

# FAREHAM

## BOROUGH COUNCIL

### **Report to Audit and Governance Committee**

**Date:** 17 September 2018

**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 latest six-monthly report under the new policy.

#### **RECOMMENDATION**

It is recommended that the Committee 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 Appendix E) based around a set of principles rather than a formal framework of registers. Under the new process, discussions are held with managers to gather evidence that the new policy is being implemented. 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 actions 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.
2. This report summarises the evidence gathered from the round of discussions held during July and August 2018.

## MANAGERS COVERED BY THIS REPORT

3. Discussions are held every 6 months with half of the Heads of Service in the Council, so each manager is interviewed once a year. The Heads of Service covered in the 2 sets of interviews each year are listed in the table below, which highlights those services covered by this report. This will therefore affect which risk topics feature in this report.

| Managers Interviewed THIS report              | Managers Interviewed for the last report      |
|---|---|
| Head of Development Management (LS)           | Head of Planning Strategy & Regeneration (CB) |
| Head of Building Control (JS)                 | Head of Environmental Health (IR)             |
| Head of Building Repairs and Maintenance (KW) | Head of Street Scene (MB)                     |
| Head of Housing and Benefits (CN)             | Head of Leisure and Corporate Services (LA)   |
| Head of Finance and Audit (EH)                | Head of Property Services (GH & managers)     |
| Head of HR and ICT (SR)                       | Head of Democratic Services (LU)              |
| Welborne Strategic Lead (SW)                  | Head of Coastal Partnership (LC & MH)         |
|   | Welborne Strategic Lead (SW)                  |

4. It should be noted that there was a corporate restructure in November 2017 and April 2018 so some manager's responsibilities will have changed since the last report. However, we have tried to also cover past responsibilities in the discussions.
5. We have also included an update on some of the risks relating to the Welborne planning determination as it was felt this information was more timely now than in the scheduled 6-months' time.

## STRUCTURE OF THE EVIDENCE GATHERED

6. Detailed notes were taken of each discussion. The topics of the discussion are listed in Appendix D. Examples were then taken from the discussions for use to demonstrate that risk management activity is happening. These are summarised in the appendices using 3 evidence themes of:
  - (a) Appendix A - New actions taken *anticipating* risks or opportunities
  - (b) Appendix B - New actions taken *reacting* to risks or incidents
  - (c) Appendix C - Risks where action is *still needed*
7. We also made sure we followed up on any risks highlighted last time where “action is still needed”. These are highlighted in the tables.

## APPENDICES

Appendix A: [Examples of New Actions Taken ANTICIPATING Risks or Opportunities](#)

Appendix B: [Examples of Actions Taken REACTING to Risks or Incidents](#)

Appendix C: [Risks noted where further actions are still needed](#)

Appendix D: Detailed List of Risks and Actions covered in the Manager Discussions

Appendix E: FBC Risk Management Policy (Separate Document)

**Background Papers:** None

### Reference Papers:


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

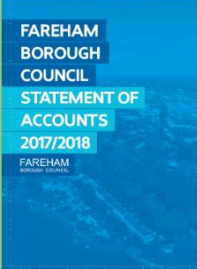

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### Enquiries:

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## Appendix A – Examples of new actions taken ANTICIPATING risks or opportunities

| Risk or Opportunity   | Actions taken  |
|---|--|
| <p><b>Impact of the Homelessness Reduction Act (Update)</b></p> <p>The Homelessness Reduction Act came into force on 3 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>The actions the Council was taking to prepare for the new responsibilities were detailed in the September 2017 risk report. Further actions that have been taken since are listed here.</p> <div data-bbox="269 887 624 1061" style="text-align: center;">  <p>Homelessness<br/>Reduction Act 2017</p> </div>   | <p><b>Fareham Housing</b> – The learning in the external training sessions held last year has been 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><b>Fareham Housing/ICT</b> – A new system has been purchased to help support the administrative burdens of the new Act.</p> <p><b>Fareham Housing</b> – A Rough Sleeper Action Group facilitated by Fareham was set up in January 2018. This multi-agency group, including the Police and the Two Saints hostel, meet to discuss individual cases and decide how best to address their issues and help them by providing a staged and supportive journey.</p> <p><b>Fareham Housing</b> – A multi-agency Rough Sleeper Conference was hosted by Fareham in July 2018 to identify opportunities for closer partnership working to tackle the complex challenges of helping rough sleepers.</p> |
| <p><b>Managing Fire Risks in Housing Properties (Update)</b></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>The Government has therefore set up an enquiry into the tragedy which may have implications for the Council; although the immediate focus has been on high rise residential properties which is not a high risk for our borough. However, the Council has had incidents of fire in its own properties in the last year.</p> <p>The actions the Council has been taking in the immediate response to Grenfell and local fires were detailed in the September 2017 risk report. Further actions that have been taken since are listed here.</p> | <p><b>Corporate</b> – Identifying and acting on any further findings and advice resulting from the Grenfell Enquiry. (See also below risks for the Building Control Service arising from the Hackitt review)</p> <p><b>Corporate</b> – Identifying and acting on any findings from incidents occurring in our own housing stock.</p> <p><b>Corporate</b> – Quarterly meetings are now held between Housing officers and property services to discuss any issues arising in our housing properties.</p> <p><b>Fareham Housing</b> – Reviewing what records relating to the management and maintenance of properties need to be accessible in one place.</p> <p><b>Fareham Housing</b> – Improving evidence available to prove compliance by recording all information relating to property issues.</p> <div data-bbox="1027 1778 1299 2047" style="text-align: center;">  </div>   |

| Risk or Opportunity   | Actions taken   |
|---|---|
| <p><b>Failure to meet the statutory deadlines for the Closure of the Accounts (Update)</b></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. From the 2017/18 accounts onwards the Council was required to have the draft accounts ready a month earlier (end of May 2018) and the external audit (by Ernst and Young) completed 2 months earlier (end of July 2018).</p> <p>The work carried out last year carrying out a dry run was detailed in the September 2017 report. Since then there were changes in staff in the finance team and within the external audit team. Further actions taken since are detailed here.</p>   | <p><b>Finance</b> – Recruited new staff members to replace the outgoing members of staff and reorganised the team to ensure a fairer split of year end tasks.</p> <p><b>Finance/Corporate Services</b> – Worked together to completely revitalise the covering report to the accounts.</p> <p><b>Finance/EY</b> - Good communication channels set up to establish how we could work in partnership to achieve both goals.</p> <p><b>Finance/EY</b> – Identified areas of work that could be tested before EY would normally be carrying out their statement of accounts work. This led to an interim audit that took place in March, and working papers being submitted earlier than usual, but this then took some of the pressure away from the audit in July.</p> <p><b>Finance</b> – Notified all key staff in the team and in other teams when the external auditors would be on site for the interim and final audit and limited requests for leave during this period.</p> <p><b>Finance/EY</b> – A portal was introduced by EY to allow documents to be uploaded to one central place and requests to be sent out. There were some teething problems with it which are being looked into for next year.</p> <p><b>EY</b> – Brought back an experienced audit manager familiar with the Council to replace the manager who left during the year.</p> |
| <p><b>Changes in Business Rates Retentions</b></p> <p>The Ministry Housing, Communities and Local Government (MHCLG) have recently confirmed an approach to move to a 75% Business Rates retention position, with an aspiration to move to 100% retention (subject to legislation). Currently local councils keep 50% of the business rates monies collected of which 40% is initially allocated to the district councils in Hampshire. However, it's the government's intention to remove some general and specific grant funding streams at the same time.</p> <p>On 24th July, the Government published an additional invitation to Councils to apply to participate in a business rate retention pilot scheme to allow earlier increased retentions for successful councils who work together in a pool. Previously the 3 Solent Unitary Councils were successful in being approved for early increased retention. The rest of the Hampshire Councils are planning to submit a bid in response to the latest invitation. There are therefore risks to how</p> | <p><b>Hampshire Councils</b> – Winchester City Council is leading on drawing up and co-ordinating the bid submission. Consultants have been engaged to model the effects on the proposal at the county level and support the bid process.</p> <p><b>Finance</b> – Consultants are being engaged to assist FBC in understanding the reasons behind our need assessment (including baseline calculation, funding requirements, appeals provision and growth in the enterprise zone area), and develop our knowledge and modelling techniques to help forecast how we will fare under the pooled arrangements, and what decisions we can make to influence our position.</p> <p><b>Finance</b> – The officers involved in the 3 finance elements of the process (accounting and completion of returns, business rates modelling and financial strategy modelling) are coming together to understand how their element affects the others.</p> <p><b>Finance</b> – is being strengthened</p>  <p>Training rolled out</p>  |

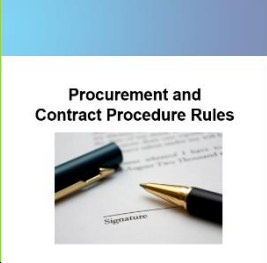
| Risk or Opportunity   | Actions taken   |
|---|---|
| <p>Fareham will fare in a pooled rates situation as they are currently assessed with one of the lower levels of need in the County.</p>   | <p>understanding of this topic within the Council.</p>  |
| <p style="text-align: center;"><b>Strengthening Civil Contingency arrangements</b></p> <p>The Civil Contingencies Act 2004 (CCA) designates district councils as Category 1 responders with access to a number of services which may be called upon, at any time by other agencies as part of the response.</p> <p>The Act also requires local authorities to maintain Business Continuity Plans, to ensure that following a serious disruption, services can be provided to the community.</p> <p>The Council continuously monitors the arrangements we have in place to ensure we meet those responsibilities.</p> <p>From April 2018, a new partnership has commenced with the Portsmouth and Southampton City Councils' Emergency Planning Response and Resilience Team, who will also work with Eastleigh and Gosport Councils to provide emergency preparedness, resilience and response. The benefit of the partnership is that it covers both aspects of the CCA.</p> | <p><b>Emergency Planning Team</b> – Establishing a physical presence at FBC.</p> <p><b>Corporate</b> - PCC and SCC have worked with FBC through a Deed of Agreement to streamline existing business continuity processes. They are reviewing and updating existing arrangements and documentation. A presentation was provided to Senior Managers in July 2018 to provide them with an update.</p> <p><b>Corporate</b> - Revised Business Continuity Policy and Business Continuity Plan drafted and approved by senior managers, along with the latest Emergency Response Plan.</p> <p><b>Emergency Planning Team</b> – Planning to implement changes via training and a schedule of exercises.</p> <div style="text-align: center;">  </div> |
| <p style="text-align: center;"><b>Cyber Security (Update)</b></p> <p>Cyber Security continues to be a top priority for the ICT section to protect against a range of increasingly sophisticated threats to the Council's computer systems, networks and data. This risk was recognised by employing a dedicated Security Officer in 2016 whose role is to reduce the risk from cyber-attacks, and prevent the unauthorised exploitation of systems, networks and technologies.</p> <p>In order to maintain a comprehensive defence against cyber threats, multiple ICT security technologies are implemented to provide a layered "defence in depth" approach.</p> <p>Additional actions taken this year are highlighted.</p>   | <p><b>ICT</b> – Recruiting and building on the role of Security Officer after the original holder left this year.</p> <p><b>ICT</b> - Working towards the centralisation of security protection and monitoring in the Microsoft cloud.</p> <p><b>ICT</b> - Monthly bulletins to make staff aware of different types of Cyber Security threats and how they can protect themselves against these at work and at home</p> <p><b>ICT/ Procurement/ Information Management</b> - Joint working to ensure that new systems undergo Data Protection Impact Assessments (DPIA) and any cloud-based services adhere to a list of prescribed principles laid out by the National Cyber Security Centre (NCSC).</p>   |
| <p style="text-align: center;"><b>Solent Airport ICT Infrastructure</b></p> <p>A company (RCA) manages the Solent airfield and air traffic control operations on behalf of the Council. To get the operations working the Council provided the ICT platform from which RCA's own unique software operated. However,</p>   | <p><b>ICT</b> - Engaged with RCA to use our expertise in project specifications and procurement processes to find an agreeable solution that would make them self-sufficient, similar to the arrangements with the Leisure centres.</p> <p><b>ICT</b> – Ownership of the assets passed to RCA who are now responsible for the cleanse and disposal of any data they contain.</p>  |




| Risk or Opportunity  | Actions taken   |
|--|---|
| <p>RCA also use a number of different IT solutions in their enterprise which did not integrate well.</p> <p>As part of the expansion to provide a summer and winter timetable and the move to commercial flights, the need for out of hours specialist support that covered the software as well as the equipment, and the need for ongoing maintenance, was identified. There were also potential risks for the Council associated with managing the disposal of data on the platform if the contract were to end.</p>  |   |
| <p><b>Delays in the Introduction of Universal Credit (Update)</b></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 employed. However, delays in the introduction of the change has meant that but the service has had to continue with reduced resources whilst in the meantime the government has been producing lots of real time benefits changes.</p> <p>The latest targets published are November 2018 onwards for new claimants and full migration of existing claimants by 2022.</p>  | <p><b>Fareham Housing Benefits –</b> The lengthened timescales mean fixed term employment arrangements are no longer appropriate, and staff are now on permanent contracts. As vacancies arise opportunities are more likely to attract suitable candidates and be filled.</p> <p><b>Fareham Housing Benefits -</b> Planned job shadowing to share knowledge and expertise has been used to shift responsibilities within the Benefits structure and allow support posts to migrate to the ICT service.</p>    |
| <p><b>Staff recruitment and retention in Building Maintenance</b></p> <p>The Building Maintenance service has been on a journey to understand what in-house and contractor resources are needed to provide the best service to their customers.</p> <p>In particular, the service needs to have competent call handlers, and the right tradesmen to undertake a variety of building maintenance tasks and complete them to the required standard as part of the first job in order to avoid waste work.</p> <p>However, the service is managing an on-going risk concerning their ability to recruit the skilled staff they need in a competitive market, and then retain</p>  <p>continue to them.</p> | <p><b>Corporate –</b> Restructure completed to create the Directorate of Fareham Housing and clarify areas of responsibility and the teams and skills required in these areas.</p> <p><b>Fareham Housing Building Services –</b> Widened local advertising to attract suitable applicants for Trade roles.</p> <p><b>Fareham Housing Building Services –</b> Managers seek to highlight to potential applicants, the benefits of working for a local authority employer, particularly for trade roles.</p> <p><b>Fareham Housing Building Services –</b> Recruitment evaluation includes practical skills testing and demonstration where suitable.</p> <p><b>Fareham Housing Building Services –</b> Efforts are being made to improve the retention of quality tradesmen, assigning good jobs to in-house staff to increase satisfaction levels.</p> <p><b>Fareham Housing Building Services -</b> In-house career path training being explored to develop all the skills we need in our own multi tradesmen.</p> <p><b>Fareham Housing Building Services –</b> Repairs Admin Officer posts are now on the permanent establishment, and long-term agency staff have been recruited to these positions. A plan to cover upcoming maternity leave is in</p> |



| Risk or Opportunity  | Actions taken  |
|--|--|
| <p style="text-align: center;"><b>Telephony Upgrade (Opportunity)</b></p> <p>The council is carrying out a telephony upgrade which addresses the needs of Customer Services and other departments to provide a more responsive system to the Council's customers.</p> <p>This upgrade will enable FBC call centre staff to be far more flexible in how they interact with customers. This involves the use of new technologies such as soft phones (headset no hand units), automatic queuing and the ability to divert calls to mobile and home phones.</p> <p>New opportunities include optimising social media, email integration and web chat.</p> <p>This also has the potential for other services to improve home working, being able to respond outside of office hours and logging on and off work stations to increase hot desk working.</p> <p>The old ISDM phone lines will no longer be needed as calls will be made over the internet; once this system is in place there will be annual cost savings.</p> | <p>place.</p> <p><b>ICT</b> – Procured a new telephony supplier and implementing the new products for FBC call staff.</p> <p><b>ICT</b> – Using some of the features to develop a strategy for mobile devices which avoids employees having both personal and work devices by allowing 2 phone numbers to work on one device.</p> <div data-bbox="890 607 1441 969" data-label="Image"> </div>   |
| <p style="text-align: center;"><b>Apprenticeship Levy (Update)</b></p> <p>From April 2017, the government 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.</p> <p>The government has also set us a public-sector 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>The actions the Council has been taking to meet the statutory requirements to pay over the levy and start planning for potential use of our pot were detailed in the September 2017 risk report.</p> <p>Further actions that have been taken since are listed here.</p>                  | <p><b>Human Resources</b> - All vacancies that arise are examined to consider if they can be used to support an apprentice under the terms of the levy.</p> <p><b>Human Resources</b> – As part of restructure considerations development opportunities in new services are identified for current employees that could be supported as an apprentice role. This includes career grade and posts requiring qualifications.</p> <p><b>Human Resources</b> – Monitoring what training organisations can be used as published on the Governments authorised organisation list.</p> <div data-bbox="916 1615 1378 1872" data-label="Image"> </div> |
| <p style="text-align: center;"><b>Updating of Contract Procedure Rules</b></p> <p>As part of the Vanguard review of “buying stuff” it has become clear that the Contract Procedure</p>   | <p><b>Finance/Procurement</b> – Working group set up to review and merge the 3 current policy documents and develop a new policy (Procurement and Contract Procedure Rules) around the approved new Procurement Principles.</p>  |



| Risk or Opportunity  | Actions taken  |
|--|--|
| <p>Rules we currently have can lead to unintended consequences. This includes funnelling services down an inappropriate procurement route based on the level of spend rather than allowing services to consider different options to achieve the best for the Council.</p> <p>The new rules are potentially riskier due to the threshold before formal justification is required, and the Heads of Service authorisation level, being lifted to £100k.</p>  | <p><b>Finance/Procurement</b> – Consultation meetings held including with senior managers, Executive portfolio holder and the Audit and Governance Committee.</p> <p><b>Finance/Procurement</b> – Rolling out of training, to support the cultural transformation needed to deliver the new rules, via a series of workshops that will include all Heads of Service, Directors, Procurement, Audit, Finance Business Partner, and key spending teams in the Council.</p> <p><b>Finance/Procurement</b> – Added an escalation route clause in which an officer panel will be convened if a decision cannot be made.</p> <p><b>Finance/Procurement</b> – Oversight rules added in the form of monthly updates to members on procurement decisions over the significant value threshold and presentation of an Annual Report to CXMT. This will also include audit findings following testing they will undertake.</p> <p><b>ICT</b> – Developing a manager report suite to monitor supplier spend.</p> |
| <p><b>Building Control Partnership – Quality Management Accreditation Changes</b></p> <p>The Building Control partnership is accredited to a quality management standard which helps the service win work from some of its big clients.</p> <p>The quality management system requirements were updated in 2015 with a number of new requirements which need to be implemented by 1 October 2018.</p> <p>The next assessment visit is on 24 September and there is a reputational risk if we are seen as not compliant.</p>                   | <p><b>Building Control:</b> Work has been carried out in the interim period to meet the new requirements.</p> <p><b>Building Control:</b> Transition audit conducted which only identified one minor issue which has been addressed. There service is therefore confident that there is now only a minimal risk.</p>   |
| <p><b>Gas Servicing work</b></p> <p>The Council as a landlord is required to carry out regular gas service checks to protect the health of our tenants. This results in a Landlord Gas Safety Record being in place for each property.</p> <p>The Gas servicing work is outsourced to a gas Safe Registered contractor and we then carry out audit checks on the work they do.</p> <p>There have been some problems noted with the robustness of the current contractor.</p>   | <p><b>Property Services</b> – A tender exercise was carried out to test the market which resulted in appointing a new gas maintenance contractor.</p> <p><b>Fareham Housing Building Services</b> – Contractor is now being supervised by the Head of Building Repairs and Maintenance Service, working closely with the Property Manager and Finance Business Partner. The replacement contractor is now meeting the required KPIs.</p>   |

## Appendix B – Examples of actions taken REACTING to risks or incidents

| Risk or Opportunity  | Actions taken   |
|--|---|
| <p style="text-align: center;"><b>Greenfield Sites and Planning Appeals</b><br/>(Update)</p> <p>Following a Public Inquiry held by the Planning Inspector in April 2017 which upheld an appeal by Persimmon Homes to allow them to build new homes on countryside adjoining Portchester (Cranleigh Road), the Council is now receiving a notable increase in planning applications to build houses and appeals against decisions.</p> <p>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>The position has been further weakened with the revision of the National Planning policy framework in July 2018 where there is an additional housing quota of 140 homes for FBC set by Central Government.</p> | <p><b>Corporate</b> – Members are lobbying Central Government to highlight the impact of the framework on FBC.</p> <p><b>Development Management</b> - DM are endeavouring to defend and protect Greenfield sites from development, but the longer the 5-year housing supply is not met the longer we are at risk.</p> <p><b>Development Management / Finance</b> - Working to develop a pipeline of potential appeals so that they can be planned for and risk assessed.</p>   |
| <p style="text-align: center;"><b>Failure of Print Room equipment</b></p> <p>The Council currently has an in-house central print room to carry out the majority of print and finishing work that cannot be carried out on individual floor machines.</p> <p>A significant use of the facility is to print all the 50,000 council tax and 3,000 business rates annual bills in January and February.</p> <p>Prior to the run, all the equipment is serviced and we have support arrangements in place with the suppliers.</p> <p>During the 2017/18 annual bill run one of the printers and the enveloper failed. Due to its age, a part could not be sourced by the supplier in the timescales needed.</p> <p>Previously in the year the equipment used to print the creditor cheque payments also failed.</p>   | <p><b>ICT</b> - Switched printing to the slower backup printer until the main one could be fixed.</p> <p><b>ICT</b> - Commissioned a local engineering firm to manufacture a bespoke replacement part for the enveloper at short notice.</p> <p><b>Corporate</b> – A project reviewing our printing arrangements has started covering more use of externalised / cloud print and post facilities, maximising the use of the print stations on the floors, challenging what we are choosing to print, and increasing the number of communications that can be carried out electronically such as by expanding our web-based MyAccount facilities.</p> <p><b>Finance</b> - Sourcing an external provider for the 2018/19 annual billing run.</p> <p><b>Finance</b> – Completed project to promote creditors payments by BACS and switch off cheques as an option.</p> |
| <p style="text-align: center;"><b>Use of Vehicles Policy</b></p> <p>Council employees who drive corporately owned vehicles are not allowed to use them for private purposes. Private use is not covered by FBC insurance cover and the employees themselves would be liable to P11d taxation.</p> <p>Corporately branded vehicles being misused out</p>  | <p><b>Human Resources</b> - The Use of Vehicles policy has been revised so that a very clear set of rules can be followed by employees and can be enforced by managers.</p> <p><b>Human Resources</b> - The Use of Vehicles policy has been supported by new clauses in contracts of employment.</p> <p><b>Corporate</b> – Communication campaign on the new policy to employees, managers and the trade unions is in</p>   |

| Risk or Opportunity  | Actions taken   |
|--|---|
| <p>of work hours can lead to poor public perception of FBC.</p> <p>There has been evidence that some private use has been happening.</p>   | <p>progress.</p> <p><b>Human Resources</b> – Disciplinary action taken where warranted.</p>   |
| <p style="text-align: center;"><b>Housing Strategy (Update)</b></p> <p>As highlighted in last year’s summary, in recent years there has been a lack of a Housing Strategy for the borough which highlights those gaps in the market which the Council needs to assist with (by ownership and promoting development), and to make sure resources are being targeted on the priority types of property to meet the needs of families in this borough.</p> <p>Actions have now been taken to address this risk.</p> <div style="text-align: center;">  </div> | <p><b>Corporate</b> – A new housing directorate has been established with responsibilities which include the strategic direction of social housing provision in Fareham and effective liaison with other social housing providers; the rationalisation, maintenance and improvement of the Council’s housing stock; effective estate management; the construction of new housing units and the allocation of vacant properties; tenancy and leaseholder management, and the provision of housing benefits and advice.</p> <p><b>Fareham Housing / HR</b> - A full restructure has taken place to support the responsibilities of the directorate. This has included a new post of Affordable Housing Strategic Lead.</p> <p><b>Corporate</b> – A Member/officer task and finish working group was set up to lead on developing the Housing Strategy. This is supported by an officer working group.</p> <p><b>Fareham Housing</b> – A new Affordable Housing Strategy had been drafted and will be presented to the Executive for approval. Once this is adopted work will progress on related sub-strategies such as a revised Allocations Policy and Homelessness Strategy.</p> |
| <p style="text-align: center;"><b>Hub Backup</b></p> <p>The ICT team carry out full backups of the main database on the hub every week and differential backups every day.</p> <p>As part of the backup process a consistency check is carried out. The log generated after one of the consistency checks highlighted that there might be some errors in the data integrity.</p> <div style="text-align: center;">  </div>  | <p><b>ICT</b> – Stopped carrying out full backups but retained all differential backups until the problem could be investigated.</p> <p><b>ICT</b> – Monitored disk space until enough was available to enable a test backup to be carried out. (Needed 2 terabytes)</p> <p><b>ICT</b> – Work scheduled over the weekend and advance warnings given of the unavailability of the hub.</p> <p><b>ICT</b> – Last full and all differential backups restored to a test system and carried out the consistency check routine. No problems found so were able to work on the live system as now had a clone available if needed.</p> <p><b>ICT</b> – Deleted the live database and recreated from the backups. Then took another full backup. New database no longer failed the consistency check as integrity had been restored during the process.</p>   |
| <p style="text-align: center;"><b>Inspection by the Investigatory Powers Commissioner’s Office (IPCO)</b></p> <p>Local Authorities have a legal mechanism to impinge Article 6 of the Human Rights Act concerning an individual’s right to privacy. This includes powers to carry out surveillance, use covert human sources and request communication data. These carry a high reputation risk if the public feel these powers are misused.</p>   | <p><b>Corporate Fraud</b> – On going mechanisms including Links with Southampton City Council legal team, and the Hampshire Fraud Group to identify changes in legislation and codes of practice which are fed into the Council’s Policy.</p> <p><b>Housing and Benefits</b> – Trained and experienced investigators and managers maintained in post.</p> <p><b>Finance (Audit)</b> – A strong submission with supporting evidence was sent in response to the initial questionnaire, which was followed up with proactive communication with</p>   |



| Risk or Opportunity   | Actions taken   |
|---|---|
| <p>The government therefore carry out inspections of councils to confirm they are using the powers responsibly and in accordance with the published codes of practice. In January 2018, the Council received notification that we were due our latest inspection in February 2018.</p> <p>The risks of a poor report were mitigated by the actions listed and as a result the report received was highly complimentary and no recommendations were made.</p>              | <p>the inspector's office and the inspector himself before his arrival.</p> <p><b>Corporate</b> – All relevant officers made themselves available for the inspectors visit and discussions with him demonstrated their depth of knowledge and the co-operation and mutual support of all senior officers.</p> <p><b>Planning &amp; Regulation</b> – Head of Parking &amp; Enforcement organised and delivered a tour of the CCTV Centre involving our partners from Gosport BC.</p>    |
| <p><b>Duplicate Charging by Contractors</b></p> <p>Invoice checking by a member of building services staff identified an invoice where the contractor and a sub-contractor were both invoicing the Council for the same work.</p> <p>A second invoice was also identified taking the value of the duplication to £1,000. Other discrepancies with the value of orders were found.</p>  | <p><b>Fareham Housing Building Services</b> – Officer escalated to their manager who informed the audit section.</p> <p><b>Finance (Audit)</b> – Confirmed the duplication (value approx. £1,000) and checked other invoices concerning these suppliers.</p> <p><b>Finance</b> – Put a stop on payments going out until the matter could be investigated.</p> <p><b>Fareham Housing Building Services</b> – Manager brought in the contractors to discuss the matter and actions that could be taken to prevent recurrence. Credit notes received for the duplication.</p> <p><b>Fareham Housing Building Services</b> – Further controls added to administration processes including improving contractor instruction and supervision, and scrutiny of invoices by the Repairs Administration Officers.</p> <p><b>Finance (Audit)</b> – Further testing planned to confirm that the strengthened controls remain robust.</p> |







## Appendix C - Risks noted where further actions are still needed


| Risk or Opportunity   | Actions being taken  |
|---|--|
| <p><b>Hackitt Review into Building Control (Update)</b></p> <p>The Hackitt Review into whether the Building Regulations process is fit for purpose was instigated as a result of the Grenfell Tower fire. It is currently six months into a one-year project.</p> <p>The interim report suggests that Building Regulations and the operation of Building Control in relation to Fire Safety will change as a result of the review. Potential recommendations include:</p> <ul style="list-style-type: none"> <li>• The current regulations will not be deemed fit for purpose and will be replaced by primary legislation which increases regulatory powers and penalties.</li> <li>• Developers will not be allowed to choose their building control service (removes the opportunity to use a 'sympathetic/favoured service').</li> <li>• It will be necessary to set up a Joint Competent Authority. The JCA will probably consist of the Fire Service, Local Authority Building Control and the Health and Safety Executive. It is not clear if this will be local, county or national.</li> <li>• The JCA will assume regulatory responsibility from inception of a building throughout its life, this will also be back applied to existing buildings.</li> <li>• There will not be different types of building control processes in place for different types of building – all industrial and commercial will also be included, although probably not local private extensions etc.</li> <li>• Approved inspectors who are currently private may not be allowed to fulfil this service.</li> <li>• Local Authorities should be the library and central point for information.</li> </ul> <p>There is no current deadline for the final outcomes. The report has been published and accepted in principle by the Government, although their intentions and the shape of those are yet to come to fruition.</p> <p>The competition for skilled staff between the public and private sector, however, remains acute giving the building control service continued difficulty in recruiting and retaining quality senior staff.</p> | <p><b>Building Control:</b> Monitoring the recommendations being made and how it will impact on them</p> <p><b>Building Control:</b> Member briefing on potential implications arising from the review.</p> <p><b>Building Control / Human Resources</b> – Continuing to strengthen the partnership so we are in a strong position to respond to changes. This includes recruiting to vacant posts, standardising terms and conditions and developing more competitive packages to offer to staff in the partnership.</p>   |
| <p><b>Finance Strategy Funding Gap</b></p> <p>The Council maintains a Medium-Term Finance Strategy (MTFS) which uses sensitivity modelling to forecast financial pressures. The latest</p>  | <p><b>Corporate</b> – Each Head of Service worked with their Finance Business Partner and presented a list of potential cost saving or income generating ideas to the Chief Executive, Director of Finance and Resources and Head of Finance and Audit.</p>  |



| Risk or Opportunity   | Actions being taken  |
|---|--|
| <p>modelling is warning of a funding gap from 2019/20. This is mainly the result of the removal of all the Revenue Support Grant (RSG) for Fareham and the reduction in the time period over which the New Homes Bonus will be paid out.</p>   | <p><b>Finance</b> – Created new ways of looking at data to help managers prepare for their meetings.</p> <p><b>Finance</b> – Carrying out cross cutting analysis of types of spend to identify where savings might be achievable, and any fees and charges streams which could be improved.</p> <p><b>Finance</b> – Targeting some service lines to understand how much they are costing versus the benefits.</p> <p><b>Finance</b> - Revising the Medium Term Financial Strategy (MTFS) and Sensitivity Analysis to make the different opportunities and pressure streams more visible.</p> <p><b>Finance / ICT</b> – Developing a finance report suite for managers to provide better budget monitoring information and details of spend with suppliers.</p> |
| <p><b>Implementing the next pay award and National Living Wage</b></p> <p>The pay agreement for mainstream employees 2018-20 introduces new criteria to support lower paid workers. We will therefore need to introduce a new pay spine to accommodate the changes from 1st April 2019.</p> <p>However, FBC does not use the national pay scales so fitting in the changes does cause some problems with the lower spinal column points. For example, if 2 old grades become part of one new grade then we lose the ability to differentiate between extra skills required between posts.</p> <p>Options include keeping the grading structure but reducing the number of Spinal Column Points, merging the lower grades, and trying to place a monetary or % gap between each SCP.</p> <p>The risk is a higher pay bill in the early years if we maintain all the differentials and a possible impact on staff morale for those posts getting less of a benefit.</p> | <p><b>Human Resources / Finance</b> – A working group has been set up to remodel FBC pay scales to take account of the changes and understand the impact on the overall pay bill. This includes the use of an external consultant to work through the impacts on posts that will be affected.</p> <p><b>Human Resources</b> - Job re-evaluation work being refreshed on all posts to check the match of skills to the pay grades.</p>    |
| <p><b>General Data Protection Regulation (GDPR) (Update)</b></p> <p>The General Data Protection Regulation came into force in May 2018. They introduce new requirements such as the need to obtain consent, the right to be forgotten, and the requirement to notify the Information Commissioner's Office of any data breach within 72 hours.</p> <p>Non-compliance with the regulations brings the risks of not delivering our customers' rights, reputational damage and ultimately fines and sanctions from the Information Commissioner's Office.</p>  | <p><b>Fareham Housing</b> - Data sharing principles with the Citizen Advice Bureau still need to be agreed raising issues with the future of funding of the money advisor post. The on-going relationship is having to be carefully managed.</p> <p><b>ICT</b> - Information Assets Register Questionnaires have been created for relevant ICT assets. This work needs to be reviewed and completed by agreeing and documenting retention periods for all assets. This work will be prioritised as one of the first tasks for the new Security Officer and should be completed in the autumn of this year.</p> <p><b>Building Control</b> – Confirmed that the partnership</p>   |

| Risk or Opportunity  | Actions being taken   |
|--|---|
|   | <p>agreement has cross delegated Building Control Powers sufficient for information sharing and checking that the fair processing notice on applications for building regulations has been updated to refer to GDPR. Memorandum of understanding that is currently in place will also be reviewed.</p> <p><b>Finance</b> - Information Assets Register Questionnaires have been created and action plan created to work through issues to be checked. Recommendations made following the Council Tax Data Protection audit have been implemented.</p>   |
| <p><b>Ensuring Value for Money of Housing Works (Update)</b></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>It was highlighted last time that this arrangement has not yet been subject to market testing although the value of spend on this work is significant.</p>    | <p><b>Corporate</b> – A full restructure has been completed to create the directorate of Fareham Housing and clarify roles and responsibilities in relation to the contractors being used on Council property.</p> <p><b>Fareham Housing</b> - A tender process is underway seeking a single suitable contractor to carry out refurbishment of Fareham Borough Council's Housing stock in four categories of work. These are voids, reactive replacement kitchens and bathrooms; disabled adaptations; and other occasional reactive works.</p> <p>The contract duration will be 5 years (3 + 1 + 1) with the anticipated start date of February 2019 following the full procurement process. The estimated value of the contract (full 5-year term) is £6.2m</p> <p>The specification and tender documentation has been prepared by the Planned Maintenance section and the opportunity was advertised on the South-East Business Portal in accordance with European Union procurement legislation. A shortlist has now been agreed.</p> |
| <p><b>Leaseholder Service Charges (Update)</b></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.</p> <p>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>The actions the Council have been taken to improve customer satisfaction with the bills were detailed in the September 2017 risk report. Further actions that have been taken since are listed here.</p> | <p><b>Fareham Housing</b> – The Directorate restructure has resulted in new officers in post including:</p> <ul style="list-style-type: none"> <li>a) Leaseholder Management Officer, reviewing the service with fresh eyes.</li> <li>b) Change of housing administration officers who act as the first point of call with prospective leaseholders to explain the maintenance obligations.</li> <li>c) Head of Building Maintenance and repairs administration staff influencing the quality of repairs data being recorded on FBC cards.</li> </ul> <p><b>ICT / Finance</b> – Actions taken to use FBC cards to help reduce the administration involved in updating the recharges spreadsheets.</p>   |

| Risk or Opportunity   | Actions being taken   |
|---|---|
| <p><b>Maintaining adequate staff numbers for the out of hours service</b></p> <p>The Council has an on-going risk to manage concerning our ability to recruit the right numbers of officers to respond to complaints and refer to the appropriate team such as Environmental Health, and Building Services tradesmen.</p> <p>Cover is still being managed at the current time, although there is a need to recruit new staff to this role as the number of out of hours officers has reduced.</p>  | <p><b>Corporate</b> – Vacancies have been filled by identifying and targeting employees with a good fit for the role.</p> <p><b>Communications and HR</b> - Discussions to be held with Heads of Service to give the opportunity for employees to show how they can make a difference undertaking the role and gain a greater understanding of what the Council does for its customers.</p> <p><b>Fareham Housing</b> - Reduced the tradesmen cost as the officers now negotiate more; for example, if a job can wait until tomorrow or will be charged if not an emergency.</p> <p><b>Corporate</b> – Reviewing how parking barrier problems out of hours could be reduced – currently an officer has to take a parking phone home to resolve exit problems.</p> |
| <p><b>Approach to Tree Management (Update)</b></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>Consequently, the budget set for the tree service across the Council continues to be significantly overspent and there is some customer dissatisfaction.</p>   | <p><b>Development Management</b> - A Vanguard intervention into tree service is nearly complete which has made visible the nature of the spend across the different streams of “good neighbour” pruning, health and safety works and the adoption of new sites which contain resident trees.</p> <p><b>Development Management</b> – Further work is now planned to affirm the Council’s policies in relation to the different spend streams and set the budget accordingly.</p>   |

| Risk or Opportunity  | Actions being taken  |
|--|--|
| <p style="text-align: center;"><b>Welborne Planning Application</b></p> <p>The majority land owner and Master Developer for the Welborne Garden Village has submitted a planning application which is currently undergoing determination.</p> <p>The timing of the determination will affect when the Section 106 (S106) agreement can be completed and when the works on site can start.</p> <p>Delays to starting the build on site will mean more planning applications for housing elsewhere in the borough will be received, which will be difficult to defend.</p>    | <p><b>Development Management</b> – Pre-application advice has been provided to the land owner. We are hoping to recover our costs for this service.</p> <p><b>Development Management</b> – Two dedicated posts have been maintained in the service to resource the work relating to the planning application.</p> <p><b>Development Management</b> – Strategic issues to be resolved and operational work that needs completing have been identified. Progress on agreed actions is monitored weekly. ‘Rag’ rating has been used so the top issues can clearly be seen.</p> <p><b>Development Management</b> – Weekly meetings are held with the master developer. There is a collaborative approach to this including off site workshops to aid problem solving and relationship building when reaching decisions. The master developer is maintaining a project plan and critical path analysis so they can work through all the additional information and analyses they need to provide.</p> <p><b>Welborne Strategy</b> – Work on the planning conditions and the S106 agreement is being twin tracked where possible to minimise the delay between the planning permission agreement and the S106 agreement being drawn up.</p> <p><b>Welborne Strategy</b> – An engagement programme for members of the Planning Committee will start to be delivered when the planning application determination is nearing decision. This will include site visits to similar communities in the country.</p> |
| <p style="text-align: center;"><b>Managing the Implications of the Welborne Planning Application</b></p> <p>The outcome of the planning application determination will have significant implications for the infrastructure and green space that is included in the Welborne Garden Village and how it is managed. The most significant risks associated with the process, which are interrelated, are:</p> <p><b>Delivery of the Infrastructure whilst maintaining Viability of the Scheme</b></p> <p>The planning process seeks to secure the infrastructure required in the Welborne Plan; e.g. educational establishments, leisure facilities, transport links, health facilities, community facilities. The master developer/landowner will be seeking to make a return from the development through an increase in land value and through the provision of housing and commercial properties. The development therefore needs to be viable for them in terms of the income it will generate versus the costs of the infrastructure they will be required to provide. The phasing of the works also needs to be planned to help with the cash</p> | <p><b>Welborne Strategy</b> – Welborne Delivery Group set up which meets fortnightly to thrash out issues to be resolved relating to Place making. The group is attended by representatives of FBC and the master developer and other interested parties as needed. The Group is chaired by consultants to facilitate the discussion.</p> <p><b>Welborne Strategy</b> – Specialist sub-working groups e.g. education, are set up on a task and finish basis to reach an agreement on what the minimum infrastructure requirements are that must be delivered.</p> <p><b>Welborne Strategy</b> – In-house cross service working groups convened as needed to identify the service specific implications of the planning application proposal. E.g. affordable housing, leisure.</p> <p><b>Development Management</b> – Consultants have been commissioned to help with confirming the viability of the proposal and to advise on the projected costs of the infrastructure requirements.</p> <p><b>Welborne Strategy</b> – Hampshire County Council have taken on the role of the scheme promoter for junction 10 and are chairing a bi-monthly steering group involving representatives from Fareham BC, the Solent Local Enterprise Partnership and the Department for</p>  |



| Risk or Opportunity  | Actions being taken   |
|--|---|
| <p>flow of the project.</p> <p><b>Delivering Affordable Housing</b></p> <p>There is an expectation in the Welborne Plan that the development will deliver a significant level of affordable housing in the borough, albeit this will be less profitable for the developer. The viability of the scheme work therefore needs to allow for the implications of the affordable housing provision.</p> <p><b>Delivering Junction 10 of the M27</b></p> <p>Transport modelling has confirmed that junction 10 of the M27 will need to change to cope with the number of houses proposed for the Welborne development.</p> <p>Highways England also have plans to upgrade the M27 from junction 4 to junction 11, as part of their smart motorway proposals.</p> <p>Funding streams have been sourced to help pay for the works but there are timeframes stipulated in which the money needs to have been spent.</p> <p>Any balance of funding needed from the developer will also impact on the viability calculations.</p> <p><b>Stewardship and Maintenance Obligations</b></p> <p>Once the development has been delivered there will be on-going site management obligations with potential financial implications for the district and county councils e.g. for grounds maintenance or community building maintenance. Current indications are that the developer will take on much of this role with the associated risks.</p> <p><b>Medium and Long-term impact on Service Provision</b></p> <p>An increase in the population in the borough will have an impact on the level of statutory services the Council must provide, irrespective of the planning application determination (e.g. environmental health inspections, refuse collection). The implication of these at each phase of the development, compared to the council tax income, will need to be understood.</p> | <p>Transport. The group has been set up to confirm the design meets the of all parties.</p> <p><b>Welborne Strategy</b> – Monthly updates provided to senior managers.</p> <p><b>Welborne Strategy</b> – Relevant briefings of members are being provided on the corporate implications of the Welborne development.</p> <p><b>Welborne Strategy</b> – Relevant briefings of senior managers and members planned on the FBC service implications of the phases of the Welborne development.</p> <p><b>Welborne Strategy / Finance</b> – Model to be developed to estimate the financial implications for council services for each phase of the development.</p> <p><b>Welborne Strategy</b> – Relevant discussions with senior officers and/or members concerning the stewardship and governance influences on the development.</p> <div data-bbox="865 1095 1465 1352" data-label="Image"> <p>The logo for Welborne A Garden Village features a stylized blue 'W' above the word 'WELBORNE' in a blue serif font, with 'A GARDEN VILLAGE' in a smaller, grey sans-serif font below it.</p> </div> |



## Appendix D – Detailed List of Risks, Opportunities and Actions Covered in the Manager Discussions

Those in **bold** are detailed further in the appendices above

| Service Manager (s)   | Subjects discussed  |
|---|---|
| Finance and Audit   | <p>Changes in Business Rates Retention</p> <p>New Procurement and Contract Procedure Rules</p> <p>Closure of Accounts - imposed early statutory deadlines</p> <p>IPCO – Investigatory Powers Commission Office inspection</p> <p>Problem with Council Tax annual billing print</p> <p>Failure of Cheque printer and move fully to electronic payments</p> <p>Finance Strategy Funding gap</p> <p>Leaseholder Charges</p> <p>GDPR - Actions</p> <p>MIFID11 requirements – Markets in Financial Instruments Directive 2</p> <p>Payroll Error</p> <p>Strengthening account write off process</p> <p>Increased cost of Oracle Licence</p> <p>Delay in implementation of next finance system</p> <p>Frauds in the year</p> <p>Former tenant arrears – improving the process</p> <p>Concerns about workload of some team members and associated stress v getting projects delivered</p> |
| Human Resources (HR) and Information and Communication Technology (ICT) | <p><u>ICT</u></p> <p>Failure of Hub backups</p> <p>Cyber Security</p> <p>Telephone upgrade project – opportunities for service flexibility</p> <p>Minimising FBC risks associated with providing IT infrastructure for Solent Airport</p> <p>Failure of Print Room equipment</p> <p>GDPR compliance</p> <p>Maximising security, resilience and speed in off-site data solutions</p> <p>Virtual server environment – opportunities for resilience and cost reduction</p> <p>Recruitment and retention of IT security staff</p> <p>Maintaining provision of services when key members of staff leave</p> <p>Changes to the Public-Sector Network (PSN) regime and requirements</p> <p>Risk of cyber attack</p> <p><u>HR</u></p> <p>Meeting requirements of the Apprenticeship Levy</p>  |

| Service Manager (s)  | Subjects discussed   |
|----------------------|--|
|                      | <p><a href="#">Use of Vehicles Policy</a></p> <p>Maintaining morale and fairness when implementing the pay award and National Living Wage</p> <p>Ferneham Hall resourcing before new operators in place</p> <p>Loss of Ework server – switch to MyHR system</p> <p>Relationship development with Police Drugs Unit</p> <p>Loss of corporate knowledge resulting from housing restructure</p> <p>GDPR compliance</p> <p>Allowing CVs in recruitment – missing information</p>   |
| Building Control     | <p><a href="#">Preparing for changes in Quality Management Accreditation</a></p> <p><a href="#">Implications of the Hackitt review</a></p> <p><a href="#">Difficulties in retaining skilled surveyors</a></p> <p><a href="#">GDPR – actions in progress</a></p> <p>Impact of Extreme Hot weather</p> <p>Future model of operation for building control</p> <p>Reduced Fee income if there is a forecast downturn in the market</p> <p>Certifying work that isn't sound (reputation &amp; safety risk)</p> <p>Partnership does not break even (financial)</p> <p>Loss of IT systems (technological)</p> <p>Lone working (Health &amp; Safety)</p> <p>Maintaining customer satisfaction so retain market share.</p> <p>Power outage – on-going actions and contingency work in 2018</p> <p>Temporary demountable structures.</p> <p>Safety Advisory Groups</p> <p>Delays in Vanguard review of the service</p> |
| Development Control  | <p><a href="#">Welborne Planning Application.</a></p> <p><a href="#">Greenfield Sites and Planning appeals (5-year housing supply)</a></p> <p><a href="#">Tree Management costs</a></p> <p>Reputational risks from making the wrong planning decisions / managing corruption allegations, including risk of judicial review</p> <p>Collection of Community Infrastructure levy</p> <p>Opportunity for increased charges for pre-application advice</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>New module on Ocella It system for S106 agreements</p> <p>Document management system – needs rebuilding, the system is slowing down and administration is cumbersome and time consuming.</p>   |
| Housing and Benefits | <p><a href="#">Managing Fire Risks in Housing Properties (Update)</a></p> <p><a href="#">Impact of the Homelessness Reduction Act (Update)</a></p>   |

| Service Manager (s)              | Subjects discussed   |
|----------------------------------|--|
|                                  | <p>Delays in the Introduction of Universal Credit (Update)</p> <p>Preparing for IPCO inspection</p> <p>Housing Strategy (Update)</p> <p>Leaseholder Service Charges (Update)</p> <p>General Data Protection Regulation (GDPR) - data sharing with the CAB</p> <p>Leaseholder Service Charges / Land Charges – change in personnel</p> <p>Increases in current and former tenant arrears / changes in the process with finance</p> <p>Review of Management System and move to mobile working</p>  |
| Building Repairs and Maintenance | <p><u>Building Repairs and Maintenance</u></p> <p>Workforce Planning in Building Maintenance</p> <p>Gas Servicing work contractors</p> <p>Overcharging by contractors</p> <p>Ensuring Value for Money of Housing Works (Update)</p> <p>Ground worker vehicle fails</p> <p>Risks of loss of stock or obsolete stock</p> <p>Clarity of stock owned by the Council</p> <p>Improving communication between teams at depot and civic offices</p> <p>Keeping up with legislative requirements and any changes arising from the report on the Grenfell incident</p> <p>Checking that compliant with GDPR requirements</p> <p><u>Out of Hours Service</u></p> <p>Maintaining adequate staff numbers for the out of hours service</p> <p><u>Emergency Planning and Business Continuity</u></p> <p>Strengthening support for Emergency Planning and Business Continuity arrangements</p> <p>Body found in Council car park</p> <p>Ordnance found in waterway near Daedalus site</p> <p>Fires in Council housing properties</p> <p><u>CCTV</u></p> <p>Preparing for IPCO inspection</p> |
| Welborne Strategic Lead          | <p>Scheme is not viable for the developer / developer becomes insolvent during delivery of the development</p> <p>Affordable housing requirements need to be delivered</p> <p>Junction 10 design requirements for the Welborne plan and smart motorway scheme</p> <p>Funding streams and implications for Junction 10 delivery</p> <p>Stewardship of the finished development</p> <p>Medium and long-term impact on provision of council services</p>  |

| <b>Service Manager (s)</b> | <b>Subjects discussed</b>   |
|----------------------------|---|
|                            | Non-resolution of planning application issues<br>Management company obligations are not met |