood Impact		
		Likelihood Impact		
Internal Controls				Current Status
H&S policies & procedures	Clear health and safety policies, procedures and guidance are available to all staff and members via intranet and in hard copy format at some sites including: 1. Statement of intent. 2. Hierarchy for communication/organisation. 3. Roles and responsibilities. 4. H&S arrangements.			Good

	<p>5. Policies, procedures and guidance for specific H&S issues e.g. control of contractors, COSHH assessments forms etc.</p> <p>6. An extensive range of evidence compliance forms.</p> <p>7. Specific risk assessments for site visits undertaken for staff and member visits.</p> <p>8. Quarterly updates to Cabinet member for Corporate Services by the H&S Manager.</p>	
Training Programme & Competencies	<p>1. Specific training programmes for all aspects of H&S skills and competencies required with the Council's business.</p> <p>2. Staff names with relevant competencies and holding key responsibilities available on staff intranet.</p> <p>3. Training records maintained to evidence training provided.</p> <p>4. Training for all new members as part of the Members' Induction Programme.</p>	Good
Legionella Testing	<p>1. Written policy available.</p> <p>2. Regular testing and monitoring to demonstrate compliance.</p> <p>3. Staff involved in legionella management or may be exposed to legionella risk are provided with training.</p>	Good
Quarterly service meetings for high risk service areas	<p>1. CCS - Quarterly insurance & H&S meetings with the Director of Residents' Services & the Contract Services Divisional Manager with the Financial Services Divisional Manager, insurance officer, H&S Corporate Manager & CCS Technical Supervisor. To assess accident trends and claims and agree any actions required to staff duties, policies and procedures.</p> <p>2. Culture & Place - Quarterly insurance & H&S meetings with Director of Growth & Place Services and the Divisional Service Managers for the museum, Westgate Leisure contract, and car park service, to discuss claims & accidents to identify any necessary changes to procedures/policies etc.</p> <p>3. All accidents, near misses and reports of ill health are investigated by the Corporate H&S team. Interventions made with the service where appropriate to improve systems of work to prevent reoccurrence.</p>	Good
PAT testing	<p>1. Annual testing of all electrical equipment carried out by qualified contractor.</p>	Good
Safety Committee	<p>1. A group of managers and employees meet 3 times a year to discuss health and safety issues and matters of interest. CCS and car parks have local 'Safety Forums', meeting bi-monthly, that feed into this committee. The Safety Committee reports any issues of significance to the JECP.</p>	Good
Caution Alert Register (CAR)	<p>1. Specific procedures and decision tree guidance in place for staff and members to follow on staff intranet.</p> <p>2. Nominated person CR Keeper who maintains register and advises staff.</p> <p>3. Procedures in place for appropriate staff and members to access CAR.</p> <p>4. Compliance with data protection legislation included in policies and procedures.</p> <p>5. Violence & aggression response team available to support staff and members at EPH if an incident occurs.</p> <p>6. Two levels of Violence & Aggression (V&A) resolution training provided to relevant staff.</p>	Good
Emergency arrangements for Council Premises	<p>1. Evacuation procedures in place for EPH on staff intranet.</p> <p>2. Known competent staff with allocated roles & responsibilities for evacuation procedures.</p> <p>3. Regular testing of evacuation procedures carried out.</p> <p>4. Policy advising the arrangements in place for safe evacuation of council owned buildings.</p>	Good

Corporate H&S Audits & Action Plans for Service H&S Improvement	<p>1. Programme of H&S audits of service areas, improvements and observations which are fed back to Service, H&S and management with any necessary improvement action plans. Progress with recommendations made is reviewed after an agreed period.</p> <p>2. In addition, there is a programme of audits in place for the SLM leisure centres contract. This involves checking H&S performance and compliance in key identified areas.</p>	Good
Contract Management	<p>1. Every major contract should have an identified contract manager who is responsible for ensuring the delivery of the contract in accordance with specification.</p> <p>2. The contractor manager must ensure that their contractor adheres to H&S legislation in carrying out the specification and has a monitoring system in place which is also including performance reporting to the council's contract manager.</p> <p>3. Upon request the H&S manager will attend regular quarterly/annual meetings for the council's specific high risk activity contracts along with the contract manager, to liaise with the contractors regarding any H&S concerns.</p> <p>4. Members are involved in major decisions on procurement matters.</p>	Good
Fire Safety of all Council Owned Premises	<ul style="list-style-type: none"> • Fire Risk Management Group – Quarterly meetings held to develop and monitor action plans following fire assessments results with the Directors of Corporate Services, Housing & Communities, and Growth & Place Services plus other relevant council officers. • Activity-based Fire Risk Assessments of all premises have been undertaken. Following the Grenfell fire we have used a fire engineer to carry out structural Fire Risk Assessments to check the horizontal and vertical fire compartmentation. A number of remedial works were identified and are currently being undertaken by the Building Services team based on risk. 	Improving
Latest Position Statement		
06 Sep 2018	<p>The consequences of a serious accident or incident at work have the potential to be 'major', i.e. death of a member of staff, contractor or member of the public. Therefore the severity in the risk score is always going to be high.</p> <p>However, due to the operation of an effective H&S management system there are good controls in place to reduce the likelihood of such an incident. Despite having good systems and procedures in place, CCS remains the highest risk operation within the Council due to the nature of the work.</p> <p>H&S compliance of CDC's biggest service contractor, Everyone Active, is now monitored through a programme of audits carried out by the Corp. H&S team on an annual basis. The first year of audits generally found Everyone Active to be performing well in relation to health and safety with mainly minor issues being raised.</p> <p>The initial findings of the Grenfell fire provided opportunity for further checks on fire safety management to be considered. This prompted a fire safety focus group to be set up to check for any weaknesses in CDC's fire safety management. The focus group is represented across all service areas which highlighted some new areas for consideration in respect to CDC's responsibilities for fire safety management. Fire Safety checks are now being carried out in temporary accommodation used by the housing service. A specialist company has undertaken structural</p>	

	fire risk assessments to assess the horizontal and vertical compartmentation. Remedial works were identified as a result of the assessments and a programme of works has been produced, based on risk, and is currently being actioned.
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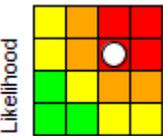
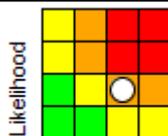
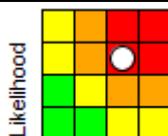
CRR 145	Data Protection Act Breach - Loss of Data	Management	Controlled		
		Corporate Links			
Failure to keep all personal data secure leading to a breach of the General Data Protection Regulations (GDPR) and Data Protection Act, resulting in fines and reputational risk.					
SLT Risk Owner: John Ward					
Responsible Officer: Nick Bennett					
Original and Target Risk Assessment					
Original Risk Date	16-Mar-2017		Target Risk Date	31-Mar-2019	
Original Risk Score	4		Target Risk Score	3	
Current and Previous Quarter Risk Assessment					
Current Assessment	20-Sep-2018		6		
	03-Sep-2018		4		
Internal Controls					Current Status
Data protection Officer	Divisional Manager of Democratic Services is the designated Data Protection Officer providing advice to officers, advising on safe sharing of data between agencies, overseeing data subject access requests and liaison with Information Commissioners Office in the event of customer complaint or security breach.				Good
Protocols and Policy in place	Data Protection Policy is in place to provide advice and guidance for staff and customers. Internal protocols and processes are in place to manage/limit risk of data loss. Updating processes to comply with new guidance under GDPR is underway.				Improving

Staff Training	Data Protection training is provided to all new staff and Members. Staff online training is available to allow staff to refresh their knowledge. Specific GDPR module for all staff is in place, manager training day has been held.	Improving
Data backed up	All electronic data is backed up daily and securely stored off-site.	Good
Secure devices	All staff laptops are encrypted to secure data. All mobile phones are provided with secure application to protect data. Dual authentication in place for remote access to data.	Good
PSN Compliance	The authority is taking steps to meet new certification requirements in accordance with the updated requirements of the Public Services Network requirements for provision of a secure network.	Good
Safe transfer of personal data	Personal and sensitive data shared with other government agencies is transferred via GCSX secure email accounts. A review of processing has been completed as part of GDPR approach.	Good
Safe destruction of confidential documents	All hard copies of confidential papers are shredded prior to disposal.	Good
Latest Position Statement		
02 Oct 2018	New data breach process drafted and circulated for consultation. Agreements with organisations sharing premises have been signed to provide legal framework for mutual data protection responsibilities. Staff "attendance" monitored and over 75% have completed the initial training module. Register of Processing in place and operating. Data Protection Officer log of decisions in place. Work to clear unneeded documents from depot underway. To assess the progress of compliance at the Council, the Data Protection Officer has recently completed the Information Commissioner's Office (ICO) self-assessment toolkit.	

Management Control Pending

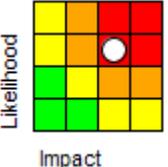
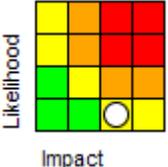
CRR 88	Non Achievement of Recycling Target of 50% by 2020	Management	Control Pending
		Corporate Links	
<p>The current recycling target set for 2020 is 50%. The failure to achieve this target could mean the Council may incur significant fines, taxes or extra landfill taxes or reputational damage.</p> <p>SLT Risk Owner: Jane Dodsworth Responsible Officer: Bob Riley</p>			
Original and Target Risk Assessment			
Original Risk Date	28-Nov-2014		Target Risk Date
Original Risk Score	6		01-Jan-2020
			Target Risk Score
			3
Current and Previous Quarter Risk Assessment			
Current Assessment	06-Sep-2018		3
	24-Jul-2018		3
Internal Controls			Current Status
Initiatives to increase amount of recycling	<p>1. New initiatives to increase recycling rates are being implemented and further work to improve the quality of the waste for recycling collected are under consideration.</p> <p>2. A Waste & Recycling Panel has been established to drive forward initiatives and improvements.</p>		Improving
Latest Position Statement			

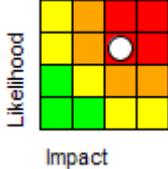
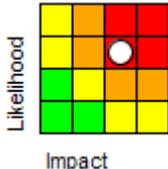
06 Sep 2018	Performance improving and year end outturn for 2017/18 is 45% but not expecting to achieve 50% in next 2 years. However, not expecting a financial penalty. Possible introduction of food waste collections in medium term would take recycling rate over 50%.
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CRR 147		Southern Gateway Regeneration		Management	Control Pending
				Corporate Links	
<p>Failure to appoint a development partner and potential repayment of the Local Enterprise Partnership (LEP) (and other funding). Lack of engagement or buy in by other key partners, leading to CDC being isolated, financially exposed and unable to deliver outcomes. Masterplan becomes commercially unviable due to certain market sectors' changes including demands for community/public realm use types.</p>					
<p>SLT Risk Owner: Paul Over / Jane Hotchkiss Responsible Officer: Victoria McKay</p>					
Original and Target Risk Assessment					
Original Risk Date	23-Feb-2018			Target Risk Date	31-Jul-2019
Original Risk Score	9			Target Risk Score	4
Current and Previous Quarter Risk Assessment					
Current Assessment Previous Quarter Assessment	02-Oct-2018			6	
	22-Jun-2018			9	
Internal Controls					Current Status
Partner Organisation Engagement	1. Law Courts - Homes England (HE) hand over. Pilot use of EPH committee rooms completed satisfactorily. CDC has agreed 43 Fridays per annum and MOJ has indicated complete closure by December 2018. 2. WSCC and land held. WSCC will retain their land and be a strategic partner so this risk is now removed.				Good
Strategic Land Owner Engagement	1. Memorandum of Understanding (MOU) signed. 2. Growth Deal approved and Growth Board meeting held in September approved the principles of the				Improving

	Collaboration Agreement which is now being finalised prior to going to market. 3. Relocation of Royal mail & Stage coach - suitable sites have now been identified and terms agreed.	
Financial Controls & Budget Monitoring	1. Identifying potential abnormal costs as early as possible by undertaking key studies in advance e.g. flooding, contamination and drainage. 2. Relocation funding from key partners - Timely reapplication to LEP/HE and exploring alternative funding routes as necessary.	Poor
Management of External Consultants	1. Contract T&C's for consultants employed to ensure delivery of service. 2. Availability of consultancy advice - Use tried and tested framework agreements to source expertise; test knowledge via tendering process.	Good
Masterplan	1. Demand in market sector changes - Regular updating of viability advice for the Masterplan as the project is implementation proceeds. 2. Road space configuration - WSCC Highways input to project team to ensure solution(s) are acceptable. 3. Community or Public Realm Uses for site - Steering group input and regular re-appraisal of the scheme as it progresses.	Improving
Compulsory Purchase Order (CPO)	1. Use of CPO if required for land acquisitions for Masterplan assembly, where unable to agree terms to complete acquisitions. 2. Use of consultancy support to ensure CPO grounds well founded, including independent valuations.	Improving
Latest Position Statement		
3 Oct 2018	<p>The Strategic Collaboration Agreement and the development brief/revised PID was approved by Cabinet on the 2 October and is with strategic partners to complete their own governance processes. The Development Brief was informed by input from key stakeholders including Visit Chichester and the BID and well as being considered by the Overview and Scrutiny committee on 18 September and CDC/WSCC member's workshop on 3 September.</p> <p>A further bespoke piece of work is required on waste water treatment and has been commissioned. All other pre-marketing studies have been completed.</p> <p>Slippage in the program and the impact on the funding was discussed at the LEP Investment Board meeting on 13 September and whilst our funding remains secure for the time being we are required to spend it all by 31 March 2019 and have been asked to implement backup plans to do so. A further meeting with the LEP to discuss this is planned for 15 October.</p> <p>Sites have been identified for the relocation of Stagecoach and Royal Mail but agreeing the basis for their relocation continues. Heads of Terms for the acquisition of a suitable site were approved by Cabinet at their meeting on 2 October and a suitable site in CDC ownership has been identified and reserved.</p> <p>Transfers of the Sussex Police and MoJ sites to HE are progressing but have not yet been completed – expected transfer dates remain October 2018 and December 2018 respectively. A presentation took place to the Chichester Chamber (10/9) and is planned for WSCC CLC early in 2019.</p>	

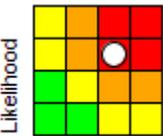
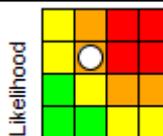
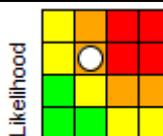
	<p>The Dept for International Trade has confirmed that we have passed "Gateway 2" approval and the opportunity will be included in MIPIM (Le marché international des professionnels de l'immobilier) UK in October. Discussions with network rail continue.</p> <p>Provided appropriate approvals are obtained from strategic partners (WSCC and HE) the opportunity will be taken to the market via an OJEU compliant process at the end of October 2018 with a development partner being selected in June 2019.</p>
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CRR 148	Local Plan	Management	Control Pending		
		Corporate Links			
<p>Failure to complete Local Plan Review and achieve an adopted Local Plan by 2020. This would mean that the Council would face challenge that it does not have an up to date Local Plan and the impact would be:</p> <ul style="list-style-type: none"> • Without an up to date Local Plan the presumption in favour of sustainable development would apply, assessed against the policies in the National Planning Policy Framework (ref: para 14). • 5 year housing land supply (HLS) would be assessed against the objectively assessed need (OAN) for housing rather than the housing requirement figure in the Local Plan, making it highly likely that it would not be possible to demonstrate a 5 year HLS. • Both 1. & 2. would result in a loss of control over the location and form of development with decisions being made through the application and appeal process, rather than in accordance with the development plan as it would be considered to be out of date. • With respect to the Local Plan Review, the 40% cap applied to the OAN growth for housing in the government’s draft methodology would not apply and the amount of housing to be provided for in the LPR would increase substantially requiring an increase in the amount of land to be allocated for development. • The ability to plan and coordinate development with the provision of infrastructure would be reduced with an unplanned approach to the location of new development. • The potential for government intervention to take plan-making decisions out of the control of the Council. • Damage to the reputation of the Council for failing to produce a plan to guide and control development in line with its statutory duties as Local Planning Authority. <p>SLT Risk Owner: Andrew Frost Responsible Officer: Mike Allgrove</p>					
Original and Target Risk Assessment					
Original Risk Date	07-Mar-2018		Target Risk Date	31-Jul-2020	
Original Risk Score	9		Target Risk Score	3	
Current and Previous Quarter Risk Assessment					

Current Assessment Previous Quarter Assessment	28-Aug-2018		9
	03-Jul-2018		9
Internal Controls			Current Status
Agreed Timetable for Plan Production	1. Statutory Local Development Scheme agreed by Council. Detailed project plan for evidence base and plan production prepared.		Good
Sufficient Staff Resources to achieve timetable	1. Additional posts created in team. 2. Recruitment incentive payment and premia payments agreed to recruit and retain staff.		Improving
Ensure evidence base provided to meet timetable	Detailed project plan prepared for evidence base.		Improving
Member agreement to contents of plan	1. Provision of information, debate and discussion through Member briefings, Development Plan and Infrastructure Panel and formal democratic decision making process through Cabinet and Council.		Improving
Public Consultation	1. Public consultation to ensure that the views of the community are taken in to account in the plan-making process. 2. Initial public consultation has taken place on issues and options. 3. There will be further public consultation on a draft plan and then again prior to examination. This will enable the Council to take in to account the views of all interested parties on the contents of the plan and outstanding matters can resolved through the public examination in to the soundness of the plan (to be conducted by a planning inspector appointed by the Secretary of State). The current status will reflect the stage of consultation reached.		Improving
Latest Position Statement			
04 Sep 2018	A full-time planning policy officer and part-time principal planning officer have been appointed to the team. However, another planning policy officer and the senior neighbourhood planning officer have since resigned and these posts are being recruited to, alongside the vacant Planning Policy Officer (CIL and Infrastructure) post.		

Individual meetings have now been held with the majority of parish councils not located solely within the national park. Members have been briefed on the emerging evidence base in relation to: Gypsies and travellers; retail; wastewater treatment; and open space. Further briefings are planned to cover transport, strategic flood risk assessment and landscape evidence. The majority of the evidence base studies are now either complete or nearing completion. The transport study still represents the greatest probable risk to the Local Plan Review, although at the time of writing the impact of development on the highway network and potential mitigation are unknown.

Detailed policy writing continues and in cases where it is uncertain whether a parish council will wish to deal with a strategic allocation through a neighbourhood plan, it is being assumed that the land needs to be allocated in the Local Plan Review. The revised National Planning Policy Framework has been published and initial analysis has not resulted in an increased risk to achieving the Local Plan Review. The government has yet to respond to the consultation on the standard methodology for the calculation of objectively assessed need for housing and this is expected in September, alongside a confirmed housing figure for Chichester. If this is delayed beyond early October it will become a significant risk to progress on the Local Plan Review. Similarly, if there is a significant change to the housing figure that was the subject of consultation (609 dpa) then there may be a delay to taking the preferred approach plan to Cabinet and Council.

CRR 149	Impact of Universal Credit (UC) on working claimants across the district		Management	Control Pending
			Corporate Links	
<p>Failure to provide appropriate support and guidance for claimants affected by the welfare reforms, including the rollout of Universal Credit (UC) on working age claimants across the district, resulting in the risk of rent arrears and the threat of homelessness. The benefits service currently administer in excess of 3,800 working age Housing Benefit claims. Full UC service in the district has been delayed until July 2018. The roll out will initially only affect new claims, although the majority will transition across over a period of 12-18 months.</p> <p>SLT Risk Owner: Louise Rudziak / Jane Dodsworth Responsible Officer: Linda Grange / Diane Kirkham</p>				
Original and Target Risk Assessment				
Original Risk Date	02-Mar-2018		Target Risk Date	31-Mar-2019
Original Risk Score	9		Target Risk Score	3
Current and Previous Quarter Risk Assessment				
Current Assessment Previous Quarter Assessment	06-Sep-2018		6	
	05-Jul-2018		6	
Internal Controls				Current Status
UC Focus Group	<p>An initial meeting April 2017 identified the challenges our largest RP (Registered Provider) had experienced locally and nationally. Identified challenges that could reduce impact on claimants and prevent homelessness and agreed to:</p> <ul style="list-style-type: none"> • support vulnerable claimants • prepare claimants for the transition 			Improving

	<ul style="list-style-type: none"> • assist claimants with their online UC claims • hold multi agency events to raise awareness • deliver pre and post tenancy workshops on money management • identify suitable venue and volunteers to run the workshops • identify resource requirements to deliver <p>This action plan has largely been achieved. Including the following mitigations action examples - contracting with CAB for debt advice, the appointment of Tenancy Sustainment Officers and a Housing Welfare Officer. The Housing Service will also assess the impact since the UC rollout from July 2018 for any further action required.</p>	
Nomination of a formal UC lead within the Housing Advice Team	In compliance with Homelessness Reduction Act s.179(2)(g) "The service must be designed to meet the needs of persons in the authority's district including, in particular, the needs of any other group that the authority identify as being at particular risk of homelessness in the authority's district." The Housing Advice Team have nominated a UC lead who will be responsible for coordinating advice to UC claimants that present seeking housing services assistance.	Improving
Register Provider eviction protocol	There is an intention to create a Register Provider eviction protocol so that the Council is warned in advance where there is a risk of homelessness, this will include tenants in receipt of UC, in arrears and where possession proceedings have been instigated. The lead officer conducting this piece of work has been briefed.	Improving
Increase number of units of Council owned temporary accommodation (TA).	On 31 October 2017 CDC purchased 22 Freelands Close. Three, 1 bed units were in use as TA (Temporary Accommodation) from December 2017 with a fourth unit due to be available in March 2018. The Council are considering options to redevelop the site and increase the number of units to a maximum of 12.	Good
Impact on services	<ul style="list-style-type: none"> • Benefit service will be impacted by transfer of WA claims to UC. Exceptions to UC, pensioner HB claims and CTR claims for WA and pensioners will continue to be administered. Revenues and Benefits Management team will continually review impact of rollout and resource requirements, as necessary • Housing service may result in increased demand for services, as above, nominated UC lead officer to coordinate housing advice requirements 	Good
Claimant support	<ul style="list-style-type: none"> • Minimal funding received from DWP to assist claimants with submitting and managing their online UC claims • 6 kiosk style PC's located in main reception for claimants to use, any assistance to be provided by benefits staff • Minimal funding also received to provide PBS (personal budgeting support) cases would be referred from DWP. 	Good

	<p>Currently engaging with CAB to provide this service as the rollout takes effect</p> <ul style="list-style-type: none"> • Publicity for claimant engagement to be arranged as soon as confirmation of roll out date received 	
Staff awareness and training	<ul style="list-style-type: none"> • DWP training for staff postponed, new dates not yet arranged • Internal staff training options being considered 	Improving
Latest Position Statement		
06 Sep 2018	<p>Universal Credit roll out commenced 4 July 2018. The Benefits service has experienced an increase in customer contact and enquiries, especially following the issue of the information booklets to all working age claimants.</p> <p>Revenues and Benefits Client Support team members and benefits assessors accepted an invitation to visit Chichester Job Centre to better understand their Universal Credit processes and meet the staff. This was a useful visit and direct lines of contact were established to ease any problem areas experienced with UC claims and claimants. This has already proved fruitful where claimants have been incorrectly referred here to make an HB claim when they should in fact make a claim for UC.</p> <p>The R&B Client Support team members are providing the Assisted Digital Service (ADS) by assisting claimants with verifying their identity, making their online UC claims and setting up email accounts using PC's in main reception area. Each online claim is taking approximately 1-1.5 hours to complete.</p> <p>DWP are issuing stop notices, as required, to end current HB claims and as a result there has been a slight reduction in caseload to the end of August.</p> <p>A transition timetable for the remaining HB working age caseload transfer to Universal Credit has not yet been released by DWP.</p>	

CRR 165		Brexit		Management	Control Pending
				Corporate Links	
The risks of Brexit and in particular of a "no deal" Brexit scenario and its impact on the council, its services and communities. SLT Risk Owner: John Ward Responsible Officer: Joe Mildred					
Original and Target Risk Assessment					
Original Risk Date	07-Sep-2018			Target Risk Date	29-Mar-2019
Original Risk Score	6			Target Risk Score	4
Current and Previous Quarter Risk Assessment					
Current Assessment				6	
Previous Quarter Assessment	07-Sep-2018				
Internal Controls					Current Status
Impact Assessment	Paper on potential impact of Brexit and in particular a 'no deal' scenario is currently being compiled; it will look at the impact on our communities, economy, the council's services and resources. It is to include some financial impact modelling. Mitigating actions are to be explored and developed but the final position in terms of the deal is expected to be known by November 2018 at the latest.				Poor
Latest Position Statement					
07 Sep 2018	Position and potential impact paper to be written by end of October 2018.				