

Philip Slawther

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28 March 2023

To: All Members of the Overview and Scrutiny Committee

Dear Member,

Overview and Scrutiny Committee - Thursday, 30th March, 2023

I attach a copy of the following reports for the above-mentioned meeting which were not available at the time of collation of the agenda:

**6. MINUTES (PAGES 1 - 10)**

- Action Tracker

**9. COMBINED COMPLAINTS, MEMBER ENQUIRIES, FREEDOM OF INFORMATION REQUEST AND OMBUDSMAN ANNUAL REPORT 2021 - 2022 (PAGES 11 - 12)**

- Amended Section 4 of the Report.

**10. BUILDING SAFETY CASE & RESIDENT ENGAGEMENT STRATEGY UPDATE (PAGES 13 - 40)**

\* Note - This report was updated for accuracy purposes and was republished on 28<sup>th</sup> March.

Yours sincerely

Philip Slawther, Principal Committee Co-ordinator  
Principal Committee Co-Ordinator

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## Overview & Scrutiny Committee – Action Tracker 2023-24

### MEETING 6 – Thurs 19<sup>th</sup> January 2023

No.	ITEM	STATUS	ACTION	RESPONSE
36	Scrutiny of 2023/24 Draft Budget	<b>COMPLETED</b>	Cabinet response to be provided to the recommendations of the OSC and the four Scrutiny Panels on the 2023/24 draft budget and the 2023-28 MTFS.	Responses provided at the Cabinet meeting on 7 <sup>th</sup> February 2023: <b>ATTACHMENT C</b> or see Appendix 9 at: <a href="https://www.minutes.haringey.gov.uk/mgAi.aspx?ID=74842">https://www.minutes.haringey.gov.uk/mgAi.aspx?ID=74842</a>

### MEETING 5 – Thurs 12<sup>th</sup> January 2023

No.	ITEM	STATUS	ACTION	RESPONSE
35	Scrutiny of 2023/24 Draft Budget	<b>ONGOING</b>	Future finance reports to minimise the use of acronyms	Noted. Finance have agreed to review the format of budget reports for next year, in light of comments made by OSC.
34	Scrutiny of 2023/24 Draft Budget – Culture, Strategy & Engagement	<b>COMPLETED</b>	A number of comments and requests for further information were made. The Committee requested an update on these, as well as briefing on the latest financial position of the Council to be brought to the 19 <sup>th</sup> January meeting.	The requests for information were incorporated into the agenda pack for 19 <sup>th</sup> January. The Director Finance provided a verbal update to the Committee regarding an updated overview of the Council's financial position.

## MEETING 4 – Mon 28<sup>th</sup> November 2022

No.	ITEM	STATUS	ACTION	RESPONSE
33	Pilot Building Safety Case	<b>INCOMPLETE</b>	The Committee recommended that the link for residents to report fire safety concerns to be made shorter and more prominent on the Council website.	Officers advised that they would pick this up with Comms and would also include the link in the resident newsletter that was due to go out before Christmas.  There is a link on the website which allows residents to report fire safety concerns: <a href="https://www.haringey.gov.uk/housing/council-tenants/safety/fire-risk-assessments">https://www.haringey.gov.uk/housing/council-tenants/safety/fire-risk-assessments</a>
32	Pilot Building Safety Case	<b>IN PROGRESS</b>	Officers agreed to share the fire safety assessment for Edgecot Grove with the Committee and also agreed to send an officer to attend a future resident meeting to discuss fire safety	FRA has been reviewed and no fire escape identified in the FRA actions.
31	Pilot Building Safety Case	<b>IN PROGRESS</b>	Update to be provided on the Building Safety Case including an update on resident engagement.	Report scheduled for OSC meeting on 30 <sup>th</sup> March 2023.
30	Cabinet Member Questions (Tackling Inequality & Resident Services)	<b>OUTSTANDING</b>	Session to be arranged for Members to review the data on benefit claims and benefit maximisation.	Officers have suggested that a written briefing may be more useful at this stage.
29	Cabinet Member Questions (Tackling Inequality & Resident Services)	<b>COMPLETED</b>	Update to be provided on joining up the financial support and guidance provided by tenants by HfH and the Council.	<i>A response was emailed to Members on 11<sup>th</sup> January. A summary is set out below:</i>  Over the past 5-8 years, different services have created service specific additional support to residents in financial stress or having welfare needs. The Financial Support Team was set up for all residents facing debt and hardship, aligned to council tax debt. Likewise, the Connected Communities team worked as part Adults

				<p>Service, to support residents before they entered crisis requiring more intensive support from Social Care.</p> <p>A review is underway to bring these services together so that a resident can get holistic support for all issues, consistently and sharing the access to support resources such as DHP or CTRS. Funding is a key challenge, especially as the FIT is funded by the HRA. But residents should feel Haringey Council is 'here to help' and get the support they need, consistently regardless of tenure, criteria or type of debt.</p>
28	Cabinet Member Questions (Tackling Inequality & Resident Services)	<b>COMPLETED</b>	Update to be provided on the project to join up HfH and Council complaints processes.	The HFH Complaints team merged during December, we had an opportunity to do this following the departure of the HFH Complaints Manager, while still establishing where different practice exists. The next steps are focused on remodelling the way we do things to improve the experience Residents and Members get when raising complaint, ME, FOI. Officers will be working with Members in coming weeks on this.
27	Cabinet Member Questions (Tackling Inequality & Resident Services)	<b>COMPLETED</b>	Update to be provided on the feasibility of professional accreditation for customer service staff.	<p>The Customer Services Team successfully completed a training scheme in 2021/22 with Hamilton Mercer that was procured through the Organisational Development Team (HR) and was designed specifically for Haringey staff, however this did not provide accreditation, rather it focused on changing behaviours, attitudes and problem solving.</p> <p>The Institute of Customer Service offers accreditation for more generic customer service delivery however this is a costly option and the accreditation and accompanying training is priced in addition to membership of the institute. As noted above we did not gain sufficient value from our most recent membership to the ICS, so this is not an option we can consider at this time.</p> <p>There are a number of other qualifications available that maybe suitable, including Apprenticeships and City and Guilds</p>

				<p>qualifications. Haringey currently offers access to apprenticeships for all permanent staff, including new starters. While there has been take up of this opportunity within existing staff, we have experienced drop-out from the courses due to the time required for the course work. We continue to encourage staff to engage with apprenticeships as part of their professional development</p>
26	Cabinet Member Questions (Tackling Inequality & Resident Services)	<b>OUTSTANDING</b>	<p>Cabinet Member invited OSC Members to visit the call centre. Members also commented that they would like to observe one of the staff training sessions.</p>	<p>It's noted that Staff training session vary in content, significantly, from bringing teams up to speed on service updates, training on systems and scripts to focus sessions with communities.</p> <p>Clerk to follow up with officers and arrange a date.</p>

### **MEETING 3 – Thurs 13<sup>th</sup> October 2022**

<b>No.</b>	<b>ITEM</b>	<b>STATUS</b>	<b>ACTION</b>	<b>RESPONSE</b>
25	2022-23 Q1 Finance update	<b>COMPLETED</b>	<p>Further details to be provided on Housing Demand Temporary Accommodation overspend.</p>	<p>The number of households in Temporary Accommodation (TA) is slowly reducing, but associated costs have increased because we are investing in a variety of homelessness preventative measures and initiatives such as deposit contributions scheme for securing assured shorthold tenancies (ASTs) etc.</p> <p>There is a challenging Private Sector Leasing (PSL) market, as some landlords move their portfolios to neighbouring boroughs for better rates and some just pull out of the market altogether. This means as a result we are forced to use more costly nightly paid accommodation (NPA's) in such instances. We are also looking at a proposal to increase the weekly rent we pay to PSL landlords to retain their properties. There is also a plan to increase the number of Council owned lodges to reduce TA costs.</p>

24	2022-23 Q1 Finance update	<b>COMPLETED</b>	A written briefing to be provided on the DSG Safety Valve programme.	This information is provided in a paper on the Safety Valve presented to the Cabinet meeting on 13 <sup>th</sup> September 2022 <b>(ATTACHMENT B)</b> .
23	2022-23 Q1 Finance update	<b>COMPLETED</b>	Details to be provided on the impact of the reduction of £650k from the libraries capital budget.	This budget was created to reconfigure libraries to facilitate wider community use and to produce income and the investment that has been put into libraries so far has considered these issues and concluded that the investment to date has gone as far as is possible to meet the original aspiration, hence the proposed budget amendment.  There are separate capital project budgets for Library building upgrades. These are Scheme 621 (£1.2m 22/23 Library building & IT upgrade) and Scheme 623 (£2m for Wood Green Library alone).
22	2021-22 Financial Outturn	<b>COMPLETED</b>	Clarification requested on the reasons for a £3.6m realignment of Parking and Highways budget.	This virement was predominantly necessitated by the need to more accurately reflect recent changes to service operations within the Parking & Highways service such as variations within the Veolia waste contract, the creation of an internal trade waste service and the costs and income from the initial roll-out of the Low Traffic Neighbourhood schemes. There were some further smaller realignments to better reflect the impact of prior year savings and income streams across the service. All of these changes have net nil impact to the E&N budget overall.
21	2021-22 Financial Outturn	<b>COMPLETED</b>	Clarification requested on how overspend related to the Dedicated Support Grant was reduced from £6.7m to £3.7m.	The £3.0m movement between Q3 and outturn is as a result of a favourable movement of £2.1m on the High Needs Block (HNB) and £879k on the Early Years (EY) block. The HNB movement is due to reclassification work between High Needs Block (HNB) and general fund codes (£1.0m); HNB in-year demand lower than forecasted as a result of management actions (£0.6m); and alternative HNB funding sources for pupil placements (£0.5m). The EY movement follows the notification of the DfE 2021/22 EY recoupment relating to 2020/21.

20	Cabinet Member Questions (Housing Services, Private Renters and Planning)	<b>IN PROGRESS</b>	Update report to be provided to a future meeting about how effectively the Council communicated with residents about housing repairs.	Added to work programme. Date to be scheduled.
19	Cabinet Member Questions (Housing Services, Private Renters and Planning)	<b>IN PROGRESS</b>	On a lack of response to residents about housing repairs, Yvonne Denny agreed to email Cllr Bevan with the specifics and Cllr Carlin would chase up the names of housing managers for each block.	Cabinet Member acknowledged that each block should have a named housing manager and that she was happy to follow up with officers on the concerns raised.  Co-optee to send through specific concerns.
18	Cabinet Member Questions (Housing Services, Private Renters and Planning)	<b>IN PROGRESS</b>	Exercise to be carried out on whether smaller blocks should have fire risk assessments.	
17	Fire Safety Review	<b>IN PROGRESS</b>	Response to be provided from Adults commissioning colleagues about CQC monitoring processes for care home provision and fire safety assessments.	
16	Fire Safety Review	<b>COMPLETED</b>	It was commented that a number of fire safety assessments had recommended the need for a fire escape but that this had not been carried out. Officers agreed to contact the Fire Safety team and get an update on the fire risk assessment for Edgecot Road and bring this back to the November meeting of OSC.	FRA has been reviewed and no fire escape identified in the FRA actions.
15	Fire Safety Review	<b>COMPLETED</b>	Full report to be provided on intrusive fire risk assessments along with an update in the pilot building safety case	Report included in November 2022 agenda papers. See addendum pack for the report and item 35 for the minutes: <a href="#">Agenda for</a>



			and any interim findings from the pilot.	<a href="#">Overview and Scrutiny Committee on Monday, 28th November, 2022, 7.00 pm   Haringey Council</a>
14	Fire Safety Review	<b>IN PROGRESS</b>	Follow up report to be provided to the Committee on how the consultation pilot went and how this was being programmed into ensure that residents were able to report problems the wider programme of developing building safety cases.	An update was provided at OSC meeting on 28 <sup>th</sup> Nov 2022 meeting. See item 36: <a href="#">Agenda for Overview and Scrutiny Committee on Monday, 28th November, 2022, 7.00 pm   Haringey Council</a>  A further update has been scheduled for the OSC meeting on 30 <sup>th</sup> March 2023.
13	Fire Safety Review	<b>COMPLETED</b>	Mechanisms for residents to be able to report concerns to be advertised on the Council's website.	There is a link on the Council website which allows this to happen: <a href="https://www.haringey.gov.uk/housing/council-tenants/safety/fire-risk-assessments">https://www.haringey.gov.uk/housing/council-tenants/safety/fire-risk-assessments</a>

### **MEETING 2 – Mon 25<sup>th</sup> July 2022**

<b>No.</b>	<b>ITEM</b>	<b>STATUS</b>	<b>ACTION</b>	<b>RESPONSE</b>
12	Work Programme (Scrutiny Café)	<b>INCOMPLETE</b>	Hackney-based domestic abuse support organisation Sistah Space to be included in VAWG Scrutiny Review.	Invitation was sent but no response has been received.
11	Haringey Health Hub	<b>COMPLETED</b>	Further information to be provided about the Council services that would be provided at the hub and how these would interact with the services provided by the NHS and others.	Members were invited to a briefing session on this issue which took place on Sep 27 <sup>th</sup> 2022.
10	Haringey Health Hub	<b>INCOMPLETE</b>	Further information to be provided about the forthcoming co-design work on the hub, including how the co-design group would be formed and how communities would be engaged with.	Response requested from Whittington Health. To be followed up.

9	Haringey Health Hub	<b>COMPLETED</b>	Visit for Committee Members to the new community diagnostic centre in Wood Green Shopping City to be arranged.	Visit took place in November 2022.
8	Cabinet Member Questions (Leader of the Council)	<b>COMPLETED</b>	Concerns raised by Yvonne Denny about incomplete repairs work in Seven Sisters to be raised by OSC Chair with Housing department/Cabinet Member.	This was followed up. Housing officers have attended to assess the repairs needed and we understand that this is now being dealt with. Yvonne Denny can provide further updates on this if required.
7	Cabinet Member Questions (Leader of the Council)	<b>COMPLETED</b>	Tower Hamlets Council presentation about their inequality programme to be circulated (originally provided to the C&YP Scrutiny Panel in Jan 2022).	Presentation slides have been circulated. <b>(ATTACHMENT A)</b>
6	Cabinet Member Questions (Leader of the Council)	<b>COMPLETED</b>	Response to be provided about concerns that 11 out of 24 audits completed in 2021/22 had sub-standard assurance levels (according to a Mazurs report recently provided to Corporate Committee).	<b>Response (Andy Donald, Chief Executive):</b> The work of internal audit involves carrying out an annual risk assessment and focus on those areas of Council operations that are significant or where the Council needs assurances over the effective of internal controls where the control environment is not robust. Directors and Assistant Directors actively engage with audit to identify audit areas where the control environment needs improving and to get internal audit opinion. It is therefore not a surprise internal audit is highlighting areas where the control environment can be improved in the Council. The number of audit areas where the internal audit team has assigned a sub-standard level of assurance last year. However the Chief Executive has made it clear that there needs to be significant improvement, at pace, in all areas where the level of assurance was substandard. In this regard, both the senior management team and the Corporate Committee play an important role in holding services to account.

## MEETING 1 – Mon 20<sup>th</sup> June 2022

No.	ITEM	STATUS	ACTION	RESPONSE
5	Work Programme (Scrutiny Café)	COMPLETE	Committee suggested that a group of students should be invited to participate in the Scrutiny Café event on 16th September.	Invitations were sent and accepted.
4	Work Programme (Fire Safety)	COMPLETE	Update requested on the Cabinet response to the OSC's recommendations on fire safety.	Update provided in Oct 13th 2022 OSC agenda papers. Minutes/reports available at: <a href="https://www.minutes.haringey.gov.uk/mgAi.aspx?ID=74231">https://www.minutes.haringey.gov.uk/mgAi.aspx?ID=74231</a>
3	Gambling Inquiry Day	COMPLETE	Update requested on the Cabinet response to the OSC's recommendations on gambling harms.	Response to recommendations provided to December 2022 meeting of the Cabinet. Minutes/reports available at: <a href="https://www.minutes.haringey.gov.uk/mgAi.aspx?ID=74664">https://www.minutes.haringey.gov.uk/mgAi.aspx?ID=74664</a>
2	Performance Update	COMPLETE	Clarification requested on whether all contractors were paying staff the London Living Wage and how this was monitored.	Response to specific questions: <ul style="list-style-type: none"> <li>• <i>What is the status of Haringey's London Living Wage (LLW) employer status?</i> – We continued to be accredited by the Living Wage Foundation (LWF) as a London Living Wage (LLW) employer. This is reviewed annually by LWF.</li> <li>• <i>The extent to which the Council was requiring bodies with whom they held contracts, to provide LLW to their staff. How was this monitored?</i> – It has been a contractual requirement for suppliers to the Council to pay LLW as a minimum for the past 2-3 years. This covers contracts above £160k. Most contracts between £50k and £160k either include this as a contractual requirement or incorporate this as part of the procurement process, where it is required as part of the LWF accreditation. Currently, service areas are responsible for monitoring KPIs in contracts (including LLW). There is no central repository for collating and monitoring this information. It is proposed by the Head of Procurement, LLW is a corporate KPI which will be monitored across all relevant contracts</li> </ul>

				<p>as part of the procurement technology refresh over the coming 12 months.</p> <ul style="list-style-type: none"> <li>• <i>The extent to which the Council still had legacy contracts that were not paying their staff LLW?</i> – Due to the volume of contracts let prior to 2020, it is not possible to state for certain if there are any qualifying legacy contracts that do not pay LLW. However, we are not aware of any legacy contracts, prior to the Council becoming an LWF employer, that fall under the LWF requirement to pay LWF that do not pay LLW. Larger contracts were reviewed and contractors were asked to confirm payment of LLW or an uplift was applied to ensure payment of LLW.</li> <li>• <i>What is the Council was doing to encourage other employers to sign up to the scheme?</i> – The Council participates in Living Wage Week activities and promotions in line with LWF.</li> </ul>
1	Membership & Terms of Reference	<b>COMPLETE</b>	Committee recommended that the Housing & Regeneration Scrutiny Panel should be renamed in light of the change of the Housing department's name to "Placemaking and Housing".	Panel has been renamed as the Housing, Planning and Development Scrutiny Panel.

Addendum to Annual Complaints Report 2021/22  
Additional compliments were omitted in error.

#### 4. Compliments

4.1 We record compliments from residents whether it be by email, letter, online, by phone or directly via a manager.

We received 228 compliments between 1 April 2021 and March 2022 and the table below provides a breakdown of the service areas that were complimented.

There has been an increase in the number of compliments received compared to 2019/2020 (previously 149 council wide) due to incentives such as (Street) Kind Words.

<b>Service Area</b>	<b>No. of Compliments</b>
E&N – Community Safety & Enforcement	114
Corporate and Customer Services	61
Children’s Services Early Help and Prevention	11
Adult Social Services	11
E&N Direct Services	10
Children’s Services Safeguarding and Social Care	8
Commissioning	4
Planning, Building Standards and Sustainability	4
E&N Stronger & Safer Communities	3
Legal & Governance	1
Children’s Services Schools and Learning	1
<b>Total</b>	<b>228</b>

4.2 As part of the Corporate Delivery Plan, we will be working with services to raise awareness of compliments across the Council.

We know that there are ongoing initiatives in pockets of the authority that celebrate good practice, and one of our aims is to bring this work together so that we can illustrate the good work being done across services corporately.

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<b>Report for</b>	Overview and Scrutiny Committee – 30 March 2023
<b>Title</b>	Building Safety Case & Resident Engagement Strategy update
<b>Report author</b>	Scott Kay, Head of Building Compliance, Property Services, Placemaking & Housing
<b>Contact email</b>	<a href="mailto:scott.kay@haringey.gov.uk">scott.kay@haringey.gov.uk</a>
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## 1. Introduction

- 1.1 The Building Safety Act was introduced in April 2022 and will shortly be supported by forthcoming secondary legislation. However, the indications are that there will be a requirement for all high-rise residential buildings (that is, buildings that are over 18 metres high, or have seven or more storeys, and contain two or more separate homes), to be registered with the Building Safety Regulator before October 2023 and it is anticipated that the arrangements for registering buildings with the regulator will go live on 12<sup>th</sup> April 2023.
- 1.2 Under the Building Safety Act 2022 (the Act), Haringey Council must have an approved resident engagement strategy that meets the needs of residents who live in buildings defined as high-risk under the Act. Under the Act there will be a new Building Safety Regulator who will review, approve and sign off resident engagement strategies when issuing building-safety certificates for new buildings or approving safety cases for existing buildings.
- 1.3 In order to provide Key Building Information once buildings have been registered. Key building information will be gathered in order to compile the Building Safety Case. This report is an update on findings of the pilot building safety case process for Kenneth Robbins House and the additional information and resources needed for it to be fully developed and to prepare safety cases for the remaining high-rise residential buildings within Haringey.
- 1.4 It also confirms that we have developed a resident engagement strategy to set out our framework for involving residents of high-risk buildings when making decisions that relate to the safety of their home.
- 1.5 The pilot building specific resident engagement strategy, which we have developed with residents of Kenneth Robbins House, aims to make sure that



residents can feel confident in expressing how they want to be involved in order for their needs to be met.

## **2. Recommendation**

2.1 The Committee is recommended to: -

a) Note the report

## **3. The Pilot Safety Case**

3.1 This report is an update on findings of the pilot building safety case process for Kenneth Robbins House and the resources needed for it to be fully developed and to prepare safety cases for the remaining high-rise residential buildings within Haringey.

3.2 During 2021 the Council agreed to a building safety case pilot for Kenneth Robbins House. This decision was taken based on the recommendations made in a previous report (appendix 1) which were to:

3.2.1 utilise the Claim Argument & Evidence model as it is recognised and good practice approach for developing the safety case, supporting evidence and safety case report.

3.2.2 procure an end-to-end software solution that guides us through the process and provides a suitable repository through direct storage and/or hyperlinks to the relevant documentary evidence bank. This would incorporate and produce the structured safety case document that brings all of the information together and the safety case report for issuing to the regulator.

3.2.3 bring in external expertise who would work with staff to train them in the development of the pilot safety case and use of the software solution. Following this, in-house resources would be suitably equipped to produce further safety cases for the in-scope buildings.

3.3 The pilot safety case discovery exercise ended in February 2023. The consultancy support provided by Adelard during the pilot phase ended in November 2022.

3.4 The Building Safety Case is the functional activity of continuously assessing and managing the buildings' safety risks.





- 3.5 The Building Safety Case Report summarises the safety case/golden thread at a point in time. The Report will provide the residents and the regulator with the necessary confidence that the Principal Accountable Person and/or the Accountable Person have assessed the risks, taken the necessary precautions and engaged with the residents.
- 3.6 A safety case report for Kenneth Robbins is still to be completed as further items of evidence are needed to ensure all of the risks have been appropriately captured and are being managed.
- Information regarding structure and external walls
  - A Building Safety Risk Assessment taking into account the above
  - The necessary level of competence in the organisation as per PAS 8673:2022
  - Robust Information management (golden thread of information) that ensures all data in relation to the building is digital, relevant and proportionate; is accessible and controlled and is the single source of truth.
- 3.7 In taking the Claims Argument Evidence (CAE) approach the above items will contribute to the body of 'Evidence', necessary as proof to the 'Arguments' which in turn support the 'Claim being made for building safety.
- 3.8 For each high-rise building (HRB) the safety case must convince the regulator that all the risk/hazards have been identified, sufficiently understood, and mitigated for. The buildings risks /hazards will therefore need to be recognised and appropriately mitigated and/or resolved to allow for the building safety case to be sufficiently developed and ready for the regulator.
- 3.9 The current key dates anticipated to be set out by the Regulator are as follows:
- 3.9.1 April 2023 Open register for high-rise buildings
  - 3.9.2 September 2023 All high-rise buildings to be registered with basic information.
  - 3.9.3 Key Building Information (KBI) will then be required to be subsequently uploaded in support of the registration within 28 days of registration.
  - 3.9.4 The detail and requirements of the KBI is set out within the draft The Higher-Risk Buildings (Key Building Information etc.) (England) Regulations 2023, and is predominantly concerning fire safety and structural design and materials along with some aspects of M&E such as energy storage equipment where applicable.

Note: the KBI is generally the information that will allow the creation of the Building Safety Case report.



- 3.10 A target has been set to complete building safety cases for all 44 our HRB's by October 2023. Clarion Housing, as an early adopter in building safety have to date taken 2.5 years to produce their first building safety case; so this is a challenging target.

#### **4. Resident Engagement Strategy**

- 4.1 This strategy sets out the principles we will follow to create working practices and procedures that can adapt to meet the needs of residents in all buildings.
- 4.2 The main aims of this strategy are to make sure of the following.
- 4.2.1 There is a structured process for communicating with residents, which includes how
  - 4.2.2 building-safety information will be shared.
  - 4.2.3 The wide-ranging needs of residents are taken into account.
  - 4.2.4 Residents are safe, and feel safe, in their homes.
  - 4.2.5 Vital information about building safety is shared with residents as a matter of course.
  - 4.2.6 There is an efficient process for gathering and recording feedback from residents to influence this strategy and monitor its effect on building safety.
  - 4.2.7 Appropriately detailed information about building safety is provided to residents as a matter of course, and is available on request, in various ways.
  - 4.2.8 Residents are actively involved in all key stages of the decision-making process relating to the building's safety, particularly in connection with any refurbishment or investment programmes.
  - 4.2.9 Complaints about safety are prioritised and handled effectively and efficiently.
  - 4.2.10 Residents are told about their own responsibilities relating to safety.
  - 4.2.11 How this strategy is put into practice, and how effective it is, is measured and reported to residents.
- 4.3 All our employees, staff, contractors and suppliers need to demonstrate a commitment to engaging with residents in a way that reflects the values set out in the strategy.
- 4.4 As well as identifying residents' needs, concerns and interests, resident profiling will help us to identify any issues that may reduce or prevent engagement and will be carried out at various stages of the tenancy with the tenant's full consent and awareness of the outcomes.
- 4.5 To meet the wide-ranging needs of residents, we will provide various ways to effectively engage with residents. This strategy does not provide a complete list of engagement and communication methods as the intention is to encourage flexibility, where procedures and practices



can be adapted so specific resident needs, such as those relating to disabilities and language barriers, can be met.

- 4.6 When developing this strategy, we consulted residents during face-to-face meetings and group discussions. Residents told us that they would be interested in receiving online updates, followed up with WhatsApp messages, so they receive information straight away. They also liked the idea of having an electronic information screen in reception, which could display messages in different languages.
- 4.7 Some residents told us that they would prefer to receive letters so they have copies of information, but this would be difficult when any updates need to be communicated with residents, especially vital information such as fire escapes not working.
- 4.8 The strategy will come to a future Cabinet and once adopted, it will be implemented and its success and outcomes measured accordingly.
- 4.9 The Major Works investment programme currently being finalised for commencement later this year will be an excellent test for the roll out of the strategy.

## **5. Considerations**

The Committee should consider:

- 5.1 The new Regulatory framework has not yet been finalised or published.
- 5.2 Timescales are extremely tight.
- 5.3 The need to quickly recruit the required staff and resources.
- 5.4 The additional building information required.
- 5.5 The significant work and additional cost placed upon Haringey Council in delivering on the new Building Safety Regulatory Framework.

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## **Property Services Directorate**

### **Managing Building Safety Programme:**

#### **Business Case**

### **Funding to support the development of a Pilot Building Safety Case for**

**28 March 2023**

**DOCUMENT CONTROL****CHANGE HISTORY**

Version	Author	Date	Change
V0.1	Al Parry	08/06/2021	Initial
V0.2	Al Parry	06/10/2021	
V1.0			
Etc.			

**REVIEWERS**

Version	Reviewer	Role	Date
V0.1	Scott Kay	Senior Programme Manager	06/10/2021
V0.1			
V0.2			
V0.2			

**APPROVERS**

Version	Approver	Role	Date
V0.1	Judith Page	Executive Director of Property	
V0.1			

**DISTRIBUTION**

Version	Name	Role
V0.1	--	Programme Management Office
V0.1	Judith Page	Executive Director of Property
V0.1	Puneet Rajput	Executive Director of Corporate Affairs
V0.1	Tracey Downie	Executive Director of Housing Management
V0.1	Denise Gandy	Executive Director of Housing Demand
V0.1	Paresh Chudasama	Head of Transformation and Improvement
V0.1	Bernie Mooney	Senior Programme Manager



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## 1 PROJECT DEFINITION

### 1.1 Description

In partnership with Haringey Council, Homes for Haringey is putting into place arrangements that will assist with implementing the requirements of the Building Safety Bill. The preparation of a coherent building safety case will be of central importance when proving to the regulator that the residents in our high-rise buildings are safe from harm arising from fire and structural risks. It is our intention that risks of harm will be removed or reduced so far as is reasonably practicable.

Homes for Haringey is working to continually improve on the management of building safety for our residents. The development of robust building safety cases for each building in scope with clearly structured and concise safety case reports that prove that the risks (fire and structural) have been identified and removed or controlled, will not only satisfy the HSE's new Building Safety Regulator will give us a better understanding of our buildings, be of reassurance to our residents and inform decisions relating to the future improvement of our assets.

The concept of safety case is firmly embedded within other regulated sectors, i.e., the Petrochemical and Nuclear industries (further examples below) but is a new requirement for the Housing sector. We are keen to ensure that we have robust arrangements in place to support the identification and management of our buildings fire and structural risks 'so far as is reasonably practicable'.

With this in mind we are considering suitable systems as well as external support in the form of training and mentoring from experts with a history of working successfully within regulated industries, to complete a pilot safety case. From there we will independently develop safety cases for each of our remaining blocks in scope.

### 1.2 SAFETY CASE DESCRIPTION

#### A Safety Case (also known as Assurance Case)

The following has been used to describe a safety case.

"the full body of evidence, comprising a comprehensive and structured set of documents. It will often include evidence from test results, detailed safety analysis reports etc. (Ref. MHCLG)

"The safety case is all the information you use to manage the risk of fire spread and the structural safety of your building." (Ref. [HSE](#))"



“A documented body of evidence that provides a convincing and valid argument that a system is adequately safe for a given application in a given environment”. (Ref <sup>1</sup> Adelard Safety Case Development Manual).

With respect to our tower blocks in scope we would be making the claim that each block is safe in terms of the fire and structural risks.

The Safety Case will make a Claim for safety with supporting structured Arguments and Evidence as shown in the images below.

## Safety Case based on a structured argument

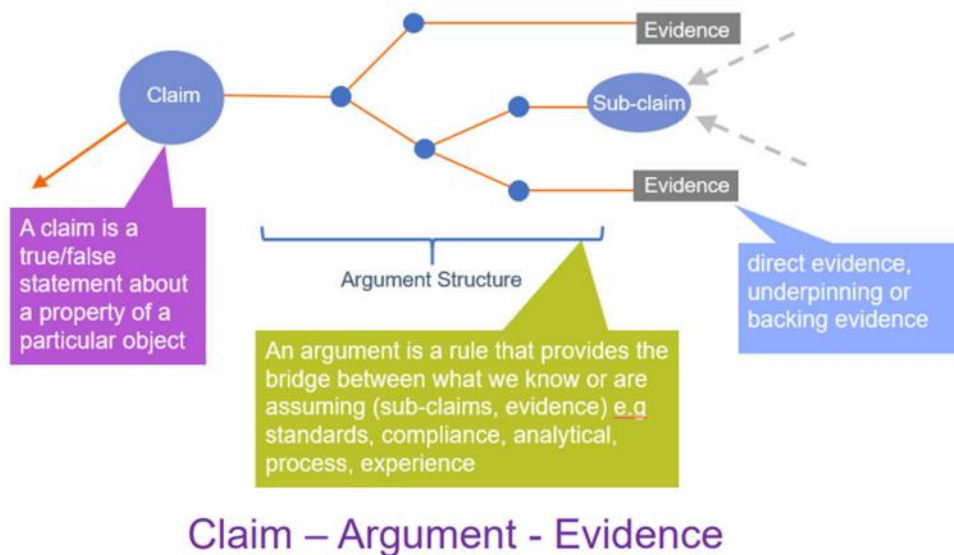


Figure 1

<sup>1</sup> Adelard LLP is an independent product and services company, founded in 1987, that supports its clients in the areas of safety, dependability, security and risk management.



### Goal Structuring Notation (GSN)

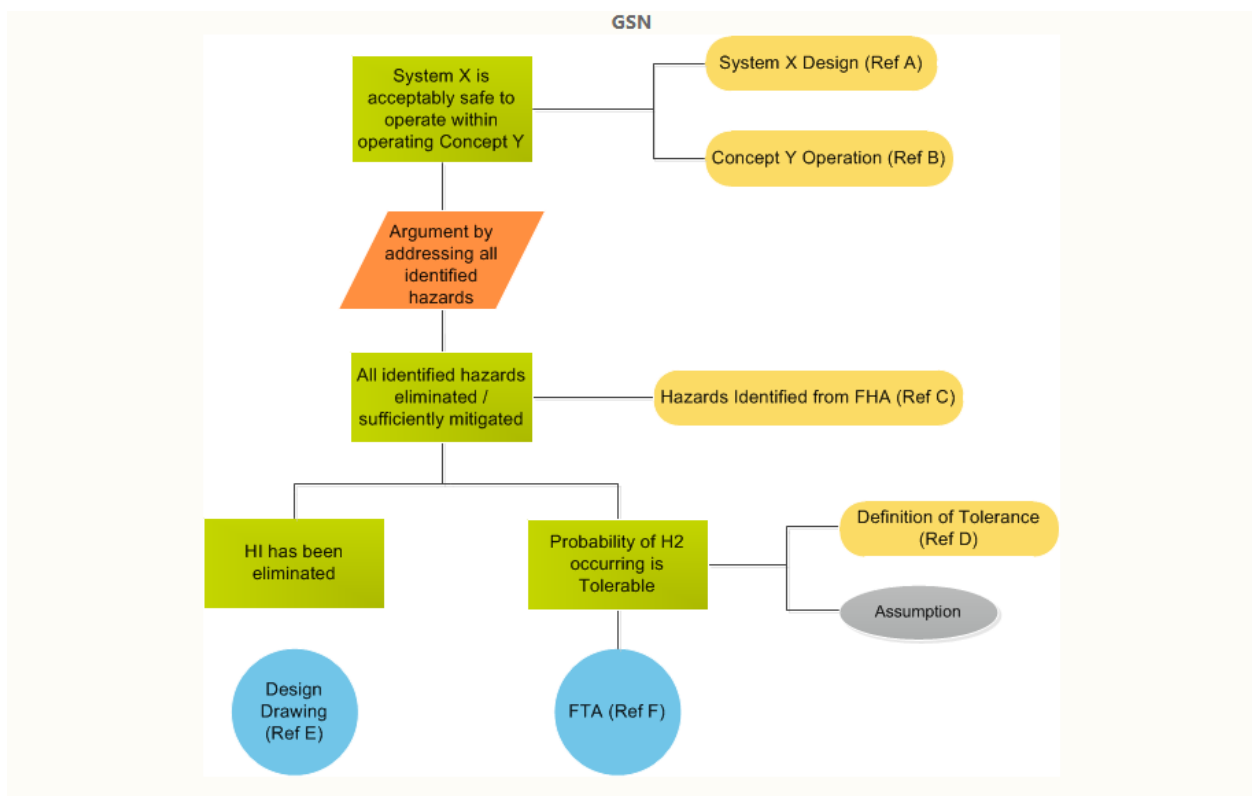


Figure 2



### 1.3 A SAFETY CASE REPORT

A report that summarises the arguments and evidence of the Safety Case, and documents' progress against the safety management plan.

The Health and Safety Executive defines the safety case report as

“a document that summarises your safety case. The safety case report identifies the major fire and structural hazards associated with your building. It shows how you are managing the risks they present, as far as you can, to prevent a major accident. ([HSE 2021](#)).

The success of managing risk through a structured argument approach as shown above can be demonstrated by adoption of the safety case regime across wide-ranging sectors, including nuclear, military, railways, aviation, etc.

As a result of the fire at Grenfell tower in June 2017 that tragically killed 72 people, the Building Safety Bill seeks to overhaul the way in which high-rise residential buildings (HRRB's) will be regulated and managed. This will see the addition of the housing sector to the list of other regulated sectors (mentioned above) who are required to operate within a safety case environment.

The Bill contains a statutory requirement for the Accountable Person to provide a 'Safety Case Report' which demonstrates how building safety risks are being identified, mitigated, and managed on an ongoing basis.

The principal role of the Building Safety Manager (Homes for Haringey) is to support the Accountable Person (Haringey) in the day-to-day management of fire and structural safety of buildings, which includes managing them in accordance with the Safety Case Report for the building and ensuring that the requirements of the Building Assurance Certificate (which is only granted following the acceptance of the submitted safety case report) is complied with.

In anticipation of the Building Safety Bill becoming law some accountable persons have proactively begun the process of re-examining and developing their organisational structures and systems to enable them to successfully discharge the 'new' requirements.

Crucially the Accountable Person will need to prepare a Building Safety Case and Safety Case Report for the scrutiny of the Regulator for each building in scope (7 storeys or 18+ metres in height), identified as high-rise residential buildings (HRRB's).



Some landlords have already begun the preparation of their building safety cases. HfH's Building Safety Manager and the ALMO Client Manager have seen examples from several local authorities and have observed that a variety of approaches are being taken to make their safety argument as listed below.

The approaches observed included:

1. Structured Claims Argument Evidence (as shown in figure1)
2. A PowerPoint document setting out their approach
3. Free text document (appears to be a safety case file using an amended fire safety strategy)
4. Combination of free text, and hazard bow-tie like figure 3 below

*The Bow Tie Methodology for Assessing Risks & Identifying Controls; The diagram is shaped like a bow-tie, creating a differentiation between proactive and reactive risk management giving a simple and visual explanation of a risk.*

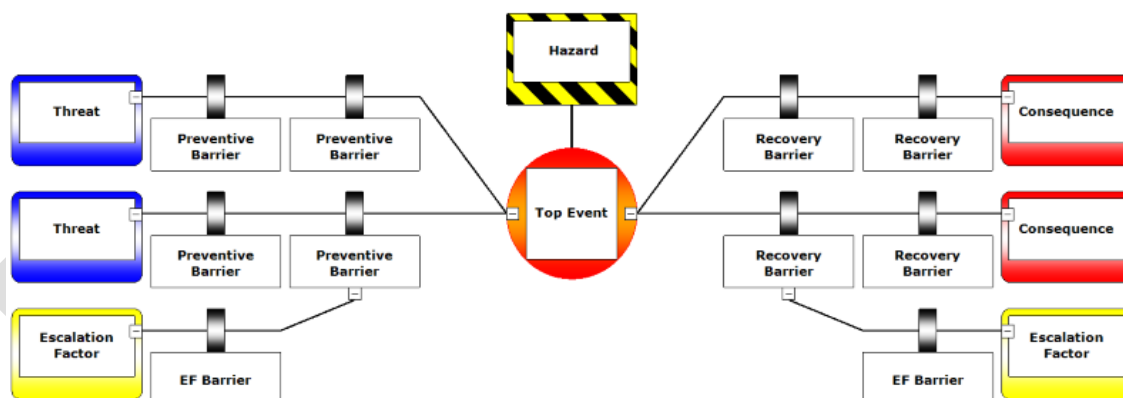


Figure 3

In its recent ebulletin dated 8th September 2021 the HSE published "[Safety case principles for high-rise residential buildings Building safety reform – Early key messages](#)"



It indicates

A safety case report should **not** be, for example:

- a collection of individual reports, compiled without narrative, reference or context
- just a fire risk assessment (although this will form part of a safety case) and nothing else
- a 'one-off' exercise
- a standardised document containing generic information
- an overly technical or complex document
- a set of unsupported claims of safety without evidence
- a 'copy and paste' from another building's safety case: while some features may be common, the hazards and risks may be unique and need to be considered separately
- an administrative hurdle to solely satisfy the regulator and residents, and then be put on a shelf

Safety Case Report – should contain.

- Building description
- the major hazards associated with the building measures are in place to manage, control and mitigate the risks from these hazards, including safety management systems and the physical systems and precautions in the building
- how these measures are maintained.
- what checks you do to make sure the measures will work when they are needed.
- how the safety case is kept up to date (eg, periodic reviews, and before and after major changes, such as when the building is refurbished).

(Ref. HSE 2021)

It also made mention of a “need to provide a reasoned justification and argument to support the statements and claims you make in your safety case report.”

This suggests the Building Safety Regulator will expect to assess safety cases such as those adopting a Claims Arguments Evidence (CAE figure 1) chain of reasoning, or a similarly structured approach such as Goal Structuring Notation (GSN figure 2)

An article written by the risk assurance academic, T. P. Kelly's "Reviewing Assurance Arguments – A Step-By-Step Approach" states the following

*“if the assurance argument isn't already captured in a structured form (such as the Goal Structuring Notation – GSN – or Claims, Argument, Evidence – CAE it can often be useful to attempt to re-represent the argument using one of these notations.*



*Constructing such a representation of the argument structure can be the 'acid test' of whether the reader truly understands the nature of the argument being presented."*

*[\(Ref. T.P. Kelly Department of Computer Science University of York\)](#)*

HSE have been assessing assurance/safety cases including Claims Argument Evidence (CAE) and Goal Structuring Notation (GSN) submissions in other regulated sectors for some time and are therefore more familiar with these formats.

The examples used in the development of the building safety case includes:

1. To collate a schedule of documents relating to the building's construction and evidence of on-going PPMs applicable to both the communal areas and dwellings. This method was firmly rejected when submitted by early adopters as it does not meet the recently published criteria or expectations of the regulator.
2. The production of a detailed fire safety file/strategy relying predominantly on the FRA and referencing the appropriate documentary evidence in support of the strategy's stated management of risks.
3. To utilise the CAE model as it is recognised and good practice approach for developing the safety case, supporting evidence and safety case report,

It is recommended that Option 3 is adopted as this meets the accepted standards for safety cases and is compliant with the guidance set out above.

#### **1.4 SUPPORT SYSTEMS**

We need to be able collate, access, and manage all of the information required to evidence our claims on a building's fire and structural safety.

Options for developing the safety case and the supporting evidence mentioned above can be implemented in the following ways.

1. Develop our own workflows, processes and procedures that will ensure all relevant building information is captured and that the information is indexed and stored securely on our existing databases and filing systems so that it can be accessed by those who need to see it (e.g. the residents, the regulator, staff, LFB, & Councillors etc). This would still require the structuring of a safety case document that brings all of the information





together to create the structured argument for the stated safety of the building and would form the basis for the safety case report which would also be required to be written.

2. Develop our own workflows, processes and procedures that will ensure all relevant building information is captured and that the information is indexed and stored securely on a suitable document management system if unable to identify a suitable repository from within our existing data infrastructure/environment. This would still require the structuring of a safety case document that brings all of the information together to create the structured argument for the stated safety of the building and would form the basis for the safety case report which would also be required to be written.
3. To procure an end-to-end software solution that guides us through the process and provides a suitable repository through direct storage and/or hyperlinks to the relevant documentary evidence bank. This would incorporate and produce the structured safety case document that brings all of the information together and the safety case report for issuing to the regulator.

It is recommended that Option 3 be adopted. The potential costs are set out later in the business case.

## **1.5 PILOT SAFETY CASE & REPORT.**

The options for developing the pilot safety case and report are as follows.

1. Develop, train and task in-house staff utilising existing guidance and identifying suitable training programmes and materials.
2. Collaborate with peer organisations and adopt current methodologies, where possible learning from mistakes already made and maximising opportunities to utilise existing templates and formats where available. Bearing in mind this is new to the sector and there are not yet any confirmed self-developed examples that have proved acceptable.
3. Recruit experienced safety case expertise, bearing in mind the demand and potential costs in securing such resources on a permanent or temporary basis.
4. Bring in external expertise who would work with staff to train them in the development of the pilot safety case and use of the software solution. Following this, in-house resources would be suitably equipped to produce further safety cases for the in-scope buildings.

It is recommended that Option 4 is adopted. Whilst it is conceivable that we could prepare safety case and reports without the involvement of safety case expertise it is considered that collaboration with a subject matter expert would be more efficient and help to uncover blind-spots and challenge our current customs and practices.





It is reasonable to anticipate that the Building Safety Regulator will be critical in their assessment of building safety cases provided by the Accountable Person therefore it is considered prudent to develop our pilot building safety case with those who have experience and knowledge of what regulators expect to see in it. The potential costs are set out later in the business case.

## **1.6 PROCUREMENT.**

Given the specialist nature of this new requirement, our ability to select the best support provider is limited. We have however identified as an example, Adelard who are safety and assurance experts with many years of experience in assisting clients through safety case development. Following Dame Judith Hackitt's Independent Review of Building Regulations and Fire Safety, Adelard has been working collaboratively with other housing sector professionals to help them understand safety cases and how best to develop and deploy them within their organisations and adopt best practices.

We therefore recommend that Adelard are engaged to support HfH through the development of the Pilot Safety Case and Safety Case Report, as the ability to undertake any meaningful competitive procurement exercise is limited by both the market availability and our own in-house knowledge from which to structure the relevant technical specifications and tender documents.

## **1.7 THE REQUIREMENTS:**

- To agree to the recommended methodology for developing the building safety case being that of structured Claim, Argument & Evidence (CAE).
- To fund the cost of a pilot building safety case management system, the Building Safety Manager will be responsible for the successful delivery of this pilot.
- To fund the cost of support and training during the pilot from an external safety case expert with significant experience of working with Regulators in a safety case environment and in coaching housing providers. Training to be provided to nominated officers within building safety team.
- To agree the chosen method of procurement for both the system and the training provider. Note, given the approximate overall cost involved, it is recommended that this is undertaken through waiver to initiate a direct award, that will ensure both



speed of process and that only those with sufficient experience and expertise are engaged.

## **1.8 PERFORMANCE REQUIREMENTS.**

The following sets out the required performance specifications.

## **1.9 BROAD SPECIFICATION**

The safety case system and provider will offer the following features and benefits.

- The Assured Safety Case Environment (ASCE) software will be provided independently of any contract for training and technical support.
- Software as a Service will be procured, ensuring that the data remains HfH's intellectual property and provides flexibility to migrate to any future system as and when required in accordance with the terms and conditions of the licence (e.g., notice periods).
- The training and support will be for a fixed period with an option to extend if required.
- Training and support in safety case development.
- The ability to show the entire safety case argument diagrammatically
- Produce conventional reports in word /pdf or as HTML documents for downloading, printing and/or web browsing as and when required for any building where a safety case has been developed.
- Document Management by HfH - dynamic and traceable document and web links
- Can highlight changes in the underlying documents to allow users to assess the effect of the change on the safety case.
- The ASCE software adheres to the structured argument approach that meets the requirements as set out above. It also offers a choice of safety case (assurance case) methodologies as previously described.



The use of **CAE** (Claims Argument Evidence), **GSN** (Goal Structuring Notation) or **Bow-Tie** notation supports the application of a methodical process and provides a more transparent way of working. Use of these notations encourages early identification of gaps in procedures, training etc, as well as helping to identify logical fallacies in the safety argument, or missing evidence which was erroneously believed to exist. Using ASCE allows you to communicate and justify (safety) compliance with the appropriate regulations. (Ref. [Adelard](#))

- Able to operate within a secure virtual private network (VPN) environment.
- Allows for collaborative working.

#### 1.10 A SUMMARY OF THE WORK PACKAGE AND MILESTONES:

items	Description	Outputs
1.	Safety Case training and ongoing coaching delivered by an expert in this field to key HfH personnel who will be required to assist and provide content on elements within the pilot Building Safety Case.	<ul style="list-style-type: none"> <li>• Develop internal awareness and competencies.</li> </ul>
2.	A Pilot Building Safety Case and Report for a nominated high-rise residential building	<ul style="list-style-type: none"> <li>• A forensic examination of the building's risks and of the actions required to make the case that the building is safe.</li> <li>• This will be in an established format that has been proven to be acceptable to regulators i.e., Claims-Argument-Evidence.</li> <li>• Reveal blind-spots and gaps for corrective actions.</li> <li>• The development of templates that can be adapted as the basis for other building safety</li> </ul>



		cases and building safety case reports
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### 1.11 Objectives

The objective of this pilot is to introduce a building safety case management system and model within HfH to facilitate the in-house production of future building safety cases and building safety case reports together with the development of templates/ procedures.

## 2 COSTS

This request will fund a collaboration with industry experts Adelard to provide us with safety case training and support on the Assurance Safety Case Environment (ASCE) software, for a period of up to 6 months.

***Undertake the pilot project using appropriate software with an external safety case specialist working alongside the BSM and internal staff.***

Approximately 30 days of consulting

Training costs are charged per person on ASCE (Assurance and Safety Case Environment) training course over 2.5 days. We have allowed for up to 5 delegates.

*Option A - Cost of a single ASCE license, i.e., only one user can use the system at a time, (annual support cost is additional to the license fee)*

*Option B - Floating licence allowing multiple simultaneous users (TBC if required) can be purchased (annual support cost is additional).*

Option A is recommended with option to upgrade when required, subject to further business case.



Item	Cost
Consultancy fee (Adelard)	£1000 per consultant /day Max £30,000
ASCE Training Cost over 2.5 days	£1,150 per person (x5) Max £5750
ASCE (Assurance and Safety Case Environment) Software a single ASCE license	£5,400 (with a £1,080 annual support cost)=£6480
<b>Option A Total year 1 cost</b>	<b>£42,230.00</b>
Floating ASCE license	£9,000 (£1,800 annual support cost) = £10,800
<b>Option B Total year 1 cost</b>	<b>£46,550.00</b>

## 2.1 Benefits

The delivery of the programme with support from industry experts and using a suitable proprietary system will achieve a number of specific benefits around our statutory and compliance obligation such as:

- Improving the safety of our residents living in our high-rise residential buildings (HRRB's) and our ability to provide the information and reassure our residents
- Improving organisational knowledge and capabilities in a cost-effective way
- Enabling us to develop sustainable internal competence in the preparation and maintenance of suitable and sufficient building safety cases.
- Improving our ability to make a case for safety and demonstrate to the regulator that we have identified and understood the risks of harm associated with our HRRB's and have taken steps to eliminate or reduce those risks both immediately and in the future.
- HfH will be able to demonstrate alignment with industry best practice, MHCLG guidance and adherence to the Building Safety Regulator's requirements.

## 2.2 Timescales

The estimated time to complete the pilot is approximately 6 months from appointment of the Consultant.



### 2.3 Cost Benefit analysis

It is not possible to complete a thorough cost benefit analysis for this project in monetary terms.

### 2.4 Risk associated with alternative approaches

Implementing this programme in the proposed manor will mean that we are demonstrating our willingness and ability to effectively meet the building safety management measures and a commitment to achieving the highest standards of safety for our HRRB's as is currently the case in other regulated sectors

To take a DIY approach without expert oversight of what is a new requirement for the Housing sector comes with the inherent risks of failing to meet the requirements of the Regulator and further delay.

To maintain the status quo is not an option and would have far reaching consequences as failure to comply with regulation will expose the organisation to several risks & consequences including:

- Harm to the health and safety of residents, visitors, and staff
- Significant fines or even custody
- Reputational damages
- Poor customer satisfaction

## 3 RISK LOG

### 3.1 Risk Log

Risk Description	Owner	Impact (H/M/L)	Probability (H/M/L)	Mitigation Plan
IF the programme is unable to deliver on requirements due to lack of specialist staff resources (in sector), THEN the organisation will not meet its Legal/Regulatory obligations around Managing Building Safety and align the	Judith Page	H	H	Allocate sufficient time and resources and acquire suitable expertise to support the work associated with a new regulatory requirement within the housing sector.



outcomes of the project to the overall organisational Change objectives set out by the Core Group leading on to further organisation reputational damage				
IF there is no system or infrastructure in place to standardise, systematically produce and maintain safety cases and safety case reports for our high-rise buildings to the required standards THEN HfH will fail to make its case and assure the Regulator that we are effectively managing fire and structural risks to residents within our HRRB's.	Scott Kay	H	H	Allocate sufficient time and resources and develop and implement suitable systems to facilitate the work associated with a new regulatory requirement within the housing sector

**\* Key: H = High; M = Medium; L = Low**

## 4 COMMENTS

### 4.1 Financial

The associated cost is not able to be capitalised under the current capitalisation policy.

At budget setting the provision for additional money of up to £1m, to be made available to complete our obligations in relation to fire safety, was agreed with Robbie Erbmann AD for Housing.



## 5 AUTHORITY TO PROCEED

### 5.1 Sign-Off

Sign-off

.....

**Judith Page**  
**Director of Property**  
**Services**

Sign-off

.....

**Robbie Erbmman**  
**AD for Housing**

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Homes for Haringey

**BUDGET PRO FORMA****APPENDIX 1**

**Haringey Council Summary Project Budget by Year-** The table below is based on a construction project. Project Managers should change the budget lines with appropriate costs for their project.

<b>Revenue Description</b>	<b>Year 1 £'000</b>	<b>Year 2 £'000</b>	<b>Year 3 £'000</b>	<b>TOTAL</b>
Staff Costs – Professional	29,750	6,000	0	0
Staff Costs – Contractors	0	0	0	0
Staff Costs – Internal	0	0	0	0
Equipment	6,480	6,480	6,480	0
<i>Add further lines</i>				0
				0
				0
				0
<b>Total Revenue Budget</b>	<b>36,230</b>	<b>12,480</b>	<b>6,480</b>	<b>55,190</b>



# Homes for Haringey

## Detailed Project Cost Plan

Revenue	Year1 Budget – Monthly Profile £'000											Year 1	
Description	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Sub-Total
Staff Costs – Professional								3000	3000	6000	6000	11750	29750
Staff Costs – Contractors													
Staff Costs – Internal													
Equipment									6480				6480
<i>Add further lines</i>													
<b>Total Revenue Budget</b>								3000	9480	6000	6000	11750	36230

Use the table below to state sources of funding over the lifespan of the project.

Source of Funding (state internal or external)	Year 1 £'000	Year 2 £'000	Year 3 £'000	TOTAL
Internal (HRA)	36,230	12,480	6,480	55,190