

<b>Committee:</b>	<b>Dated:</b>
Community and Children's Services Committee	17 February 2017
<b>Subject:</b> Community and Children's Services Business Plan: Quarter 3 update	<b>Public</b>
<b>Report of:</b> Director of Community and Children's Services	<b>For Information</b>

### Summary

This report sets out the progress made during Quarter 3 (Q3 – October to December 2016) against the refreshed 2015–17 Community and Children's Services Business Plan. It shows what has been achieved and the progress made against our five departmental strategic aims:

- Safeguarding and early help
- Health and wellbeing
- Education and employability
- Homes and communities
- Efficiency and effectiveness.

Full details of performance against all key performance indicators are provided at Appendix 1 and the Department's budget information is provided at Appendix 3.

### Recommendation

Members are asked to:

- Note the Q3 update and the progress made against the strategic priorities of the Business Plan.

### Main Report

#### Background

1. In May 2015, Members agreed the Department of Community and Children's Services (DCCS) Business Plan for the two years 2015–17, *Roadmap to Outstanding Services*. This contains five strategic aims and 17 key priorities to achieve our vision for delivering outstanding services and outcomes for our residents and communities. Although initiatives are grouped under the most relevant of these strategic aims, many support the achievement of goals across multiple areas.
2. An updated version of the DCCS Business Plan was approved by Committee on 13 May 2016.

3. As agreed, quarterly update reports are provided to Members.

### Current Position

4. The Department's performance is measured and reported against 24 key performance indicators (PIs). In total, 22 indicators were reported in Q3, of which 16 (73%) achieved or exceeded the performance target set and are therefore rated green. Of the remaining six indicators reported, four were amber as performance was within 10% of the target set, and two were rated red for failing to meet the target by more than 10%.

RAG status	Traffic light description	Total number of PIs
Green	PIs for which the set target was achieved or exceeded	16
Amber	PIs within the tolerance of -10% of the set target	4
Red	PIs that are below the tolerance of -10% of the set target	2

5. Performance was particularly strong for some indicators exceeding target levels, such as average time to process new housing benefit claims (BP 5.3) and the percentage of 'emergency' repairs attended to within target (BP 5.4).
6. There has been an improvement in performance in relation to smoking cessation (BP 2.1) and number of new volunteers signed to the time credit scheme (BP 2.5) which are now rated amber.
7. In Q3, 55% of people in City smoking cessation programmes went on to quit smoking. Performance has improved this quarter, mainly due to more people signing up to the programme and WDP has implemented better systems to encourage sign-up. Q3 also includes people who have signed up from the previous quarter, who went on to quit smoking, as there is a time lag of four weeks before results are available.
8. There has been a big improvement in the number of new volunteers signing up to the time credits (BP 2.5). There is now a bigger team working on this scheme, who are fully trained and ready to support the groups signing up.
9. Percentage of referrals to Children's Social Care which lead to a formal assessment (BP 1.1) and percentage of properties with up-to-date Gas CP12s Certificates (BP 4.6) are very slightly below target but are not a cause for concern.
10. Performance was rated red in relation to older people (65 and over) who were at home 91 days after discharge (BP 1.3) and usage of Golden Lane Sport & Fitness centre (BP 2.4).
11. The proportion of older people (65 and over) who were still at home 91 days after discharge from hospital was 10% below the target. During Q3 there were

five service users; four of these were still at home after 91 days and one person passed away.

12. The usage of Golden Lane Sport & Fitness centre is notably below target, mainly due to a decrease in non-member usage. This is partly due to the temporary closure of the Sports Hall after flood damage.

## **Progress Against Improvement Actions**

### ***Strategic Aim 1: Safeguarding and early help***

13. Service Improvement Programme actions have been reviewed and new actions added to reflect the recommendations from Ofsted following their recent inspection.
14. There has been positive progress in raising the awareness of Early Help and the Thresholds of Need. This is reflected in the increased number of referrals from independent schools in the quarter.

### ***Strategic Aim 2: Health and wellbeing***

15. The Adult Services Service Improvement Board has now met twice and is organising a partnership event to be held in February. The event will help in completing a self-assessment of services that will support the development of the Adult Social Care Improvement Plan.
16. The mobilisation of the City Living Wise contract completed during the quarter.
17. Twenty-eight substance misuse awareness events were undertaken with City businesses in the quarter. This involved 467 individuals engaging with services through an IBA (Identification & Brief Intervention).

### ***Strategic Aim 3: Education and employability***

18. The revised Early Years Strategy is now in draft form and will be agreed by the end of January 2017.
19. The review of the structural arrangements supporting and delivering the work of the Education and Early Years' Service is now in consultation with staff. The Head of Service post is currently being advertised.
20. At the Headteachers' Forum on 1 December 2016, discussions took place on encouraging more applicants for science and maths teaching posts and the possible ways to track destination data for students.
21. In December 2016, the City of London Academies Trust received permission from the Department for Education to sponsor Newham Collegiate Sixth Form Centre. Three primary schools have also approached the City requesting to join the Trust.

#### ***Strategic Aim 4: Homes and communities***

22. Work has progressed on the potential development of 600 plus housing units during the period. Reporting on the progress and options will be done during Quarter 4.
23. An appointment has been made to the new Communications Manager post that will be leading on communications and engagement around the housing delivery programme.
24. The Members Rough Sleepers Group met in November 2016. The outreach review was discussed and agreed, subject to changes around indicators. The pathway model was presented and it was agreed to develop this further.
25. Staffing for the Neighbourhood Patrol Service is now in place and patrols have started. Mobilisation meetings have been held, with reporting lines/framework, contact management and monitoring process agreed. Positive feedback has been received from estates on the service.
26. In the year to date, 21 successful tenancy fraud investigations have been concluded. These range from sub-letting, fraudulent applications and Right to Buy fraud. The notional savings from these cases is approximately £803,000.

#### ***Strategic Aim 5: Efficiency and effectiveness***

27. The Communications and Engagement Working Group continues to develop and update its annual plan of DCCS activities and events. A cross-departmental communications and engagement strategy is in the process of being developed.
28. Commissioning activities to develop a new specification for the City's youth services have commenced. All partners and service users have been consulted on their needs for a future service and a market development session is being planned for Quarter 4.

#### **Other Significant Achievements**

29. To raise awareness of the work of Julia Hodson, our Virtual School Headteacher (VSH), a short film was produced outlining the role the VSH plays in our wider safeguarding programme, what the role has achieved to date and what the future priorities are.
30. CityWell, the City of London Corporation's employee health and wellbeing scheme, launched a mental health campaign called 'This is Me' to raise awareness of mental health in the workplace and to open up the culture for people to talk more openly about their experiences of mental health. As part of the campaign, two short films were produced featuring Community and Children's Services employees talking about their experiences of mental health and how the Corporation has enabled them to manage their conditions.

31. During the period, 18 new flats were handed over to new tenants at Avondale Square, the largest City of London Corporation housing estate, based in the London Borough of Southwark. Twelve of the flats will be rented by City of London residents with the remaining six being made available to London Borough of Southwark residents. The project includes an innovative community centre incorporating a multi-use community hall for residents.
32. Two of the Corporation's looked after children took place in 'taking over' at the Northern Ireland Office and the Cabinet Office, as part of the 2016 Children's Commissioner's Takeover Challenge. The Takeover Challenge is designed to give children and young people the opportunities to learn how the world works, to put their ideas into practice and to broaden their views of what they can achieve.
33. Housing and Neighbourhoods has been shortlisted in the Local Government Chronicle Awards for work in the Community Involvement category. The award-winners will be announced in March.
34. During December, we launched a public-facing campaign on rough sleeping across the City of London. The campaign highlights the dangers of sleeping rough and of giving money to those begging as well as what to do if you come across someone sleeping rough. Campaign posters were displayed at Liverpool Street, Fenchurch Street, Blackfriars and City Thameslink stations as well as on phone boxes across the City.
35. Community and Children's Services led a successful bid on behalf of the City of London Corporation and London boroughs of Hackney and Tower Hamlets to secure £414,000 of government funding to deliver homeless prevention services across the three local authorities. The project will run over two years and will focus on supporting those who may be at risk of rough sleeping.

## **Departmental Strategic Risk Register**

36. Since the last update in Q2, two new risks have been added to the risk register:
  - DCCS HS 005 – enclosed balconies which may not meet fire safety regulations – this is rated as RED.
  - DCCS ED 002 – City of London Academies performance – this is currently rated as GREEN as controls have been put in place.
37. The risk rating for the following risk has increased and is rated as AMBER:
  - DCCS CP 002 City of London Community Education Centre site development – temporary premises will be required from April, an alternative site has yet to be identified.

## **Complaints**

38. In Q3, 18 complaints were received regarding our directly delivered services, of which 2 were upheld and 8 partially upheld. Our commissioned services received 15 complaints, of which 15 were upheld. An analysis of all complaints has not identified any underlying trends. Twenty compliments regarding services were received in the same period.

## **Financial and Risk Implications**

39. As of Q3, the local risk outturn is expected to be an overspend of £12,000. A number of areas within People Services are projected to overspend. These are mainly within the areas of Children's Social Care and Early Years and Children. These additional costs are a result of various client movements since the budget was set where there are increased levels of care, a new high-cost vulnerable client and additional costs in relation to the recent Ofsted inspection.

40. The central risk budget is expected to be overspent by approximately £195,000 due to additional unaccompanied asylum-seeking children. Seven new clients were received in 2015/16 and two of them reached the age of 18, which does not attract funding support from the Home Office. This budget issue is being monitored and will be flagged up to the Finance Committee as part of the monthly monitoring. A bid for additional resources may need to be submitted.

## **Data Protection and Data Quality**

41. The Department fully endorses and adheres to the principles of data protection as set out in the Data Protection Act 1998. All data detailed in this report is verifiable and complies with the Corporate Data Quality Policy and Protocol.

## **Consultation**

42. The Chamberlain and Town Clerk have been consulted and their comments are incorporated within this report.

## **Conclusion**

43. Members are asked to receive this quarterly update to the Business Plan for the DCCS and to note the appendices and good progress made for Q3.

## **Appendices**

- Appendix 1: Department of Community and Children's Services Business Plan 2015–17 Key Performance Indicators – Quarter 3 Update
- Appendix 2: Department of Community and Children's Services Risk Register – Quarter 3 update

- Appendix 3: Complaints Report, Total Complaints and Compliments Received – Quarter 3
- Appendix 4: Department of Community and Children's Services 2016/17 Quarter 3 outturn budget

## **Background Paper**

DCCS Business Plan 2015–17

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**Appendix 1: Department of Community and Children's Services Business Plan 2015–17 Key Performance Indicators – Quarter 3 Update**

	KPI Ref	Description	Frequency	2016/17	Q1	RAG (Q1)	Q2	RAG (Q2)	Q3	RAG (Q3)	Comments Q3
				Target							
Priority One	1.1	Percentage of referrals to Children Social Care which lead to a formal assessment	Quarterly	80%	91.7% (22/24)		76.9% (20/26)		79.2% (19/24)		During Q3 24 CYP were referred to CSC, of which 19 went on to Child & Family Assessment. Of the other five: one older LAC went straight to pathway planning, one; one unborn was referred as a 'transferred in' CPP; and three out of borough residents were referred for a strategy discussion only.
	1.2	Number of Common Assessment Framework assessments (CAFs) completed by Early Help	Quarterly	17	6		2		10		Six CAFs and four CAF updates completed during Q3. As a result six Early Help cases are in closure at the start of Q4.
	1.3	Proportion of older people (65 and over) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services	Quarterly	85%	100%		83%		80%		Four out of 5 clients were still at home. One passed away.
	1.4	Number of carer's assessments	Quarterly	55 (Q1 - 8, Q2 - 17, Q3 - 33, Q4 - 55)	19		15		5		This is on target, the third quarter is our busiest projected in terms of assessments, but the figures are reflected in quarter four.



Priority two	2.1	Percentage of people engaging in City smoking cessation programmes who quit smoking	Quarterly	50%	38%		32%		55%		End of Q3 data shows, 105 people set a quit date and 58 achieved. This is a lower amount of people setting dates than the previous quarter but a higher proportion achieving the 4 week quit (55%). Performance has improved this quarter, mainly due to more people signing to the programme and WDP has implemented better systems to encourage sign up. Q3 also includes people who have signed up from the previous quarter, who went on to quit smoking, as there is a time lag of four weeks before results are available.
	2.2	Number of take-ups of NHS health checks	Quarterly	130	143 health checks were completed by the Neaman practice in Q1		220 health checks were completed by the Neaman practice in Q2		Awaiting data		
	2.3	Number of participants in the exercise on referral programme who are still active six months after their initial assessment	Quarterly	70%	67%		50%		Awaiting data		

Priority two	2.4	Usage of the Golden Lane Sport and Fitness Centre (GLSF) (Members and Non-Members)	Quarterly	120,065	21,670		39,243 (YTD)		55,914 (YTD)		Low membership is partly due to the temporary closure of the Sports Hall, after flood damage. This resulted in no participation, in number activities such as badminton, Kravmaga and Taekwondo, the gymnastics club, school bookings and junior activities during this time. The Sports Hall re-opened for use on the 19 December following refurbishment. As at the end of December, GLSF saw some improvement month on month (MoM) in people taking part in health and fitness, and outdoor sports.
	2.5	Number of new volunteers signed up to the time credits scheme	Quarterly	160	23		29		61		There is now a bigger team working on this scheme, who are trained and ready to do the sign up and support the groups. This has resulted in a big improvement this quarter and we expect a further increase next quarter.
	2.6	% of volunteers completely new to volunteering	Quarterly	40%	42%		42%		45%		On target.
	3.1	Sufficiency of school places	Annual		For September 2016 entry		Performance as per Q1		Performance as per Q1		

		Percentage of school offers meeting:		P S	P S					
		first choice		83.7% 68.8%	85.3% 73%					
		second choice		7.7% 14.1%	14.7% 14%					
		third choice		3.0% 6.2%	0% 5%					
		other choice		2.3% 5.2%	0% 9%					
		None preference offer or No offer		3.3% 4.7%	0% 0%					
	3.2	Number of apprenticeship places secured	Quarterly	60	Performance as per Q2 due to Academic Termly Reporting		17		16	On target for the year. A further 15 work placements have been secured with companies and the new Butchery standard Level 2 due to commence in Jan/Feb 2017 (to be reported in Qtr4). Placement employers include City of London Corporation and Smithfield Market tenant employers. The Service is currently gathering information on apprenticeship levy starts in the City of London commencing in May 2017 and looks to expand the qualification offer further.

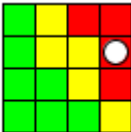
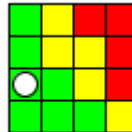
	3.3	Number of enrolments on Adult Skills and Education courses	Quarterly	2000	Performance as per Q2 due to Academic Termly Reporting		632		Performance reported in Q4 due to Academic Termly Reporting		
	3.4	Number of enrolments on Basic Skills courses	Quarterly	200	Performance as per Q2 due to Academic Termly Reporting		170		Performance reported in Q4 due to Academic Termly Reporting		Performance as per Q2 due to Academic Termly Reporting

	4.1	% 'routine' repairs attended to within target (5 working days)	Quarterly	95%	99%		99%		99%		Good performance, over target.
	4.2	Number of rough sleeper outreach shifts per quarter	Quarterly	384 (annual target) 96 (Quarterly Target)	105		101		90		On target.
	4.3	Total number of individual rough sleepers met by St Mungos Broadway each quarter	Quarterly	670 (annual target) Q1 -167, Q2 -167, Q3 - 168, Q4 -168	123		128		128		There were a similar number of rough sleepers in Quarter 3, which is reflected in this figure.
	4.4	Percentage of residents who feel 'very safe' or 'safe' on their estate	Annual	70%	Data available in Q2 only		74%		Data available in Q2 only		Overall the Satisfaction survey responses have been positive.
	4.5	% inspections passed	Quarterly	96%	99%		100%		99%		Good performance, over target.
	4.6	% Properties with up to date Gas CP12s Certificates	Quarterly	100%	99.56%		99.07%		98.70%		Below target, but improvement on 2015/16.

	5.1	% residents 'very satisfied' or 'satisfied' with the overall service we provide as their landlord	Annual	80%	Data available in Q2 only		85%		Data available in Q2 only		Satisfaction survey responses have been positive overall.
	5.2	% of rent collected	Annual	98.5	98.6%		98.4%		98.7%		On target.
	5.3	Average time to process new Housing Benefit claims (days)	Quarterly	<26 days	17.0		17.0		18.0		Good quarter performance, a slight deterioration due to loss of long term team member.
	5.4	% 'emergency' repairs attended to within target (24 hours)	Quarterly	95%	98.86%		98.87%		100.00%		Good performance, over target.

## Appendix 2: Department of Community Services Risk Register - Q3 Update

Risks are sorted by risk score

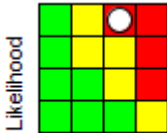
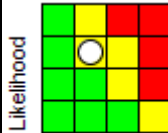
Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>DCCS PE 002 Failure to deliver expansion of Sir John Cass Foundation Primary School to 2 form entry in September 2017</b>  11-Jun-2015 Neal Hounsell	<b>Cause</b> Expansion not delivered <b>Event</b> Building project not completed <b>Effect</b> Lack of first choice school places for City children	 Likelihood Impact	24	Sir John Cass's Foundation Board at their meeting on 19 October 2016 considered the representations made by the City of London on 8 June 2016 and the information that had been subsequently provided. The Board decided not to consent to grant a licence to build on the Sir John Cass's Foundation Primary School site to enable it to become a 2 form of entry school, but await the opening of the new City of London Primary Academy Islington which might have an effect on demand for places before re-visiting the situation in the 2017/18 academic year. Numbers of primary school applications will be finalised during the first few months of 2017.  <b>19 Dec 2016</b>	 Likelihood Impact	2	31-Aug-2017	↔  No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS PE 002b Discussions with stakeholders and others regarding the expansion	Efforts to engage with parties to the negotiation continue	The Sir John Cass Foundation decided at the Board meeting on 19 October 2016 not to consent to grant a license to build on the site of the Sir John Cass Foundation Primary School to enable it to become a two form entry school. This decision will be kept under review during the 2017/18 academic year, in particular the effect of the opening of the City of London Academy Primary school Islington will have on the demand for school places. Data on the number of applications will be known during the first few months of 2017	Chris Pelham	16-Dec-2016	29-Sep-2017





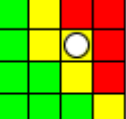
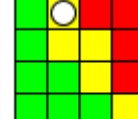
DCCS HS 003b Lone Working Procedures	Not all staff are working in compliance with the departmental lone working procedures. These will be reviewed to check why they are not being implemented by all staff and reviewed if appropriate. Compliance with new procedures will be monitored by managers and the quarterly Health and Safety Committee. It is anticipated that monitoring information will be available from Skyguard or the replacement system.	<p>The revised draft Lone Working Policy was considered by DLT in September. Further consultation has taken place across the whole of DCCS and a final version will be signed off by the Departmental Health and Safety Committee at its next meeting in February 2017 (November meeting was cancelled). 30 members of staff across DCCS have been identified to take part in a free 30-day trial for a new lone working mobile telephone app, which is being considered as an option to the current Skyguard system.</p> <p>Following a review of the DCCS Lone Working Procedures and the Skyguard system, further instruction and training has been carried out to ensure that there are robust processes, procedures and monitoring systems in place to protect staff at all times whilst carrying out their duties and responsibilities.</p>	Paul Murtagh	19-Dec-2016	31-Mar-2017
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Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>DCCS HS 005 Fire Risk - Enclosed balconies</b>  12-Jan-2017 Jacquie Campbell; Paul Murtagh	<b>Cause:</b> The enclosure of balconies by some residents on City of London estates from materials that may not meet fire safety standards or regulations. <b>Event:</b> The damage from a fire sited in one of these balconies is potentially more serious. <b>Effect:</b> Possible structural damage to buildings and harm to life. Remedies for unauthorised balcony works and enclosures not meeting fire safety standards are to be put in place.	 Likelihood	16	As a result of Fire Risk Assessments it has been identified that a number of residents have enclosed balconies without authorisation or checks on the combustibility of material used or appropriate alarms being fitted. An expert is being appointed to investigate.  <b>12 Jan 2017</b>	 Likelihood	6	30-Sep-2017	<b>New Risk</b>

Action no, Title,	Description	Latest Note			Managed By	Latest Note Date	Due Date
HS 005a Investigation into enclosed balconies on City of London Housing Estates	An expert is being engaged to address this issue. Staff from Housing, Barbican and Property together with the Corporation Fire Safety Advisor are working together to a review of permissions granted is underway.	As a result of Fire Risk Assessments it has been identified that a number of residents have enclosed balconies without authorisation, checks on the combustibility of material used or appropriate alarms being fitted. An expert is being appointed to investigate.			Jacquie Campbell; Paul Murtagh	12-Jan-2017	17-Apr-2017

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>DCCS ED 001 Failure to deliver City of London Academy expansion programme</b>  31-May-2016 Neal Hounsell	<b>Cause</b> Expansion programme not delivered <b>Event</b> Building projects not completed and /or Academies not approved for opening by the Department for Education <b>Effect</b> Need to secure temporary accommodation / alternative school place provision leading to increased pressure on school budgets and reputational damage. Academies opening deferred for a further year resulting in failure to deliver school places and reputational damage.	 Likelihood  Impact	12	3 Applications for academies sponsored by the City of London have now been approved by the Department for Education to pre-grant development stage. News on an additional application is awaited. Galleywall Academy successfully opened in September 2016.  <b>12 Jan 2017</b>	 Likelihood  Impact	4	01-Sep-2019	  No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS ED 001a Programme Board	A Programme Board has been established to oversee the work of project boards and take high level decisions	Continues to meet monthly. Good progress has been made on all academies in the Pre Development Grant stage. A report on progress is being presented to the Education Board in on 12 January 2017. Galleywall Academy successfully opened in September 2016.	Gerald Mehrtens	12-Jan-2017	01-Sep-2019
DCCS ED 001b Project Boards	Project boards for the two schools in pre-opening phase and for four applications to sponsor schools have been established and meet monthly	Good progress is being made. A report on the Academies expansion programme is being presented to the Education Board on 12 January 2018.  Shoreditch Park - Secondary - funding agreement due in February 2017 Highgate Hill - Secondary - funding agreement due in February 2017 Newham Collegiate - Sixth Form - funding agreement due in May 2017 Islington - Primary Academy - funding agreement in place  Regular meetings are taking place with stakeholders, City of London, Local Authorities, Education Funding Agency (Department for Education).	Gerald Merhtens	31-Jan-2017	30-Sep-2017

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DCCS HS 002 Failure to carry out and review effective Fire Risk Assessments for more than 5000 units of residential accommodation and a number of commercial units  14-Jan-2016 Paul Murtagh	<b>Cause</b> Fire Risk Assessments for managed properties not carried out effectively <b>Event</b> Fires do occur from time to time. Effective Assessments reduce the risk and identify if any changes to procedures or maintenance regimes that need to be reviewed or introduced <b>Effect</b> Fires can lead to significant property damage and potential loss of life	 <p>Likelihood</p> <p>Impact</p>	12	Fire Risk Assessments on the City of London's Housing properties have now been completed and submitted to Property Services for approval.  An action plan is being developed to deal with improvements identified as a result of individual Fire Risk Assessments	 <p>Likelihood</p> <p>Impact</p>	8	31-Mar-2017	↔  No change

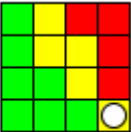


Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS HS 002a Consultant to carry out new fire risk assessments to all managed properties.	Consultants will be employed to carry out risk assessments to all residential and commercial properties managed by the Department. To be appointed and schedule of works to be agreed by end of March 2016	Fire Risk Assessments on the City of London's Housing properties have now been completed and submitted to Property Services for approval.  An action plan is being developed to deal with improvements identified as a result of individual Fire Risk Assessments	Paul Murtagh	31-Jan-2017	31-Mar-2017
DCCS HS 002b Training to be provided to Housing staff to carry out and review effective fire risk assessments	Training provider for Fire Risk Assessments to be identified. Appropriate staff will be nominated to attend.	Training is being developed for relevant staff and will be co-ordinated to coincide with the implementation of the new Fire Risk Assessments and subsequent action plan.	Paul Murtagh	31-Jan-2017	31-Mar-2017

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>DCCS HS 004 Housing Finance Changes</b>  15-Aug-2016 Jacquie Campbell; Paul Murtagh	<b>Cause</b> Changes to housing financing <b>Event</b> Possible shortfall in Housing Revenue Account funding <b>Effect</b> – Inability to fund the estimated 30 year expenditure plans regarding the City of London's Social Housing	 Likelihood  Impact	12	The data from the reports commissioned from Savills and The Chartered Institute of Housing are being analysed and it is anticipated that a report will now be presented to committee by 31 March 2017.  <b>12 Jan 2017</b>	 Likelihood  Impact	4	31-Mar-2017	  No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS HS 004a Review of 5 year Housing Revenue Account Financing Plan and remodelling of 30 year business plan	This work has been commissioned from Savills and from the Chartered Institute of Housing and the outcomes will be reported to Committee in October 2016.	The data from the reports commissioned from Savills and The Chartered Institute of Housing are being analysed and it is anticipated that a report will now be presented to committee by 31 March 2017.	Jacquie Campbell;  Paul Murtagh	12-Jan-2017	31-Mar-2017
DCCS HS 004b Financial Inclusion Programme and Universal Credit Support	Financial Inclusion Programme and Universal Credit support	Work on the financial inclusion programme and universal credit support is on-going	Jacquie Campbell;  Paul Murtagh	12-Jan-2017	31-Mar-2017

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CR17 Safeguarding</b>  22-Sep-2014 Neal Hounsell	<b>Cause:</b> Not providing appropriate training to staff, not providing effective management and supervision, poor case management <b>Event:</b> Failure to deliver actions under the City of London' safeguarding policy. Social workers and other staff not taking appropriate action if notified of a safeguarding issue <b>Effect:</b> Physical or mental harm suffered by a child or adult at risk, damage to the City of London's reputation, possible legal action, investigation by CQC and or Ofsted	 Likelihood	<b>8</b>  <b>Impact</b>	A Corporate audit of safeguarding is being undertaken. The review of the safeguarding champions will be completed following the outcome of the Corporate audit.  <b>16 Dec 2016</b>	 Likelihood	<b>8</b>  <b>Impact</b>	31-Mar-2017	  No change

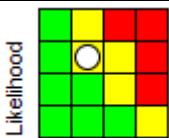
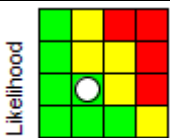

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR17b Work with HR to develop training and programmes to support staff	Develop children safeguarding e-learning modules and enable staff to access advice and assistance	The majority of staff have undertaken the e-learning modules. Outstanding training will be completed by 31 March 2017 to include new staff who have joined the Department. This training has been added to the list of mandatory training for DCCS staff	Chris Pelham	31-Jan-2017	31-Mar-2017
CR17k Review role of Safeguarding Champions	The role of Safeguarding Champions to be reviewed and to consider if Domestic Violence can be added to the role	A Corporate audit of safeguarding champions is being undertaken and the review of safeguarding champions will be completed following the outcome of the corporate audit.	Chris Pelham	16-Dec-2016	31-Mar-2017
CR17l Online Adult Safeguarding Training	Online basic Adult Safeguarding training will be mandatory for DCCS staff	Safeguarding for non-Adult Services staff online course is now available for staff via the City Learning portal. The completion date for all staff to comply has been extended to 31 March 2017	Chris Pelham	31-Jan-2017	31-Mar-2017
CR17m Raise Awareness of financial abuse and scams	The Adult Social Care Team will be working with the City of London Police to raise the profile of financial abuse and scams	Work is on-going. A scoping paper has been presented to the Safeguarding Adult Board and a campaign to raise awareness of the public, in partnership with City of London Trading Standards and the City of London Police will take place in the spring of 2017	Chris Pelham	19-Dec-2016	31-Mar-2017
CR17o Review of Safeguarding Arrangement in Independent schools within the City of London	A review is being conducted into the safeguarding arrangements within the independent schools within the City of London. It is anticipated that the report will be available at the start of December. If the report makes recommendations these will be implemented within agreed timescales.	The review has been completed. The findings are being analysed and the implementation of the findings are being considered.	Neal Hounsell	16-Dec-2016	02-Dec-2016

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>DCCS 001</b> <b>Departmental emergency response</b>  22-Jan-2016 Neal Hounsell	<b>Cause</b> Residents and/ or city workers being unsupported in a major emergency <b>Event</b> A major emergency being declared <b>Effect</b> Evacuated residents or city workers have nowhere to go following an incident, adverse media coverage.	Likelihood  Impact	8	The Humanitarian Assistance Working Group has been retitled to reflect new guidance. Meetings take place quarterly and a review of the group's terms of reference will take place at the next meeting in March 2017.  <b>12 Jan 2017</b>	Likelihood  Impact	8	31-Mar-2017	  No change

Action no, Title,	Description	Latest Note			Managed By	Latest Note Date	Due Date
DCCS 001a Humanitarian Assistance Working Group (HAWG)	The HAWG has representation from DCCS, other departments including Town Clerks and City of London Police. The Group will meet quarterly. The terms of reference for the HAWG were discussed at the July meeting and will be agreed at the September 2015 meeting.	The Humanitarian Assistance Working Group has been retitled the Human Aspects Working Group to reflect new emergency planning guidance. A review of the Groups terms of reference will take place at the next meeting in March 2017.			Sharon McLaughlin	12-Jan-2017	28-Mar-2017
DCCS 001c Revised Humanitarian Assistance Plan	New Humanitarian Assistance Plan to be drawn up to cover all existing plans including rest centre, family and friends centre and community assistance centres	A post exercise report is being prepared and the Humanitarian Assistance Plan is being revised. Following additional learning at a Chemical, Radiological, Biological and Nuclear event the plan and report will be circulated in February 2017 for sign off at the meeting in March 2017			Sharon McLaughlin	19-Dec-2016	31-Mar-2017
DCCS 001d Review of financial arrangements in a major incident including contingency cash and cash welfare payments	Financial arrangements are being revised to reflect current financial arrangements, City Procurement regulations and use of purchasing cards	Completed - The new financial arrangements were tested satisfactorily at the Rest Centre exercise on 5 October 2016			Sharon McLaughlin	06-Oct-2016	31-Oct-2016
DCCS 001e Setting up a rest centre - live exercise	A live exercise to test a series of elements including notification, communications and delivery of a rest centre will take place in October 2016.	Rest centre exercise took place on 5 October 2016. Feedback from independent observers was good.			Sharon McLaughlin	14-Oct-2016	30-Nov-2016

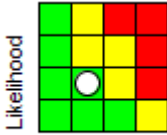
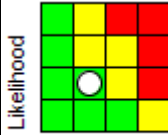
Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>DCCS CP 002 City of London Community Education Centre - site redevelopment</b>  22-Jan-2016 Neal Hounsell	<b>Cause</b> Redevelopment of the site occupied by the City of London Community Education Centre <b>Event</b> Adult and community Learning service have to vacate the site <b>Impact</b> Unless new premises are found adult and community learning delivery may be curtailed	 Likelihood	6	The City of London Community Education Centre is due to be closed and the service re-located in April. Efforts to identify new premises for the delivering Adult Skills and Community Learning service are continuing.  <b>31 Jan 2017</b>	 Likelihood	4	31-Jan-2017	  Increased Risk Score

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS CP 002a The identification of new premises and relocation of the service	The site of the City of London Community Education Centre (COLCEC) on Golden Lane will be redeveloped. New premises for the delivery of community learning will need to be identified.	The City of London Community Education Centre is due to close in April 2017. Efforts to identify new premises for the delivery of Adult Skills and Community Learning are continuing.	Mark Emmerson	31-Jan-2017	31-Mar-2017

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>DCCS PE 004 Pupil funding - introduction of new formulae may reduce levels of funding from 2017/18</b>  22-Mar-2016 Pip Hesketh	<b>Cause:</b> Change in government policy <b>Effect:</b> Introduction of new national pupil funding formulae may lead to up to 50% reduction in pupil funding for Sir John Cass Foundation Primary School <b>Event:</b> Potential financial viability issues for the school	 Likelihood	<b>6</b>	A 2nd stage Consultation on the new pupil funding formulae was issued by the Department for Education on 14 December with a closing date of 31 March 2017. The City of London is considering their response.  <b>19 Dec 2016</b>	 Likelihood	<b>4</b>	31-Mar-2017	  No change

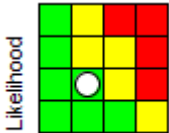
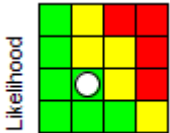

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS PE 004c Meetings with the Department for Education	A meeting with the Department for Education was held in July and it is anticipated that the City of London will be viewed as a special case.	The implementation of the new funding formulae will now take place in 2018/19. A second stage consultation exercise was launched by the Department for Education on 14 December with a closing date of 31 March 2017. The City of London is considering their response.	Pip Hesketh	19-Dec-2016	31-Mar-2018



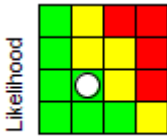
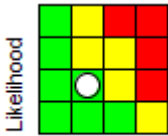

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>DCCS ED 002 Failure of the City of London Academies to meet the high performance and financial expectations of the City of London Corporation</b> 12-Jan-2017 Neal Hounsell	<b>Cause:</b> Inadequate Multi Academies Trust governance and financial management arrangements through inadequate leadership, management oversight. Ineffective teaching standards and management of the curriculum. <b>Event:</b> The Multi Academies Trust does not deliver outstanding teaching and a learning curriculum to students as well as an efficient and well run organisation. The Trust falls into financial difficulty. <b>Effect:</b> Delivery of poor academic results and poor Ofsted inspection judgements leading to reputational damage to the academies and the City of London. Financial pressure leads to the City of London supporting City of London Academies Trust (CoLAT) to avoid financial reputational damage.	 Likelihood Impact	4	City of London academies have achieved an exceptional set of year 11 results. Across all City of London Academies 77% of students achieved 5A*-C with English and mathematics. All academies have been judged as either Good or Outstanding by Ofsted.  <b>12 Jan 2017</b>	 Likelihood Impact	4	01-Sep-2019	<b>New Risk</b>

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS ED 002a Standards and Accountability, Scrutiny Meetings	An 'Accountability Framework' has been established with a rigorous cycle of; examination analysis, performance review, actions to address under-performance, school leader performance management, target setting, school monitoring visits and final predicted results collection prior to examination results. This process provides a clear line of accountability through to school leaders.	Standards & Accountability Scrutiny meetings were schedule for November to review projected attainment of pupils. A report is to be taken to the education Board in January together with data on progress and added value. Spring 2017 will see the next stage of the accountability process which is a series of school visits by the CEO	Mark Emmerson	31-Jan-2017	28-Feb-2017

DCCS ED 002b Governance, Accountability and Financial Risk Management	Articles and governance framework provide the mechanisms to intervene if the trust or an individual school is not performing to the required standard. Chairs of Governors must be approved by the City of London as sponsor; they can be removed by the City of London Academies Trust. The City of London can remove Trustees through the control of the company exercised by members, one of which is the City of London Corporation represented by the Town Clerk. Clear policies and procedures operate around financial risk management with the Trust being independently audited.	<b>Complete</b> - The CoLAT Articles we re-set in January 2016 as a result of re-structuring to allow better oversight and clearer representation of the interests of the Corporation.  A new Chief Financial Officer has been appointed to the Trust and started in January 2017. An annual audit was completed in December 2016.	Mark Emmerson	31-Jan- 2017	31-Jan- 2017
DCCS ED 002c Financial scrutiny meetings with each Academy	Financial scrutiny meetings will take place for all academies in the COLAT annually in June.	Financial scrutiny meetings will take place for all academies in the COLAT annually in June. Issues discussed will include budget forecasts, cash flow and end of year financial outturns. The meeting will be attended by Chief Executive Office, Chief Financial Officer, Chairman of the Education Board, Academy Heads and Revenue Managers	Mark Emmerson	31-Jan- 2017	30-Jun- 2017
DCCS ED 002d Academy financial reports to be presented to the Education Board	Annual financial reports,	Annual financial reports from each Academy will be presented to the Education Board each May. The report will include resource allocation plans.	Mark Emmerson	31-Jan- 2017	31-May- 2017
DCCS ED 002e Visit of Chief Executive Officer to all Academies to undertake Standards and Accountability Scrutiny meetings	Standards and Accountability Scrutiny meetings.	A timetable for the Standards and Accountability Scrutiny meetings has been drawn up and it is anticipated that meetings with all Academies will be completed by 28 February 2017. A report will be presented to the CoLAT Board by 31 May 2017.	Mark Emmerson	31-Jan- 2017	31-May- 2017

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>DCCS HS 001 Health and Safety procedures</b>  13-Nov-2014 Paul Murtagh	<b>Cause:</b> Failure to meet Health and Safety regulations and City of London procedures within the department and on the properties and estates managed by the Housing Division <b>Event:</b> Accident or fire in property or estates managed DCCS leading to harm / injury to staff member, resident or visitor <b>Effect:</b> Injury to person/s on property or estates managed by DCCS, possible adverse media coverage, external investigation into incident and potential claims for compensation.	 Impact	4	Meeting of the Health and Safety Committee continue. Top X risks continue to be monitored  <b>14 Oct 2016</b>	 Impact	4	31-Mar-2017	  No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS HS 001c Implement agreed work plan addressing Top X and other risks	Work plan for Health and safety Officer has been agreed and will be reviewed at quarterly departmental health and safety meetings	Quarterly Health & Safety meeting with representation across the divisions are being held. Progress against the work plan is monitored and top X risks reviewed.	Paul Murtagh	14-Oct-2016	31-Mar-2017
HS 001c Pilot of DCCS Alcohol and Drug Misuse Policy	Pilot of DCCS Drug and Alcohol Misuse Policy from 1 August to 31 January 2017	The pilot of the DCCS Drug and Alcohol Misuse Policy is nearing completion. A report on the outcomes and lessons learned will be presented to the Departmental Leadership Team.	Paul Murtagh	31-Jan-2017	30-Mar-2017

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>DCCS PE 003 Early Help - Referrals and completion of Common Assessment Frameworks (CAFs)</b> 26-Jan-2016	<b>Cause</b> Obstacles in place which reduce referrals to the Early Help Service <b>Event</b> Reluctance of partners to refer to Early Help and initiate CAFs <b>Effect</b> Low compliance with agreed Early Help Procedures	 Likelihood	4	There has been a rise in the number of referrals and completed CAFs. This needs to be sustained during 2016/17.  <b>31 Jan 2017</b>	 Likelihood	4		  Decreased Risk Score

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS PE 003a Consult partners regarding low compliance with Early Help procedures to address low compliance	Consult Partners - workshop to be held with multi agency partners 3 February	Complete - this action has now been closed	Chris Pelham	31-Jan-2017	30-Dec-2016
DCCS PE 003b Develop simple distance travelled tool	The aim of the tool is to provide clear and easily accessible evidence that demonstrates the difference Early Help services have made to children, young people and their families.	Completed - this action is now closed	Chris Pelham	31-Jan-2017	30-Dec-2016
DCCS PE 003c Early Help Co-ordinated co-located with partners	The Early Help Co-ordinator is now co-located with partners.	The Early Help Co-ordinator is now co-located with partners. This is a pilot which will be reviewed in July 2017	Chris Pelham	31-Jan-2017	31-Aug-2017

### Appendix 3: Complaints Report, Total Complaints and Compliments Received – Quarter 3

Division	2013/14	2014/15	2015/16	Q1	Q2	Q3	2016/17 Total
Adult Social Care & Homelessness	0	3	3	1	1	4	6
No. of complaints upheld	0	1 upheld	0	0	0	0	0
Family and Young People's Services	0 (3)	5	2	0	0	0	0
No. of complaints upheld	2 upheld	2 upheld	N/A	N/A	N/A	N/A	N/A
Housing	17	34	35	12	9	12	33
No. of complaints upheld	6	5, 2 partially upheld	11	4, 2 partially upheld	1, 2 partially upheld	1, 8 partially upheld	6, 12 partially upheld
Property			6	10	7	2	19
No. of complaints upheld			5, 1 partially upheld	6	3	1	10
Commissioned Services, e.g. Golden Lane Sport and Fitness, City Advice, Telecare	51	54	52	5	14	15	34
No. of complaints upheld	37	39	44	5	10	15	30

#### Response Times at Stage 1: Family and Young People's Services and Housing – 10-day target; Adult Social Care – 3-day target

Division	2013/14	2014/15	2015/16	Q1	Q2	Q3	2016/17 Total
Adult Social Care & Homelessness	N/A	100%	75%	100%	100%	100%	100%
Family and Young People's Services	100%	75%	0%	N/A	N/A	N/A	N/A
Housing	100%	100%	100%	100%	100%	100%	100%
Property			75%	100%	100%	100%	100%

## Appendix 4: Department of Community & Children's Services 2016–17 Q3 budget

### DCCS CITY FUND: - 2016/17 BUDGET Q3

	2016/17 LAB budget	TOTAL to date £'000	% spent	Projected Actual to Year end £'000	Projected Variance to Year end £'000	Notes
<b>LOCAL RISK</b>						
<b>Housing Services</b>						
Housing S&M Account	128	96	75	131	-3	
Disabled Access, Enabling Activities, Spitalfields, General Housing Advise, Other Housing Services	-42	-64	151	-38	-4	
Supporting People	676	587	87	704	-28	
Service Strategy	4	3	65	3	1	
Housing Benefit	212	-14	-7	36	176	
<b>Total Housing</b>	<b>978</b>	<b>609</b>	<b>62</b>	<b>836</b>	<b>142</b>	1
<b>People Services</b>						
Older People Services	1,300	998	77	1,286	14	
Adult Social Care	2,337	1,455	62	2,339	-2	
Occupational Therapy	263	187	71	248	15	
Supervision and Management	187	130	70	159	28	
Homelessness	613	909	148	614	-1	
Children Social Care	1,048	1,024	98	1,215	-167	
Early Years & Childcare	954	790	83	1,020	-66	
Other Schools Related activity	151	90	60	151	0	
<b>TOTAL LOCAL RISK</b>	<b>6,853</b>	<b>5,582</b>	<b>81</b>	<b>7,032</b>	<b>-179</b>	2
<b>Partnerships</b>						
Commissioning	734	631	86	742	-8	
Public Health	-25	-459	256	-25	0	
Sports Development	-35	-136	41	-38	3	
Adult Community Learning	70	-175	-250	38	32	
Youth Service	204	198	97	204	0	
Strategy and Performance	1,119	909	81	1,120	-1	
<b>TOTAL PARTNERSHIPS</b>	<b>2,067</b>	<b>968</b>	<b>47</b>	<b>2,041</b>	<b>26</b>	3
<b>TOTAL LOCAL RISK</b>	<b>9,898</b>	<b>7,159</b>	<b>191</b>	<b>9,910</b>	<b>-12</b>	
<b>CENTRAL RISK</b>						
Commissioning	-111	549	-494	-81	-30	
Early Years & Childcare	246	317	129	246	0	
Other Schools Related activity	-272	-417	153	-277	5	
Asylum Seekers	288	498	173	405	-117	
Delegated Budget	-20	155	-775	-20	0	
Housing Benefit	67	-90	-135	120	-53	
<b>TOTAL CENTRAL RISK</b>	<b>198</b>	<b>1,012</b>	<b>511</b>	<b>393</b>	<b>-195</b>	4

Housing Services: underspend of £145k due to

1) Vacant post which will not be filled during the year plus additional income received in relation to the clawback of housing benefit overpayments made to individuals

People's Directorate: Overspend of £179k largely due to:

2. A new high cost vulnerable client along with additional costs in relation to the Ofsted inspection

3. Commissioning & Partnerships: minor underspend of £26k

Central risk - overspent by £195k largely due to:

4. Asylum seekers are predicting an overspend due to additional Unaccompanied Asylum Seeking Children. 7 new clients come through in 2015/16 of which 2 turned 18 this year and therefore does not attract any funding from the Home Office. This will be monitored and flagged up to Finance Committee as part of the monthly budget monitoring & a bid for additional resources will be submitted.