

FAREHAM

BOROUGH COUNCIL

Report to Audit and Governance Committee

Date: 25 September 2017

Report of: Director of Finance and Resources

Subject: RISK MANAGEMENT MONITORING REPORT

SUMMARY

In March 2017, the Audit and Governance Committee approved a new Risk Management Policy based around a set of principles rather than a formal framework of registers. The policy requires evidence of risk management to be compiled every six months as proof that the policy is effective. This is the first six-monthly report under the new policy.

RECOMMENDATION

That members review the report as a source of evidence that the current Risk Management Policy is operating in practice.

INTRODUCTION

1. In March 2017, the Audit and Governance Committee approved a new Risk Management Policy (see copy in Appendix E) based around a set of principles rather than a formal hierarchy of registers. Under the new process risks are being managed as an integral part of basic everyday management and decision making and not by maintaining lists of risks and risk assessments.
2. Work has commenced to communicate the expectations of employees under the Policy, starting with coverage at the Managers' workshop on 12 July 2017.
3. Under the new process, discussions are held with managers to gather evidence that the new policy is being implemented and that risks are being actively managed. In particular the policy would be considered to be effective if managers are able to cite examples of:
 - (a) What their top risks are and any new or changes in risks and opportunities that have occurred in the year
 - (b) Actions that have been taken in the year to mitigate risks
 - (c) Incidents that have occurred and action taken to manage the incident and prevent a repeat
 - (d) Risks and solutions shared with other services in the Council or discussed with Council experts in that subject.
4. This report summarises the evidence gathered from the first round of discussions held during August 2017.

MANAGERS COVERED BY THIS REPORT

5. Discussions are to be held every six months with half of the Heads of Service in the Council, so each manager is interviewed once every year. The Heads of Service covered in the 2 sets of interviews each year are listed in the table below: this therefore highlights those services covered by this report.

Managers Interviewed August 2017	Managers to be Interviewed for next report
Head of Development Management	Head of Planning Strategy & Regeneration
Head of Building Control	Head of Environmental Health
Head of Parking and Enforcement	Head of Leisure and Environmental Services
Head of Housing, Revenues & Benefits	Head of Corporate Services
Head of Finance and Audit	Head of Property / Estates
Head of Human Resources & ICT	Head of Democratic Services
	Head of Coastal Partnership
	Welborne Strategic Lead

STRUCTURE OF THE EVIDENCE GATHERED

6. Detailed notes were taken of each discussion. The topics of the discussion are listed in [Appendix D](#). The highlights across all six discussions are summarised in

Appendices A to C using 3 evidence themes of:

- (a) New actions taken anticipating risks or opportunities
- (b) New actions taken reacting to risks or incidents
- (c) Risks where action is still needed

RISK ASSESSMENT

- 7. There are no significant risk considerations in relation to this report

Appendices:

A - Examples of new actions taken anticipating risks or opportunities

B - Examples of actions taken reacting to risks or incidents

C - Risks noted where further actions are still needed

D - Detailed List of Risks, Opportunities and Actions Covered in the Manager Discussions

E – Risk Management Policy

Background Papers: None

Reference Papers:

Report to Audit and Governance Committee on 13 March 2017 on the Revised Risk Management Policy

CIPFA / SOLACE - Delivering Good Governance in Local Government Framework April 2016 Edition

Enquiries:

For further information on this report please contact Elaine Hammell. (Ext 4344)

Examples of new actions taken anticipating risks or opportunities

<p style="text-align: center;">Threat of Terrorist Attack</p> <p>Following the Manchester Arena attack, the government increased the terror threat to critical for 2 days.</p> <p>The council already has a ‘move to critical’ plan consisting of 6 phases. Any change in the level of the threat is discussed with the Chief Executive Officer and the Emergency Planning officer and briefings are received by the area security team.</p> <p>Additional Actions taken</p> <p>Corporate – Co-ordinating group set up to see if the Council needed to take special measures during the threat.</p> <p>Corporate – Temporary restrictions put in place in Civic Offices involving checking identity of visitors and requiring all guests to be accompanied.</p> <p>Emergency Planning – Attendance at Hampshire awareness briefing (Project Griffin) on terrorism threats and attended webinars.</p> <p>Corporate – Election officer training of actions to take in the event of a terrorism alert</p>	<p style="text-align: center;">Learning from Grenfell Tower Disaster</p> <p>The Grenfell Tower fire occurred on 14 June 2017 at the 24-storey Grenfell Tower block of public housing flats in North Kensington leading to at least 80 deaths. The cladding on the building has been blamed for the spread of the fire and there has been public criticism over alleged cost saving in respect of social housing, and the local and national government’s response to the incident.</p> <p>Examples of Actions taken</p> <p>Corporate – Corporate working group set up co-ordinating all the streams of activity of the Council, and responding to government enquiries.</p> <p>Corporate – Reviewed how the Council has responded in local emergencies.</p> <p>Corporate – Special Council Housing Tenants newsletter issued to reassure them of the fire safety work we do and the absence of similar cladding. Reiteration of fire prevention practices tenants can follow.</p> <p>Property – Hants Fire and Rescue reviewed the fire arrangements for the Civic Offices and resulting assurances provided to tenants of the building. Second visit rehearsed ability to move around the building.</p> <p>Property – Fire risk assessments revisited including high and low rise residential and operational buildings and any gaps in process (e.g. smoke detector testing by tenants) addressed.</p> <p>Building Control – Part of joint response team assisting other agencies to review safety of tower blocks across the partnership. (1 in Fareham – First Wessex building - but 70+ in Portsmouth).</p> <p>Building Control – Keeping up to date with the debate about how to interpret the ‘approved document’ guidance in relation to cladding and fire risks.</p> <p>Development Management – Liaising with Hampshire Fire and Rescue Authority to review their involvement in planning applications involving tower blocks / cladding.</p>
<p style="text-align: center;">Welborne Planning Application</p> <p>In order to manage the overriding risk of non-delivery of the Welborne Plan the Council has been progressing a procurement process for a delivery partner. A planning application from a major landowner outside of this process has also</p>	<p style="text-align: center;">Failure to meet the statutory deadlines for the Closure of accounts</p> <p>The Accounts and Audit Regulations stipulate the deadline by which the draft Statement of Accounts has to be produced and published, and the external audit of the accounts completed.</p>

<p>been received which needs timely due consideration in the same manner as any other application.</p> <p>Actions taken</p> <p>Corporate – Team considering the planning application being kept separate from the procurement process.</p> <p>Development Management – Pre-application advice provided to landowner.</p> <p>Development Management – 2 dedicated posts maintained in the service to resource this work, and resources reallocated when a post holder left.</p>	<p>From the 2017/18 accounts onwards the Council is required to have the draft accounts ready a month earlier (end of May 2018).</p> <p>Additional Actions taken</p> <p>Finance – Dry run through carried out for the 2016/17 accounts.</p> <p>Finance – Process reviewed to identify where delays occur. Where these relate to information provided by other services meetings were held to explain the new pressures and muster support to meet the new deadline.</p> <p>Finance – Accountants meeting held to make sure everyone clear what actions in the timetable they were responsible for and when they were needed.</p>
<p style="text-align: center;">Threat of Cyber Attack</p> <p>Cyber-attacks are growing more frequent, sophisticated and damaging if they succeed. GCHQ continue to see real threats to the UK on a daily basis, and the scale and rate of these attacks shows little sign of abating. In particular the NHS suffered a global ransomware attack in May 2017, blocking access to files on computers at hospitals and GP surgeries.</p> <p>The Council therefore works to have multiple layers of security mechanisms to reduce Fareham Borough Council's exposure to such malicious attacks.</p> <p>Additional Actions Taken (Non-specific for security reasons)</p> <p>ICT – ICT Security Officer employed in last year</p> <p>ICT - Security being embedded in new technology projects such as the move to Cloud Technology</p> <p>ICT – Pro-active Security Governance reviews to maintain and strengthen controls</p> <p>Corporate - Business Continuity planning</p>	<p style="text-align: center;">Scheduled Power Outage</p> <p>Due to legal requirements for periodic electrical testing, the electrical power to the basement and Floor1 (ICT services) needed to be turned off. This could have led to a risk of hardware or system failure when the power was restored.</p> <p>Examples of Actions taken</p> <p>Property – Work scheduled for early Saturday morning with contractor on site. Communication with other tenants in the building.</p> <p>Corporate – Communication webpage set up</p> <p>Corporate – Review of Business Continuity Plans and collation of priority services and telephone numbers</p> <p>ICT – Early communication with services and updates sent after the power was restored.</p> <p>ICT – Testing disaster recovery plan</p> <p>ICT – Scenario analyses to try and understand what the consequences would be if there was a problem and contingency arrangements put in place.</p> <p>Finance – Alternative methods of payment set up in case the cash office system failed. Included tablet to use on-line payment or telephone payment facilities, and arrangements with Ferneham Hall to use their chip and pin facility.</p> <p>Building Control – Liaison with key customers making sure they know mobile numbers of surveyors Printed off pre-booked inspection schedule and documentation needed for live projects.</p>
<p style="text-align: center;">Increase in the cost of catastrophic injury settlements</p> <p>During the last insurance tender, the indemnity limit for catastrophic injuries was reduced from £40million to £25million to bring us in line with other members of the joint tender. There has been a legislative change increasing the amount that could be awarded to reflect the fact there is</p>	<p style="text-align: center;">Loss of PSN Compliance Certificate</p> <p>The Public Services Network (PSN) is the UK government's high-performance network, which helps public sector organisations work together, reduce duplication and share resources. In order to use the network, and use the government and law services available through it (e.g. Department of Works and Pensions), the Council has to</p>

<p>limited interest being earned on lump sums awarded, which is expected to fund the cost of care over the person's lifetime.</p> <p>Actions taken</p> <p>Finance – Further cover up to £40million purchased.</p>	<p>demonstrate continual compliance with the security standards set by the government.</p> <p>Additional Actions taken</p> <p>ICT – Maintaining compliance we already have.</p> <p>ICT – Regular contact with the Cabinet Office to keep them up to date.</p>
<p style="text-align: center;">Impact of Apprenticeship Levy</p> <p>From April 2017 the government has introduced the apprenticeship levy, a compulsory tax on employers to help fund the development and delivery of apprenticeships.</p> <p>FBC is required to pay the levy of 0.5% of the pay bill whether or not we employ apprentices. The payments are made to a virtual account which can only be used to offset the specific training costs provided to apprentices and cannot be used to pay other employment costs such as their salary.</p> <p>There are penalties for late payments of the tax. The government has also set us a target for the number of apprentices we need to employ and there is a reputational risk if we are not seen to be doing the right thing in terms of our apprenticeship obligations.</p> <p>Actions taken</p> <p>HR – Registered on the on-line system to manage our payments in and out.</p> <p>HR – Liaising and creating links with training providers (e.g. colleges)</p> <p>Finance – Arrangements made to make the monthly levy payments</p> <p>HR – Briefed CXMT to review desired approach to apprentices</p> <p>HR – Report scheduled to go to the Executive.</p>	<p style="text-align: center;">Impact of Tax Legislation Changes (IR35)</p> <p>The Intermediaries Legislation was introduced in 2000 to tackle so-called 'disguised employment', where individuals use their own limited companies to carry out professional services, but operate in a manner more akin to a traditional 'employee', and therefore should be making PAYE and NI contributions.</p> <p>The IR35 rules changed for the public sector in April 2017. This requires councils to carry out an employment status test of people providing a service through Public Service Companies. If the test indicates the relationship as an employment relationship then we may be required to deduct PAYE and NI from their payments.</p> <p>The Council does engage some resources that fall within the remit of IR35, mainly as a way of engaging specific skills it needs. As well as the risk of non-compliance, the new rules also have the potential risk to services of loss of expertise if a specialist decides to walk away, or the risk of an increase in contractors' rates.</p> <p>Actions taken</p> <p>Finance and HR – Reviewed all current workers engaged as consultants and assessed using the HMRC ESS tool.</p> <p>Finance – Evidence saved on the assessments we carried out ready for HMRC inspections</p> <p>Finance – Briefed CXMT, HR and Finance Business Partners on what questions to ask and what contracts need to say before engaging any further resources through intermediaries.</p> <p>Finance – Checked current consultants are aware of new IR35 requirements.</p>
<p>Ability to Recruit / Impact of Living Wage</p> <p>The Council has an on-going risk to manage concerning our ability to recruit skilled staff in a competitive market. We therefore keep our salary scales under review to ensure they remain competitive and implement policies such as enhanced incentives for hard to recruit to posts.</p> <p>The new mandatory National Living Wage (NLW) came into force in October 2016, requiring</p>	<p style="text-align: center;">Impact of Homelessness Reduction Bill</p> <p>The Homelessness Reduction Act has now received royal assent and is likely to come into force in April 2018.</p> <p>The Act places a new duty on local authorities to help prevent the homelessness of all families and single people, regardless of their vulnerability, who are eligible for assistance and threatened with homelessness.</p>

<p>employers to pay workers aged 25 and over at least the required rate (currently £7.50 an hour) with a target to reach £9 an hour by 2020. This has a financial risk to the council of increased employee costs. Penalties up to £20,000 per employee are in place for non-payment of the NLW.</p> <p>Actions being taken</p> <p>HR – Keeping abreast of market salary and benefits</p> <p>HR and Finance – Restructured salary scales to identify impact of the living wage</p> <p>HR – Keeping clarity between salary due to job size of post and salary due to living wage</p>	<p>Actions taken</p> <p>Housing - All members of the Housing Options team will attend a full day training session, delivered by an external consultant in November. This will be supported by further in-house learning opportunities. There will also be shared learning opportunities utilising on-line resources and working with other professionals to help prepare for the changes</p> <p>Housing - We have recruited an additional full-time member of the Housing Options team to increase the capacity of service to cope with the anticipated increase in demand and workload</p> <p>Housing/ICT - Reviewing the ability of current system to support the administrative burdens of the new Act. Arranging to meet with other providers to consider alternative options.</p>
<p>Safety of Temporary Demountable Structures</p> <p>The Building Control Service provides advice to the Safety Advisory Groups when they are organising events which may involve the use of temporary demountable structures. This is to ensure that the Health and Safety of the public at the event has been considered. The number of these events across the partnership has increased particularly since Portsmouth joined. This has had a resource implication for the service and the service needed to make sure they were consistent in the checking they did before they signed off an event.</p> <p>Actions taken</p> <p>Building Control – ‘Checking Policy’ and process drawn up for each of the Councils.</p> <p>Building Control – Fee introduced for this work.</p>	<p>Community Infrastructure Levy</p> <p>The Community Infrastructure Levy (CIL) is a planning charge on new development that generally involves a net increase in building floor space, to fund infrastructure. The Council adopted a policy to charge this levy from May 2013. Since this time the Council has raised over £6 million in levies. There is an inherent risk of failure to collect monies due to the Council, which needs to be managed.</p> <p>Additional Actions taken</p> <p>Development Management – The service identified that they were receiving a high number of telephone queries about the CIL letters being sent out. The letters have therefore been shortened and reformatted to make sure they are clear on who owes what payments, and when the payments are due to the Council.</p>
<p>Virtual Residents Permits (Opportunity)</p> <p>We are looking to move away from paper copies of residents’ permits and visitors passes which suffer from getting lost or incorrectly displayed. The new system would allow customers to apply on-line and be included in a database available to the enforcement officers. This should result in a reduced cost of administering the permits.</p> <p>Actions being taken</p> <p>Parking and Enforcement – Discussions being held with parking software provider on how to implement the new system</p> <p>Parking and Enforcement – Discussions being held with ICT security officers, Council data controllers and data protection advisers on the use of council data to verify residency in the borough.</p>	<p>Charging for Pre-Application Advice (Opportunity)</p> <p>We currently charge a fixed fee for pre-application advice. It has been identified that the fee we charge is low compared to others in Hampshire Councils and is not covering the cost of the service.</p> <p>Actions taken</p> <p>Development Management – New way of calculating charge, including on-costs, has been introduced for larger schemes.</p> <p>Development Management – Report to be reviewed by Planning Committee on general increase in pre-application charges.</p>

Examples of actions taken reacting to risks or incidents

<p style="text-align: center;">Suspected Arson in Council House</p> <p>In July 2017 a fire started in a council flat in Portchester which spread to neighbouring roof space. The fire may have been started by a disgruntled tenant who was due to be evicted later that week. There was a multi-agency approach to tackle the fire and manage the tenant who was also threatening people.</p> <p>Actions taken</p> <p>Emergency Planning – Dispatched quickly to site and liaised with other emergency services and made sure officers were visible to assure other people at the scene.</p> <p>Corporate – Multi-disciplinary group set up to plan response and foresee people’s needs.</p> <p>Housing – Promptly allocated a single point of contact for tenants and maintained an on-site presence to keep everyone informed, and hold conversations</p> <p>Housing – Alternative accommodation secured for families unable to remain in their homes and advice provided to meet their needs e.g. storage of belongings, provision of white goods</p>	<p style="text-align: center;">Fire at Council Depot</p> <p>In June 2017 a fire broke out in a refuse lorry at the Council’s depot. Employees of “Speedy Hire” (next door to us on the estate) saw the smoke, and used a fork lift truck to enter our compound and tackle the fire with two extinguishers. They also called the fire brigade, who attended shortly after to deal with the incident which took over an hour to bring under control.</p> <p>The fire appeared to have been an electrical fire that started behind and below the engine area.</p> <p>Actions taken</p> <p>Emergency Planning – The duty Out of Hours Officer attended to co-ordinate the councils response.</p> <p>Street Scene – Visual checks carried out of other vehicles at the depot shortly after the fire.</p> <p>Street Scene – Parking arranged at the depot so vehicles now parked in groups to stop fire being able to spread across the whole fleet.</p> <p>Street Scene – Independent assessment carried out by a fire assessor who diagnosed the cause of the fire (four battery system on hoist which had complicated and poorly routed wiring).</p> <p>Street Scene – Three vehicles also with hoists have been modified to a 2-battery system with less wiring.</p>
<p style="text-align: center;">Paint Attack in Reception</p> <p>In November 2016 a member of the public entered the Civic Offices reception, threw black paint around and then left. The reason for the attack is unknown.</p> <p>Actions taken</p> <p>Corporate – Incident referred to the police to try and identify perpetrator.</p> <p>IT – Images from CCTV circulated to tenants of the building to try and identify the customer and why he may be unhappy.</p> <p>Corporate – Reviewed CCTV coverage in the reception area and invested in new cameras which provide better images and provide better coverage than the previous cameras .</p> <p>Corporate services – Procedures for CSC staff to follow during an incident were revisited.</p>	<p style="text-align: center;">Threat of withdrawal of BACS Provider</p> <p>The Council currently uses BACS in a number of ways to make payments and receive income. A number of BACS internet security changes came into force in June 2016. To address these we are working on a project to upgrade the software we use for BACS transfers. Due to the demand for the upgrade the software provider gave us a temporary fix to make the old software compliant. At the end of June we received notification that the fix had expired as we had not completed the upgrade. There were a number of BACS transfers scheduled in the next few days, including the monthly council tax collections.</p> <p>Actions taken</p> <p>ICT – Quickly alerted finance of the problem</p> <p>Finance – Authorisation given to approve payment to BACS provider for temporary extension with effect from that Friday</p> <p>Finance – Summary requested of the incident presented to the 2 Heads of Service affected</p>

	<p>Finance / ICT – Agreed lead officer for the upgrade project and key officers from both teams assigned to support the project</p> <p>Finance / ICT – End of extension deadline being closely monitored</p>
<p>Power Outage in Market Quay Car park</p> <p>In March 2016 a vehicle crashed into one of the cameras in the Market Quay car park resulting in a power outage to some of the equipment, including lighting, barriers and pay machines.</p> <p>Actions taken</p> <p>Parking and Enforcement – Car park closed on day of incident whilst SSE, FBC electrician and machine maintenance company investigated the problem.</p> <p>Parking and Enforcement – Although not resolved, car park opened the following day (market day) and drivers allowed to park for free whilst the problems were resolved.</p>	<p>Traffic Management Service</p> <p>Since 2009 the Council has undertaken traffic management responsibilities on behalf of Hampshire County Council through a formal agency agreement under the Traffic Management Act.</p> <p>The funding received for this service only partly covered the costs of providing the service such that the council was subsidising the service by an additional £6,000 per year. However, the County Council gave notice of their intention to reduce the funding further which by 2018/19 would have required FBC to subsidise the service by at least £59k a year.</p> <p>Actions taken</p> <p>Parking and Enforcement – Partnership agreement with HCC, for the management and implementation of traffic regulation orders, was terminated.</p> <p>Corporate – Communication with members to clarify how to make enquiries now.</p> <p>Corporate – Budget set to continue to provide speed limit reminder signs and temporary road closures and identified the FBC service to take on these responsibilities.</p>
<p>Parking Issues</p> <p>Off-street parking is a significant source of income to the Council (£1million). There have been problems with the performance of the parking payment machines and barriers in the last 1-2 years leading to customer dissatisfaction, reduced income collected and work created for the out of hours service.</p> <p>There have also been some problems with the arrangements in place to empty and bank the income collected in our parking machines.</p> <p>Actions being taken</p> <p>Parking and Enforcement - Proactive actions being taken to tackle the problems.</p>	<p>Delays in Introduction of Universal Credit</p> <p>Since 2013 the government has proposed the introduction of universal credit to supersede housing benefits. This will be administered by central government thus reducing the need for benefits staff in Councils. Work force planning has therefore been in place to reduce the number of staff by 2017. However, this change has been delayed with the latest target being 2022 so the service has had to continue with reduced resources. In the meantime the government is producing lots of real time information on benefits changes that need processing</p> <p>Additional Actions taken</p> <p>Benefits – Temporary recruitment of an additional member of staff using funding available from the Department of Works and Pensions</p>

Risks noted where further actions are still needed

<p style="text-align: center;">5 Year Housing Land Supply</p> <p>A Public Inquiry held by the Planning Inspector in April 2017 upheld an appeal by Persimmon Homes to allow them to build new homes on countryside adjoining Portchester (Cranleigh Road). The judgement was based on the Council’s potential to deliver the number of houses identified in the recent technical evidence on Objectively Assessed Housing Need (updated through PUSH in 2016), which differs from and is considerably higher than the current Local Plan housing requirements.</p> <p>The Council is now receiving a notable increase in planning applications to build houses, the processing of which will need to be resourced. Our ability to resist planning applications on the grounds that the Council has a 5 year housing land supply has also been weakened and we risk further adverse decisions if similar applications go to appeal.</p> <p>Actions being taken</p> <p>The Executive will receive a report in October 2017 on the implications of the appeal decision for the Council’s 5 year housing land supply position.</p> <p>There will be a need for housing sites to come forward quickly that can deliver within the next five years to meet the increased housing requirement and the report will set out specific measures to aid this early release of sites for housing.</p> <p>Council officers will have regular and on-going contact with developers who have received planning approvals for residential development (i.e. have planning permission) to monitor their progress in delivering new homes, whilst elected members will be provided with regular updates on development proposals progressing through the planning system.</p>	<p style="text-align: center;">Future Model of Operation for Building Control</p> <p>On-going risks for the Building Control service are the loss of market share to private sector competitors and the loss of staff to firms who are able to offer better incentives. One possible solution is to set up the partnership as a local authority trading company and this option is currently being explored.</p> <p>One of the advantages of a LATC is that it allows the service to become an approved inspector (only open to limited companies) and therefore offer customers a fuller service which is not constrained by Councils’ boundaries. It also allows the service to operate more commercially and enter into contracts with customers.</p> <p>There are, however, some risks inherent in the model to the partnership and the constituent councils, such as the costs to the councils of providing non fee earning work, the impact of the LATC making a loss, the nature of agreements/ to supply support services to the LATC, VAT implications, pension fund implications and the lack of commercial accounting knowledge.</p> <p>Actions being taken</p> <p>Working groups have therefore been set up to explore the implications for both the partnership and the constituent councils.</p> <p>A report on the options will be presented to the Executive.</p>
<p style="text-align: center;">Approach to Tree Management</p> <p>We are currently not taking a corporate approach which co-ordinates activity and decisions taken to manage trees in the borough.</p> <p>As a consequence the budget set for the tree service across the Council (approx. £116k) continues to be significantly overspent and there is some customer dissatisfaction.</p> <p>Action being taken</p> <p>A vanguard intervention has commenced to make the nature of the tree spend visible and to reaffirm the Council’s policies in relation to “good neighbour” pruning, health and safety works and the adoption of</p>	<p style="text-align: center;">Housing Strategy</p> <p>In recent years there has been a lack of Housing Strategy for the borough which highlights those gaps in the market which the Council needs to assist with (by ownership and promoting development). We are therefore not clear that the limited resources available are being spent on the priority types of property. There may also be a disparity between the property available and the needs of families in the borough.</p> <p>Actions being taken</p> <p>Member working group set up to lead on developing the Housing Strategy.</p>

new sites which contain resident trees.	Member group supported by an officer working group
<p style="text-align: center;">Leaseholder Charges</p> <p>Households who buy their flats under the Right to Buy scheme then become leaseholder customers to the Council. As leaseholders they receive an annual bill of charges associated with the maintenance of the property. However, they have a limited ability to control the charges they receive which can vary substantially between years. There are approximately 450 leaseholders and we have a high proportion of enquiries / complaints each year in respect of the bills they receive.</p> <p>Actions being taken</p> <p>Introduced direct debit payments options</p> <p>Full roll-out of FBC cards IT system to capture reactive repairs details needed to produce the bills</p> <p>From 2017/18 introduced a statement in advance of the bills being sent out (to reduce the number of adjustments to the bills that were being made)</p> <p>Discussions being held between housing, finance and building repairs on how we can improve the service being provided to leaseholders, including the advice given during the RTB process.</p> <p>Finance reviewing how intelligence received on amendments needed to bills is being captured to prevent recurrence.</p>	<p style="text-align: center;">Value for Money of Housing Works</p> <p>Interim arrangements were put in place to secure contractors to carry out voids and repairs work on the Council's housing stock.</p> <p>This arrangement has not yet been subject to market testing. The value of spend on this work is significant.</p> <p>Actions being taken</p> <p>Tenders being put together involving representatives from the Procurement team, Property services, voids team and Building repairs team.</p>

Detailed List of Risks, Opportunities and Actions Covered in the Manager Discussions

Manager	Subjects discussed
Development Management	<p>Reputational risks from making the wrong planning decisions / managing corruption allegations, including risk of judicial review</p> <p>Welborne Planning Application.</p> <p>Unable to retain appropriate resources and skills in the team</p> <p>Collection of CIL and s106 contributions.</p> <p>Collection of Planning Application Fees</p> <p>5 year Housing Supply Plan (Cranleigh Road Appeal)</p> <p>Impact of Grenfell Tower Disaster</p> <p>Opportunity for increased charges for pre-application advice</p> <p>Improving planning application website to reduce demand from customers failing to find the information they require on the website.</p> <p>Members expectations from the Planning enforcement service</p> <p>New government initiative to allow planning fees to be increased if the income generated is ploughed back into the planning service.</p> <p>Tree Management costs</p>
Building Control	<p>Certifying work that isn't sound (reputation & safety risk)</p> <p>Partnership does not break even (financial)</p> <p>Loss of IT systems (technological)</p> <p>Unable to retain skilled surveyors (staff)</p> <p>Lone working (H&S)</p> <p>Maintaining customer satisfaction so retain market share. Action – Every major client is given a dedicated client manager and second point of contact.</p> <p>Maintaining customer satisfaction so retain market share. Action – Development of an inspection plan record including site inspections which get emailed to the customer at the end of the job.</p> <p>Debt collection – chasing customer for payments which have been paid in at the wrong council.</p> <p>Debt collection – customer dissatisfaction as not able to take payments in the afternoon when the reconciliation was being completed. Action – Working group set up to review the work flow to remove the down time for the receipting machine.</p> <p>Future model of operation for building control e.g. Local Authority Trading Company</p> <p>Power outage – actions taken</p> <p>Reputational impact and additional work arising from Grenfell Tower disaster</p> <p>Providing appropriate advice to the safety advisory group for events. Action – Checking Policy devised for service provided for events involving temporary demountable structures.</p>
Parking & Enforcement	<p>Critical threat of terrorist attack</p> <p>Loss of Parking revenue income / failure of parking machines / errors in income collection</p> <p>Cost impacts in changes in coins and notes</p> <p>Health and Safety of enforcement officers, emergency planning officers and out of hours officers</p> <p>Non-compliance with DVLA requirements under the Data Protection Act when accessing their vehicle database.</p>

Manager	Subjects discussed
	<p>Non-compliance with surveillance legislation with respect to our use of CCTV</p> <p>Balancing the needs of travellers and residents of the borough</p> <p>Managing security risks associated with major events in the borough</p> <p>Business Continuity plans not effective</p> <p>Dog fouling campaign (Lets take the Oops out of Poops)</p> <p>Reduction in payments received for supplying the Traffic Management service on behalf of HCC.</p> <p>Introduction of virtual residents permits</p> <p>Loss of power in market quay car park</p> <p>Fire in refuse lorry at council depot</p> <p>Fire in council house</p> <p>Management of vexatious complainant</p>
<p>Housing, Revenues & Benefits</p>	<p>Arson in Council Property</p> <p>Introduction of universal credit – changing timescale for reduced need for staff</p> <p>Drop in Collection Fund collection rates</p> <p>Non-repayment of loans provided to prevent homelessness</p> <p>Housing Strategy unclear</p> <p>100% business rates retention</p> <p>Demonstrating value for money for housing works</p> <p>Customer dissatisfaction with leaseholder charges</p> <p>Homelessness reduction bill</p>
<p>Finance and Audit</p>	<p>Ensuring the Council and HRA remain solvent and within budget</p> <p>Loss of sums lent out as investments as part of Treasury management policy</p> <p>Failure to pay staff or benefit claimants</p> <p>Large payment frauds e.g. bank mandate fraud</p> <p>Failure to meet the deadline for the closedown of accounts</p> <p>Poor external audit opinions (finance/governance/fraud/audit) / relationships</p> <p>Fine levied by HMRC</p> <p>Lone working arrangements for insurance and corporate fraud – action taken</p> <p>Counter fraud work and debt recovery work leads to allegations into invasion of privacy / data protection breach</p> <p>Complaints about use of debt recovery techniques</p> <p>Investigations poorly executed and don't reach the correct conclusion</p> <p>Customer dissatisfaction with leaseholder charges</p> <p>Power outage – actions taken</p> <p>Tax legislation changes affecting the use of personal service companies (IR35)</p> <p>Introduction of the Apprenticeship Levy</p> <p>Introduction of the living wage</p> <p>Increase in the cost of catastrophic injury settlements</p> <p>Threat of withdrawal of BACS transfer provider</p> <p>Management of vexatious complainant and potential abuse of staff</p> <p>Suppliers putting the council on hold for poor payment</p>

Manager	Subjects discussed
HR & ICT	<p>Claims of Unfair/Constructive dismissal</p> <p>Claims arising from not following employment legislation (e.g. equal pay)</p> <p>Introduction of the living wage</p> <p>Introduction of the Apprenticeship Levy</p> <p>Tax legislation changes affecting the use of personal service companies (IR35)</p> <p>Loss of PSN Compliance Certificate</p> <p>Threat of Cyber Attack / Breach of IT security / Loss of data</p> <p>Failure of IT systems</p> <p>Power outage – actions taken</p> <p>Management of telephone costs</p> <p>Threat of withdrawal of BACS transfer provider</p> <p>Paint attack in reception</p>