

# FAREHAM

## BOROUGH COUNCIL

### Report to Audit and Governance Committee

**Date:** 23 September 2019

**Report of:** Deputy Chief Executive Officer

**Subject:** RISK MANAGEMENT MONITORING

#### 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.

*The Audit and Governance Committee's area of responsibility for Risk Management includes:*

- a) to monitor the effective development and operation of risk management in the Council.*

#### 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 December June and July 2019.

## 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 for 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 Democratic Services (LU)
Welborne Strategic Lead (SW)	Head of Coastal Partnership (LC & JR)
Affordable Housing Strategic Lead (RL) - <b>NEW</b>	Head of Property Services (GH)
Managers from Human Resources and ICT	Welborne Strategic Lead (SW)

## STRUCTURE OF THE EVIDENCE GATHERED

4. 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 - Risks where action is *still needed*
  - (b) Appendix B - New actions taken *reacting* to risks or incidents
  - (c) Appendix C - New actions taken *anticipating* risks or opportunities

5. We also followed up on most of the risks highlighted last time where “action is still needed”. These are highlighted by “(Update)”.

## **APPENDICES**

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

Appendix B: Risks noted where further actions are still needed

Appendix C: Examples of Actions Taken REACTING to Risks or Incidents

Appendix D: Examples of New Actions Taken ANTICIPATING Risks or Opportunities

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

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)

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

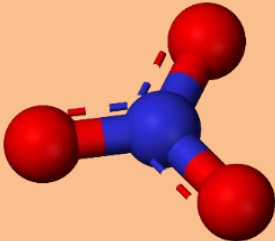
Service Manager (s)	Subjects discussed
Development Management	<p><u>Featured</u></p> <p>Microfiche Project to remedy the risk that we could potentially lose access to 50 years of Planning Applications</p> <p>Developer withholding (CIL) obligations</p> <p>Unable to grant Planning Permission on new build applications due to NITRATE levels.</p> <p>Approach to Trees Management (Update)</p> <p>Welborne Planning Application (Update) - Highways and Traffic Impact solutions still to be sought</p> <p><u>Others Discussed</u></p> <p>New module on Ocella for s106 agreements being implemented.</p> <p>BPMS developments to give time savings - how long it takes to save things and link in documents. - work to do.</p> <p>Effect of prolonged drought on tree risk assessments</p> <p>Recruitment work - looking at bringing some of the appeal work in-house to reduce appeal costs. Principle planner to bring in extra capacity for the number of applications that dealing with. Internal recruitment successful and will recruit into the vacancy</p> <p>Progress being made on meeting 5-year planning supply targets. Planning committee is granting permission to help achieve. However, still problems with getting the developments built and need to work with developers to unlock the problems causing sites to stall.</p>
Building Control	<p><u>Featured</u></p> <p>Vanguard Intervention into the Building Control Service (OPPORTUNITY)</p> <p>Impact of Insurance Provider Changes on Building Control Partnership</p> <p>Hackitt Review into Building Control (Update)</p> <p><u>Others Discussed</u></p> <p>Difficulties in retaining skilled surveyors</p> <p>Reputational impact and additional work arising from Grenfell Tower disaster</p> <p>Future model of operation for building control e.g. Local Authority Trading Company – project on-hold awaiting Hackitt Review</p> <p>Reduced Fee income if there is a forecast downturn in the market – Currently partnership has seen increase in work load</p> <p>Impact of Brexit if there is a downturn in the economy which could result in a reduced workload</p> <p>Maintaining customer satisfaction so retain market share. Continued monitoring application first response times and currently up from 76% to 78%.</p> <p>Temporary demountable structures. A risk for events like D-day, festivals etc</p> <p>Safety Advisory Groups</p>
Building Repairs and Maintenance	<p><u>Featured</u></p> <p>Ensuring Value for Money from Housing Contractors</p> <p>Strengthening Civil Contingency arrangements</p> <p>Health and Safety of Tradesmen</p> <p>Excess Charging by Contractors (Update)</p>

Service Manager (s)	Subjects discussed
	<p><a href="#">Use of Out of Date Scaffold</a></p> <p><a href="#">Maintaining Adequate Staff Numbers for the Out of Hours Service (Update)</a></p> <p><u>Others Discussed</u></p> <p>A dedicated admin team member has been allocated to the management of the gas servicing contract. Key Performance Indicators are being kept at 98%.</p> <p>A review of the vehicles being used by Building Repairs service identified the need to replace a number of vehicles so that the service can remain robust and reduce the reliance on contractors.</p> <p>On-going risk to manage concerning ability to recruit and retain the skilled staff needed in a competitive market.</p> <p>The administration team are conducting spot checks on out of hours claims contractors to ensure that they are made in line with terms and conditions.</p> <p>Funding the of the CCTV upgrade at the depot.</p>
Housing and Benefits	<p><u>Featured</u></p> <p><a href="#">Responding to the Homelessness Reduction Act (Update)</a></p> <p><a href="#">Increased Risk of Subsidy Penalties due to roll out of Universal Credit</a></p> <p><a href="#">New Housing System including reduced Rent Arrears (Opportunity)</a></p> <p><a href="#">Unreasonable Complaint Behaviour</a></p> <p><u>Others Discussed</u></p> <p>Small chimney fire in council property</p> <p>Protecting the future Homeless Shelter provision</p> <p>Work force planning as the number of Universal Credit cases increases, but residual elderly and complex cases still need resourcing</p> <p>Change in DWP policy to return to joint prosecutions for fraud.</p> <p>Implementation of the tenancy services restructure and reduced risk of knowledge loss.</p> <p>Use of a temporary officer working purely to reduce rent arrears.</p> <p>Proactive counter Fraud campaigns – tenancy audits and mortgage data match</p>
Finance and Audit	<p><u>Featured</u></p> <p><a href="#">Making Tax Digital – VAT</a></p> <p><a href="#">New Finance System (Opportunity)</a></p> <p><a href="#">VAT Implications for Fuel at Daedalus</a></p> <p><a href="#">Resourcing the Internal Audit Plan</a></p> <p><a href="#">Finance Strategy Funding Gap (Update)</a></p> <p><u>Others Discussed</u></p> <p>Changes to the Construction Industry Service (CIS) – Domestic Reverse Charge (DRC) for building services and VAT invoices</p> <p>Monitoring 2018 Drought impact on insurance claims</p> <p>Insurance Tender and potential Local Government association mutual</p> <p>GDPR</p> <p>Leaseholder and Property Services Service Charges</p>

Service Manager (s)	Subjects discussed
	<p>Ensuring consistent and timely debt collection</p> <p>Actions taken to identify and mitigate fraud Risks</p> <p>Changes to Treasury Management Policy and use of new types of fund</p> <p>Meeting requirement for a Capital Strategy</p> <p>External printing of annual council tax bills, reducing paper documentation in exchequer</p> <p>Resilience of the MOTO telephone payment system</p>
Human Resources	<p><u>Featured</u></p> <p><a href="#">Managing the Change Implications of Staff Restructures</a></p> <p><a href="#">Improving the effectiveness of Sickness Absence Management</a></p> <p><a href="#">Senior Management Development (Opportunity)</a></p> <p><a href="#">Skills Shortage</a></p> <p><u>Others Discussed</u></p> <p>Apprenticeship Levy - same approach, all new roles assessed to see if meet the Apprenticeship rules.</p> <p>Embedding the Fareham Housing restructure</p> <p>Embedding the use of vehicles policy</p> <p>Mobile Phones Usage Policies</p> <p>MY HR- Going paperless, payslips will be different, and the use of this module offers more opportunities for a more streamlined management system.</p> <p>New platform to record gifts and hospitality</p> <p>Strengthening 'Whistleblowing' by changing the terminology to Report A Concern. The new policy is approved, but operationally this hasn't progressed.</p> <p>Senior Management Restructure</p> <p>Garden Waste - Occupational Health have raised the issue of lifting the bags.</p> <p>Front Facing Staff - e.g. Inappropriate behaviour in some settings that are non-office based. Ensuring that those staff who may be isolated from FBC core values are regularly monitored.</p>
ICT	<p><u>Featured</u></p> <p><a href="#">Mobile Phone Replacement</a></p> <p><a href="#">Failure of Print Room Equipment (Update)</a></p> <p><a href="#">Cyber Security (Update)</a></p> <p><u>Others Discussed</u></p> <p>Telephony Upgrade</p> <p>ICT Monthly bulletins</p> <p>New security policies written</p> <p>Solent Airport ICT support</p> <p>Annual PSN assessment</p> <p>Disaster recovery testing</p> <p>Penetration testing</p> <p>Annual Cyber Testing</p> <p>ICT Expo</p> <p>Resourcing new system implementations</p>

Service Manager (s)	Subjects discussed
Affordable Housing Strategic Lead	<p><u>Featured</u></p> <p>Delivering Housing Development Sites</p> <p>New Housing System (Opportunity)</p> <p>Housing Strategy (Update)</p> <p><u>Others Discussed</u></p> <p>Resources in Property Services and Housing Strategy</p>
Welborne Strategic Lead	<p><u>Featured</u></p> <p>Determining the Welborne Planning Application</p> <p>Managing the Implications of the Welborne Planning Application including:</p> <ul style="list-style-type: none"> <li>• Delivery of the Infrastructure whilst maintaining Viability of the Scheme</li> <li>• Delivering Affordable Housing</li> <li>• Stewardship and Maintenance Obligations</li> <li>• Delivering Junction 10 of the M27</li> <li>• Delivery of placemaking requirements</li> <li>• Medium and Long-term impact on Service Provision of the new development</li> </ul> <p><u>Others Discussed</u></p> <p>Council achieving appropriate consideration for the cottages purchased in advance of the development.</p> <p>Negotiations with the NHS Clinical Commissioning Group</p> <p>Healthy new towns bid</p> <p>reputation impact of early development of site near to Welborne which is outside for the borough boundary and not subject to the FBC planning policy and design codes.</p> <p>Network rail strategic review of the Solent network and potential cost of building the station at the railway halt.</p> <p>Issues over Community use of school sports pitches</p>

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

Risk or Opportunity	Actions being taken
<p><b>Risk to 5-Year Housing Supply Targets due to NITRATE levels.</b></p> <p>Natural England, the statutory consultee with responsibility for the natural environment, have advised the Council and other Councils with a Solent coastline, that development in the Borough must be nitrogen neutral in order to mitigate a likely significant effect on internationally important protected sites in the Solent. The Council should only depart from the advice of Natural England for good and justified reasons.</p> <p><b>Therefore, no planning permission has been granted since March 2019 on new residential and overnight accommodation. This is affecting the ability to meet obligations in terms of housing need.</b></p>  <p>High levels of dissolved inorganic nitrogen (made up of nitrates, nitrites and ammonium) are affecting the Solent coastline and the feeding sites of over wintering birds. Nitrate rich water breeds algae and cuts off the natural vegetation these birds need to feed on. There are also plants, habitats and other animals within the Solent which are of both national and international importance. Some of these are protected by UK/European Law.</p> <p>One of the causes of a deterioration in water quality is new developments creating additional wastewater which is treated at Wastewater Treatment Works and discharged into the Solent. The percentage of nitrate coming from this source varies depending on the location in the Solent but is small (3-18%) in comparison to run-off from agriculture (20-77%) and background levels already in the waterbody (12-67%).</p>	<p><b>Corporate</b> - Joint working with the Partnership for South Hampshire (PfSH) authorities to liaise with the Environment Agency, Natural England and Southern Water, the Ministry for Housing, Communities and Local Government (MHCLG) and the Department for the Environment, Food and Rural Affairs (DEFRA) in finding a solution.</p> <p><b>PfSH</b> - Commissioned an Integrated Water Management Study (IWMS) looking into the effects of planned future development on water quality and water resources.</p> <p><b>Development Management</b> - Have commissioned work across the Borough, to assess whether the effects of emissions from increased traffic along roads within 200 metres of European Protected Sites will have a likely significant effect upon them. This work is expected to be completed by late summer 2019.</p> <p><b>Development Management</b> – A number of potential measures have been identified to deliver nitrate neutrality in the Borough:</p> <ol style="list-style-type: none"> <li>Management of existing agricultural land</li> <li>Wetland creation</li> <li>Water efficiency measures in existing FBC housing stock</li> <li>Improvements to Peel Common wastewater treatment works</li> <li>Additional mitigation land secured through the Regional Habitat Creation Scheme</li> <li>Catchment Sensitive Farming Advisors and advice</li> </ol> <p>Further discussions are required with third parties to advance many of these options. Early work suggests that a combination of measures would be sufficient to provide a solution for housing development going forward. This information would be developed in a <b>Definitive Nitrate Mitigation Solution</b> that would confirm the level of mitigation is sufficient to offset the scale of development, both for a number of current planning applications and the Local Plan.</p>



Risk or Opportunity	Actions being taken
<p><b>Finance Strategy Funding Gap (Update)</b></p> <p>The Council maintains a Medium-Term Finance Strategy (MTFS) which uses sensitivity modelling to forecast financial pressures. The latest modelling has predicted a funding gap in 2020/21. This is mainly the result of the removal of all Revenue Support Grant (RSG) for Fareham, and the changes made to the New Homes Bonus.</p> <p>The next Fair Funding review, which sets new funding baselines is due in 2019/20. However, this is not expected to help bridge the gap and may result in a negative RSG payment to the Government. Changes are also proposed in the level of Business Rates retention but again this is more likely to assist the County Council than District Councils.</p> <p>Due to other Government priorities there has been a delay to the Fair Funding review and it is now believed that there will only be a one-year settlement agreed this year. Until there is an announcement from Central Government we are unsure of the financial implications.</p> <p>The actions the Council was taking to bridge the funding gap were detailed in the September 2018 risk report. Further actions that have been taken since are listed here.</p>	<p><b>Corporate</b> - An Opportunities Plan was pulled together and prioritised from the ideas suggested by Heads of Service, to either reduce expenditure or increase income. This was approved by Executive in January 2019 and £600,000 was allocated during 2019/20 and 2020/21 to deliver the plan in an 'Invest to Save' approach. The plan could deliver potential savings of £1.5m going forward which would be sufficient to bridge the forecast funding gap and cover upcoming pressures not yet built into the modelling.</p> <p><b>Finance</b> – An Opportunities Team has been set up and recruited to, using the allocated funds to work on the projects that would not be possible to complete within current resources. The team consists of a Project Coordinator, Financial Analyst and Researcher and will be in place for a fixed term of 2 years.</p> <p><b>Finance / ICT</b> – Developing and rolling out a finance report suite for managers to provide better budget monitoring information and details of spend with suppliers.</p> <p><b>Finance</b> - Further financial analysis being undertaken to identify the level of funds needed to deliver the corporate priorities.</p> <p><b>Corporate</b> – The Council overspent on its General Fund allocation in 2018/19. A communication strategy is in progress to make areas of overspending visible to spending managers and committees.</p> <div data-bbox="981 1115 1380 1388" data-label="Image"> <p>A graphic titled 'Fair Funding Review Modelling tools' featuring a stack of several gold coins on a light blue background.</p> </div>
<p><b>Approach to Trees Management (Update)</b></p> <p>Since 2014 lots of work, assessments, inspections have happened to record the position and health of our tree stock. Inspections are carried out currently every 3 years, and any remedial works arising are completed. The Council also carries “good neighbour works” to resolve problems trees are causing to residents.</p> <p>However, the amount being spent on Tree works has for some years exceeded the budget allocation, and there is some customer dissatisfaction. Work is therefore needed to define a new policy for tree management, to challenge if the inspector frequency and good neighbour works are value for money.</p>	<p><b>Development Management</b> – Second stage of vanguard intervention is underway to assess what drives the inspections and in turn the would be claims. We need to be able to defend our policy on trees whilst remaining aware of the increasing costs managing the trees and being able to defend the costs associated with inspections, good neighbour pruning and all tree works.</p> <p><b>Development Management</b> – Independent adviser being used to challenge current thinking on the purpose of the service and what matters.</p> <div data-bbox="1185 1758 1517 1966" data-label="Image"> <p>A photograph of a single, large, full-canopied green tree standing on a grassy hill under a clear blue sky.</p> </div>
<p><b>Determining the Welborne Planning</b></p>	<p><b>Development Management</b> – Twin tracked work on the</p>

Risk or Opportunity	Actions being taken
<p data-bbox="347 206 639 237"><b>Application (Update)</b></p> <p data-bbox="165 255 815 618">The determination of the Welborne Planning application remains a high risk for the Council. The timing of the determination will affect when the Section 106 (S106) agreement can be completed and when the works on site can start. The delivery of homes through Welborne takes pressure off other sites in the borough, so there is an ongoing risk with delays in starting the build that more planning applications for housing elsewhere in the borough will be received which will be difficult to defend.</p> <p data-bbox="165 640 810 938">The majority land owner and master developer for the Welborne Garden Village has submitted 3 sets of further updates to the planning application in December, March and July which have resulted in further statutory consultations, as part of the undergoing determination. We are still, however waiting for the updated formal viability report which will require its own consultation process.</p> <p data-bbox="165 960 815 1189">We are also waiting for responses from the two statutory highways authorities, without which the committee report cannot be published. The consultation covers Junction 10 of the motorway and the general impact of the traffic on the A32. If J10 doesn't receive funding and permission, there will only be 1,100 new homes permitted.</p> <p data-bbox="165 1211 815 1339">The actions the Council has been taking to get the application ready for determination have been detailed in previous risk reports Further actions that have been taken since are listed here.</p>	<p data-bbox="842 206 1501 293">planning conditions and the S106 agreement has been completed as far as it can be until committee resolution is given.</p> <p data-bbox="842 315 1522 400"><b>Development Management</b> – Committee report is being written as issues are resolved so it is ready as soon as the committee is called. The report is of a significant size.</p> <p data-bbox="842 434 1501 555"><b>Development Management</b> – Working with developer, and external advisors, to reach a mutual conclusion on viability and affordable housing issues and set a deadline for the receipt of the viability report.</p> <p data-bbox="842 589 1522 736"><b>Development Management</b> – Refreshed the planned engagement programme for members of the Planning Committee which will now be provided to all members before the planned committee and will consist of a series of briefings on specific topics.</p> <p data-bbox="842 763 1522 848"><b>Democratic Services</b> – The Committee team have been briefed and are ready to call a special meeting of the Planning Committee when the service is ready.</p> <p data-bbox="842 875 1522 1023"><b>Welborne Strategy</b> – Joint working with funders, project sponsors, developer and council on the junction 10 design and traffic modelling. Junction 10 steering group meeting regularly supported by telecons with the local MP and the Department for Transport.</p> <div data-bbox="1007 1072 1350 1301" data-label="Image"> </div>

Risk or Opportunity	Actions being taken
<p data-bbox="188 219 794 286"><b>Managing the Implications of the Welborne Planning Application (Update)</b></p> <p data-bbox="164 302 815 533">As highlighted in previous reports, 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> <ul data-bbox="164 555 770 846" style="list-style-type: none"> <li>• Delivery of the Infrastructure whilst maintaining Viability of the Scheme</li> <li>• Delivering Affordable Housing</li> <li>• Stewardship and Maintenance Obligations</li> <li>• Delivering Junction 10 of the M27</li> <li>• Delivery of placemaking requirements</li> <li>• Medium and Long-term impact on Service Provision of the new development</li> </ul> <p data-bbox="164 864 815 931">Further actions being taken to manage these risks are provide</p>  	<p data-bbox="842 219 1453 286"><b>Delivery of the Infrastructure whilst maintaining Viability of the Scheme</b></p> <p data-bbox="842 297 1522 443"><b>Corporate</b> – Negotiations continue between Council representatives, external advisers and senior parties from the Land Owner and Master Developer to make sure the maximum benefits from the development of the site are achieved.</p> <p data-bbox="842 465 1522 611">The financial assumptions being used have been agreed within acceptable tolerances and the infrastructure delivery has been agreed. Discussions have concluded about the mix of affordable housing that can be delivered. (see below)</p> <p data-bbox="842 633 1522 757"><b>Corporate</b> – Legal advice has been received on the applicability of CIL and this is being reviewed in the context of the viability of the scheme and other infrastructure needs of the borough.</p> <p data-bbox="842 786 1230 819"><b>Delivering Affordable Housing</b></p> <p data-bbox="842 835 1522 1048"><b>Welborne Strategy</b> – The commissioned reports have been received which have refreshed the data on what the housing needs of the borough are, compared to what the original policy position was. This covers the required mix of Affordable rent, intermediate housing, Passivhaus housing (with improved energy efficiency) and lifetime homes with improved accessibility)</p> <p data-bbox="842 1066 1522 1189"><b>Housing Strategy</b> – The Housing Strategic Lead has also reviewed the proposals in line with the conclusions from the Housing Strategy work on what type of affordable housing the borough needs.</p> <p data-bbox="842 1205 1522 1328"><b>Corporate</b> – Discussions have concluded with developer and land owner about the mix and phasing of the delivery of the different housing types. Also working to agree a review mechanism of delivery across the phases.</p> <p data-bbox="842 1357 1385 1391"><b>Stewardship and Maintenance Obligations</b></p> <p data-bbox="842 1406 1522 1585"><b>Corporate</b> – The developer submitted a draft stewardship proposal, based around a Residents Trust governed by a multi-party Management Board. Draft Articles of Association have now also been received which have been reviewed by the legal team who have suggested some adjustments which are currently under negotiation.</p> <p data-bbox="842 1603 1522 1727"><b>Development Management</b> – Wording of the condition in the s106 agreements being carefully considered to prevent multiple changes to the s106 as the articles change.</p> <p data-bbox="842 1742 1522 1832"><b>Welborne Strategy</b> – A visit is being organised from the Bournville Trust, to learn the lessons on stewardship from the model they used.</p> <p data-bbox="842 1850 1522 1973"><b>Legal Services</b> – The legal team are providing advice on the proposals and will advise on how these have been drafted into the Articles of Association for the Trust when submitted by the developer.</p>

## Risk or Opportunity

## Actions being taken

### Managing the Implications of the Welborne Planning Application (con)



### Delivery of placemaking requirements

**Welborne Strategy** – Experienced consultants are assisting with developing a strong working relationship between the Council and the Master Developer to achieve a vision that would meet the needs of both parties. The procurement rule obligations are being reviewed to potentially extend the use of the consultants.

**Welborne Strategy** – A series of workshops are being held between the developer and their architect, the Council and the FBC consultants on the Welborne Masterplan and proposals for the Strategic Design Code. The Code will include the Welborne Street Manual, integrating highways design and adoption issues critical to retaining the character of the Garden Village for the next 20 years.

This work is progressing in parallel to the work on the Outline Planning Application so that the Strategic Design Code can be submitted to the Council for approval as soon as possible after outline planning permission is determined.

**Welborne Strategy** – Working to identify how many sub-design codes need to be developed. A bid for a further £500,000 of funding was submitted to Homes England at the end of July to help fund the work that will be needed to develop these codes.

### Delivering Junction 10 of the M27

**External** - Hampshire County Council have taken on the role of the scheme promoter for junction 10 and are chairing steering groups involving representatives from interested parties including the Department for Transport (DfT) and Highways England.

A group has been set up to resolve key issues hampering the delivery of the Junction 10 scheme. These include scheme design, scheme costs and s funding. This will result in a clearer cost for the agreed scheme which can be used to submit the business case to DfT after planning permission is granted.

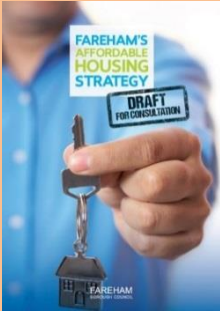
**External** – Funding issues with developing the Full Business Case, which is required to draw down DfT and LEP funding have been resolved.

**Welborne Strategy** – The team, plus legal advisers, continue to work with the Ministry of Housing, Communities & Local Government (MHCLG) to secure assistance from the Housing Infrastructure Fund (HIF) to help fund the junction, with workable terms and conditions surrounding the acceptance of this funding.



**Welborne Strategy** – Series of options being drawn up should there be the need to bridge any potential residual capital funding gap

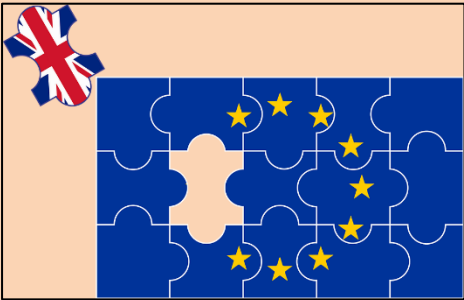
**Welborne Strategy** – Legal advice obtained on how the planning determination can proceed whilst junction 10



Risk or Opportunity	Actions being taken
	<p>funding work continues, to avoid future judicial reviews.</p> <p><b>Medium and Long-term impact on Service Provision of the new development</b></p> <p><b>Welborne Strategy / Finance</b> – A series of discussions has been held with services to expand the assessment of the potential impact on FBC services of the following:</p> <ul style="list-style-type: none"> <li>• Increase in population</li> <li>• Increase in households</li> <li>• Increase in affordable housing</li> <li>• Increase in employment space</li> <li>• Increase in infrastructure</li> <li>• Increase in countryside and open space</li> <li>• Increase in the general public realm</li> <li>• Services not provided for in the plan</li> </ul> <p>The findings from the meetings have been used to inform the development of the s106 agreement where appropriate. A summary of the long term financial implications is being developed.</p>
<p style="text-align: center;"><b>Housing Strategy (Update)</b></p> <p>As highlighted in last year’s summary, the current Housing Strategy (2010) and Affordable Housing Strategy (2005) have reached the end of their expected period of application. This, together with many national changes surrounding affordable housing in recent years and the adoption of the Council’s new Corporate Strategy (2017-2023) require the development of a new 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>The actions the Council was taking to address this gap were detailed in the September 2018 risk report. Further actions that have been taken since are listed here.</p> 	<p><b>Fareham Housing Strategy</b>– The draft Affordable Housing Strategy has been produced covering:</p> <ul style="list-style-type: none"> <li>➤ Purpose</li> <li>➤ A great place to live</li> <li>➤ What is Affordable Housing?</li> <li>➤ Who can provide Affordable Housing?</li> <li>➤ Affordable Housing in Fareham</li> <li>➤ Fareham’s affordable need</li> <li>➤ The Waiting List</li> <li>➤ Shared Ownership</li> <li>➤ Local Plan</li> <li>➤ Key Challenges</li> <li>➤ Key Objectives</li> <li>➤ Actions</li> <li>➤ Who/How and Timetable</li> </ul> <p>The draft strategy has been reviewed by members and has been subject to a period of public consultation. Any necessary changes arising from the consultation will be incorporated in the document, before the Strategy is progressed to Council with a recommendation to adopt it.</p> <p><b>Fareham Housing Planned Maintenance</b> – A survey of the condition of existing stock has been completed</p> <p><b>Fareham Housing Strategy</b> – As the Affordable Housing Strategy is a very high-level document, supplementary policies will need to be developed including:</p> <ul style="list-style-type: none"> <li>• Direct Acquisitions Strategy</li> <li>• Sheltered Housing Strategy, both physical and resource structures</li> <li>• Affordable Housing Supplementary Planning Document</li> </ul> <p>Regeneration Strategy - to be informed by detail at property level from the stock condition survey that should provide a potential list of projects for consideration. (Sensitive - This area of work will be particularly sensitive seeking to achieve a net gain in housing numbers for scheme viability. Reputationally this will have many</p>


Risk or Opportunity	Actions being taken
	issues to address with potential decanting and leaseholder buy-outs to be considered).
<p style="text-align: center;"><b>Unreasonable Complaint Behaviour</b></p> <p>Over the last couple of years there have been continual incidents of some housing tenants making multiple complaints against multiple departments such that their behaviour would meet the definition of Unreasonable Complaint Behaviour. This has had the result of consuming a great deal of Council resources, taking officers away from their normal duties, and causing considerable stress to the officers dealing with the complaints.</p> <p>The complaints have also made multiple complaints about the anti-social behaviour of their neighbours, which as the landlord the Council has a duty to investigate and to act in the best interest of both parties.</p> <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"> <p style="text-align: center;"><b>APPENDIX B</b></p> <p style="text-align: center;"><b>Unreasonable Complaint Behaviour Policy</b></p> <p><b>Introduction</b></p> <p>At Fareham Borough Council, we aim to provide a high quality service at all times.</p> <p>The Council deals with a large number of customer enquiries received via telephone call, letter, email, online form and social media outlets. Most of these are resolved quickly first time, however we recognise that things don't always go to plan and there may be times when we don't live up to customer expectations. Where a customer remains dissatisfied with our response, they can escalate their complaint via the Council's Corporate Complaints procedure.</p> <p>At stage 1 of the complaints process, the Head of Service in the department responsible for the service will investigate the complaint. If the customer is unhappy with the response, the complaint is escalated to stage 2 of the process, where the Director of the department will review the complaint.</p> <p>When a customer contacts the Council with a complaint, on occasion, they may become upset, angry or frustrated over a difficult situation and the Council prides itself on the way our staff resolve these situations. Occasionally, however, our employees may have to deal with unreasonable, persistent or vexatious behaviour from our customers.</p> <p>Whilst we are committed to dealing with all complaints fairly, we will not tolerate deceitful, abusive, offensive, threatening or other forms of unacceptable behaviour from complainants, including pursuance of a complaint in a way that can hinder the investigation or unfairly take staff away from other duties. This policy explains how the Council will deal with complaints of this nature, whilst also protecting the wellbeing of our employees.</p> <p><b>Definition and scope</b></p> </div>	<p><b>Corporate</b> – Legal advice sought on what actions are open to the Council to manage the situation, including making sure that the Council remains compliant with the requirements of housing legislation and the Equalities Act 2010.</p> <p><b>Corporate</b> – An Unreasonable Complaint Behaviour Policy has been introduced using guidance issued by the Local Government and Social Care Ombudsman (LGSCO).</p> <p><b>Corporate</b> – A Single Point of Contact has been set up to manage all communications from the complainants and written instructions to this effect have been sent to the complainants.</p> <p><b>Corporate</b> – All departments and relevant contractors have been instructed to forward any communications received from the complainants to the Single Point of Contact. Advice has also been issued on the actions to take when needing to visit the property and what to do if they find the tenants filming them in the course of their work.</p> <p><b>Fareham Housing</b> – Actions taken to take allegations seriously as well as providing appropriate support to neighbours.</p> <p><b>Fareham Housing</b> – In the process of evoking the Unreasonable Complaint Behaviour Policy but need to first produce the chronology of all past interactions with the Council to generate an audit trail in support of the decision.</p> <p><b>Fareham Housing</b> – Director to meet with complainants, to understand what is triggering their behaviour and to explain what is acceptable going forward.</p>
<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.</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> – A new Security Officer is in a career graded post and undergoing training and development. There has been a change in emphasis in this role to include the deployment and use of new security technologies to monitor and protect against cyber threats</p> <p><b>ICT</b> – All local authorities were asked to take part in the Local Government Association cyber security stocktake, as part of the National Cyber Security Strategy, to ensure councils are as resilient against cyber-attacks as possible. This was a very honest assessment of our overall security presence</p> <p><b>ICT</b> – The Council has joined the South-East Government Warning Advisory Reporting Point (SEGWARP). This body meets regularly and provides a forum to share and discuss security issues.</p> <p><b>ICT</b> – Currently working towards Cyber Essentials certification, whilst continuing with the PSN code of</p>

Risk or Opportunity	Actions being taken
	<p>compliance.</p> <p><b>ICT</b> – Rewriting and publishing ICT policies to cover all areas of ICT security.</p> <p><b>Corporate</b> – At members request, a presentation is being developed on the Council’s Cyber Security arrangements, for delivery in the autumn.</p>
<p style="text-align: center;"><b>Hackitt Review into Building Control</b> <b>(Update)</b></p> <p>The Hackitt Review continues to be a focus for the Building Control sector as the changes begin to impact. The recommendations contained in the report have been accepted which will lead to changes in legislation.</p> <p>There is a proposal for a national body to be responsible for High Rise High Risk buildings and those that are deemed to be ‘in scope’ such as hospitals.</p> <p>The only certainty is that there will be change. There is limited impact for Fareham but within the Building Control Partnership, Portsmouth City Council has a number of ‘in scope’ buildings.</p> <p>Also, the Grenfell Public Inquiry could lead to further recommendations. The Chairman of the inquiry is now in the process of drafting his Phase 1 report with no date yet for publication. Phase 2 of the inquiry is likely to begin in early 2020.</p> <p>There are limited budget implications as any work carried out by the Partnership should be covered by fees. There may be some training implications.</p> <p>Further actions taken since the last report are highlighted.</p>	<p><b>Building Control</b> – Briefing by the professional body for Local Authority Building Control (LABC) in July 2019 as part of a series of updates around the country.</p> <p><b>Building Control</b> – Monitoring updates from the review and the public inquiry.</p> 
<p style="text-align: center;"><b>Uncertainty around the Impact of Brexit</b> <b>(Update)</b></p>	<p><b>Corporate</b> – The Council has appointed the Deputy Chief Executive Officer as the Brexit lead officer as requested by the Ministry of Housing, Communities and Local</p>



Risk or Opportunity	Actions being taken
<p>As central government works to secure a deal with the European Union (EU), local government needs to undertake planning and preparations to maximise the opportunities arising from Brexit as well as to mitigate any adverse impacts that may arise from the agreed deal or a potential “No Deal” scenario.</p> <p>A small amount of funding (£17,000) has been received from the Ministry of Housing, Communities and Local Government to help with preparation costs.</p> <p>Particular impacts that need to be considered are:</p> <ul style="list-style-type: none"> <li>• impact of any changes in the economy to the viability of local businesses in the borough;</li> <li>• the effect of any delays occurring at border areas (including sea ports) on the local road infrastructure;</li> <li>• the potential effect on EU nationals in the workforce of the Council, its partners and significant supply chains;</li> <li>• any potential problems with goods and materials flow in supply chains (and commissioned services);</li> <li>• ICT and data hosting arrangements the Council has in the EU;</li> <li>• the risk of public disorder arising from protests.</li> </ul> <p>Further actions taken since the last report are highlighted.</p>	<p>Government.</p> <p><b>Corporate</b> – The Council continues to participate in the Local Resilience Forum which is producing a co-ordinated plan to respond to the short-term impacts of an exit from the EU.</p> 



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


Risk or Opportunity	Actions taken
<p data-bbox="199 324 766 392"><b>Inquest into Death due to Fire at Council Housing Property</b></p> <p data-bbox="167 403 798 907">A Coroner’s investigation commenced following the tragic death of a Council tenant after a fire in her flat in January 2018. The investigation concluded that the death was accidental but raised concerns about dust covers being left on the smoke and heat detectors at the property. This was mainly as the result of Officers being unaware that the tenant had left hospital and had returned to her property. A Regulation 28 report was therefore received from the Coroner. The Council forwarded a response and details of all the actions taken following the incident to prevent a recurrence. The Chief Coroner has since confirmed that they will be taking no further action.</p> <p data-bbox="167 929 798 1086">The Council had already been strengthening arrangements in response to the Grenfell tragedy. Other actions that have been taken in relation to managing fire risks have been covered in previous risk reports.</p> <div data-bbox="204 1254 734 1556" style="border: 1px solid black; padding: 10px; margin-top: 20px;">  <p data-bbox="247 1344 438 1433">Ministry of Justice</p> <p data-bbox="231 1512 678 1556">Coroner investigations</p> </div>	<p data-bbox="821 324 1500 470"><b>Fareham Housing</b> – Instruction issued to relevant contractors and council operatives that smoke and heat detector dust covers must be removed. Operatives attending a property to undertake work are now required to test the detectors and log this check.</p> <p data-bbox="821 492 1500 582"><b>Fareham Housing</b> – Void handover documentation from contractor now includes written confirmation that smoke detector covers have been removed.</p> <p data-bbox="821 604 1500 694"><b>Fareham Housing</b> – Smoke alarms now tested annually in every property and includes checking that no dust covers in place.</p> <p data-bbox="821 716 1500 806"><b>Fareham Housing</b> – Housing officers briefed on the incident and are now required to undertake a visual inspection of equipment when visiting tenant’s homes.</p> <p data-bbox="821 828 1500 940"><b>Fareham Housing</b> – Other parties likely to visit properties, such as cleaners, adult services, social workers, all briefed to also look out for potential fire issues when visiting, including the communal areas.</p> <p data-bbox="821 963 1500 1108"><b>Fareham Housing</b> – Officers making more regular visits to vulnerable customers deemed more likely to have a fire; these include checking smoke detectors are not covered. Additional Tenancy Support Officer post in place to assist with this.</p> <p data-bbox="821 1131 1500 1276"><b>Fareham Housing</b> – Fire safety advice leaflets were hand delivered to every council property and revised fire safety notices placed in all blocks of flats and maisonettes. A regular fire safety article is included in Tenants Voice and with the rent increase letters.</p> <p data-bbox="821 1299 1500 1388"><b>Fareham Housing</b> – Additional signage has been provided at blocks highlighting the risks of barbecues and flammable items stored on balconies.</p> <p data-bbox="821 1411 1500 1500"><b>Fareham Housing</b> – Highlighted to tenants the need for chimneys to be swept regularly and arranging for this to be done.</p> <p data-bbox="821 1523 1500 1668"><b>Fareham Housing Planned Maintenance</b> – Company employed to carry out an inspection of all property doors. Identified a suitable fire-resistant door that meets the latest specification required so can now plan the door replacement programme.</p> <p data-bbox="821 1691 1500 1825"><b>Corporate</b> – Quarterly meetings ongoing between Housing officers and property services to discuss any issues arising in our housing properties and keep fire risk assessments up to date. Progress on remedial actions arising is being monitored.</p> <p data-bbox="821 1848 1500 1993"><b>Fareham Housing</b> – Housing officers and tenancy Support officers made aware of advice and support available from the Fire Service and make referrals to them. A multi-agency protocol when vulnerable/ high risk tenants are involved may be developed.</p> <p data-bbox="821 2016 1500 2049"><b>Fareham Housing</b> – Discussions held with NHS</p>

Risk or Opportunity	Actions taken
<p data-bbox="201 327 762 360"><b>Developer withholding (CIL) obligations</b></p> <p data-bbox="165 412 791 678">A developer owed the Council over £200,000 Community Infrastructure Levy (CIL) on 3 properties in Fareham, which was due in 2017 when the development commenced. The properties had since been completed and some had been sold on, but the CIL due (plus surcharges and interest added) had not been paid.</p> <p data-bbox="165 696 791 828">The company was rumoured to have said that it was cheaper for them to pay the interest on the payment due, than borrow money to pay the full amount of what they owed.</p> <p data-bbox="165 846 775 1014">If the developer subsequently went bust, there would have been a risk that FBC would have had to write this debt off, and these monies would not be available for Community works in the borough.</p>	<p data-bbox="826 203 1522 293">foundation trust and HCC Adult Mental Health services to improve notifications to the council when a patient is discharged from hospital.</p> <p data-bbox="826 327 1522 416"><b>Development Management:</b> Issued proceedings through Portsmouth Magistrates court. The developer then paid the amount due a few days before the hearing date.</p> <p data-bbox="826 434 1522 618"><b>Development Management:</b> CIL debt recovery processes are now being started at the commencement of buildings on development sites and closely monitored by a designated officer using weekly system prints, who liaises with Principal planners when initial debt recovery processes have been exhausted.</p> <p data-bbox="826 636 1522 725"><b>Development Management:</b> CIL rules allow FBC to serve stop notices on the build before it is completed; this hadn't been used in this case but will be used for future cases.</p> <p data-bbox="826 743 1522 833"><b>Finance:</b> New debt management process instigated with FBPs adding Debt Recovery reporting to their periodic service management meetings.</p> <div data-bbox="986 913 1279 1187" data-label="Image"> </div>
<p data-bbox="191 1263 775 1330"><b>Problems with Partnership Arrangements (CAF)</b></p> <p data-bbox="165 1348 791 1706">There have been problems with the effectiveness of the partnership between Fareham B.C. and Citizen's Advice Fareham. In particular there has been differences in the application of GDPR which has made the sharing of customer information difficult to the detriment of customers, referral disengagement had risen to 68% and there had been some misinterpretation of the new homelessness legislation leading to poor advice being given.</p> <p data-bbox="165 1733 791 1962">The Council contributed to the funding of a post in Citizen's Advice Fareham and this did not feel to be achieving value for money; particularly as the new homelessness legislation training provided to officers, meant they are now equipped to provide debt and housing advice directly.</p>	<p data-bbox="826 1263 1522 1509"><b>Fareham Housing</b> – Welfare Support Officer post added to the establishment to provide specialist tailored advice and support to the increasing number of tenants with complex needs, to reduce the risk of homelessness and ensure the Council's income from rent and Council Tax is maximised. Post is being funded from the previous contribution made to the partnership. The post has since been filled.</p> <p data-bbox="826 1527 1522 1684"><b>Finance</b> – Funding from a vacant post has been used to extend the post to be full time employee, so their role can be extended to cover debt advice for customers struggling to pay off other debts they may have with the Council, as part of the Debt Recovery project.</p> <div data-bbox="1098 1706 1241 1908" data-label="Image"> </div>
<p data-bbox="290 1975 676 2009"><b>Use of Out of Date Scaffold</b></p>	<p data-bbox="826 1984 1522 2018"><b>Building Repairs and Maintenance</b> – Spotted the expiry</p>

Risk or Opportunity	Actions taken
<p>It was identified that hired scaffolding stored at the Depot during the heating works was not subject to the relevant weekly health and safety checks and was found to have expired by 3 weeks.</p>	<p>and informed the service.</p> <p><b>Property Services</b> – The Property Manager raised this issue as a near miss with the contractors, who accepted the omission and apologised. The equipment has now been removed from the Depot.</p>
<p><b>VAT Implications for Fuel at Daedalus</b></p> <p>As part of ongoing internal VAT compliance checks, it was identified that we should be receiving declarations from purchasers about their use of fuel at Daedalus.</p> <p>It was also identified that to sell fuel we may need to be a registered dealer in controlled oil (RDCO) and provide information to HMRC relating to excise duty requirements.</p> 	<p><b>Finance</b> – Confirmed with HMRC guidance that our fuel dockets meet their requirements. These are signed by the purchaser, declaring that the use of the fuel is to be used for private pleasure aircraft.</p> <p><b>Finance</b> – Confirmed that Regional City Airports (RCA) are a RDCO on behalf of FBC at Solent Airport and a copy of this certificate obtained.</p> <p>It was also confirmed that for the supply of Jet A1 (fuel type) the excise duty requirements sat with the end user – this is also confirmed on the fuel docket.</p> <p><b>Finance</b> – We are still unclear about the excise duty on the supply of AVGAS (fuel type). It is thought this requirement sits with the RDCO (in this case it is RCA rather than FBC). We are still in the process of confirming this with them and detailing how this works at other local authority owned airports.</p>
<p><b>Impact of Insurance Provider Changes on Building Control Partnership</b></p> <p>In the early part of 2019, a major provider pulled out of the Building Control insurance market. This impacts on approved inspectors who cannot operate without this cover.</p> <p>Some companies are seeking insurance elsewhere but the other big player in the market has been inflating renewal quotes meaning some companies are not able to afford the insurance leaving them with no option but to close their operations.</p> <p>This impacts on the BCP as the work that is not complete will automatically transfer over to the Council, who have to take on the responsibility. This will mean additional unplanned work, previously being reviewed and agreed by another party, being forced on the partnership.</p>	<p><b>Building Control</b> – The partnership is monitoring the situation and currently employs some casual staff who will remain on the books to cover increases in workload.</p> <p><b>Building Control / Human Resources</b> – The service had already been working to standardise the terms and conditions of staff working in the Partnership. Recruitment to posts under the new terms and conditions have been successful along with the retention package for surveyors.</p> <p>As at 1 August all but 1 former PCC and GBC employees will be under a FBC contract.</p> <p><b>Building Control / Human Resources</b> – The Partnership continues to monitor resources and how these are best used.</p> 
<p><b>Excess Charging by Contractors (Update)</b></p> <p>Invoice checking by a member of building services staff identified duplications of charges</p>	<p><b>Finance (Audit)</b> – A fuller in-house audit has been conducted. No further duplicate payments were found, but issues were found with the accuracy of the arithmetic on</p>

Risk or Opportunity	Actions taken
<p>with contractor and sub-contractors invoicing the Council for the same works. Additional discrepancies with the value of orders were found.</p> <p>The actions the Council was taking to address this risk were detailed in the September 2018 risk report. Further actions that have been taken since are listed here.</p>	<p>some invoices. There were also some Contractors that have been including extra charges on their invoices which were considered excessive.</p> <p><b>Building Repairs and Maintenance</b> – The new Head of Service has been negotiating with those contractors identified to amend the nature of agreements with them, so that charges can be robustly challenged in the future.</p> <p><b>Building Repairs and Maintenance</b> – The Administration team are now required to double check each invoice to ensure that there is no opportunity for overcharging.</p>
<p><b>Resourcing the Internal Audit Plan</b></p> <p>The Public Sector Internal Audit Standards (2017) requires <i>“the chief audit executive to deliver an annual internal audit opinion and report that can be used by the organisation to inform its governance statement”</i>.</p> <p>To achieve this the chief audit executive is required to develop a risk-based plan of work for delivery. Fareham Borough Council create an Internal Audit Annual Plan of assignments to be delivered in the following year, which is approved by the Audit and Governance Committee. It is resourced by both in-house auditors and external auditors under a partnership with Portsmouth City Council (PCC).</p> <p>The 2018/19 plan detailed 23 discrete audit areas of work, and under the FBC Internal Audit Strategy at least 20 pieces of audit work need to be produced to support the annual opinion.</p> <p>Both audit teams experienced in the year an unprecedented level of problems delivering the plan due to staffing issues within the teams or with clients, caused by long-term sickness of staff or their loved ones, staff turnover, maternity leave and disciplinary proceedings. The effect of this was that as at the end of quarter 4 of the year only 9 of the assignments in the plan had been finalised.</p> <p>Failure to maintain an adequate internal audit service would be criticised by the external auditors in their Annual Letter.</p>	<p><b>PCC Internal Audit</b> – Carried out a recruitment drive for both qualified and trainee auditors to fill vacancies. Where applicable there has been use of agency staff.</p> <p><b>PCC Internal Audit</b> – Utilised a specialised audit resource from another local authority to deliver a key computer audit.</p> <p><b>FBC Internal Audit</b> – Completed a restructure which included an additional Apprentice post, with the training costs funded by the Apprentice Levy. The post assists in gathering audit evidence and providing information to other members of the Audit team allowing them to focus on writing the detail of audit findings and ensuring recommendations are implemented.</p> <p><b>PCC and FBC Internal Audit</b> – Audit Plan work was ring fenced and resources concentrated on turning around planned audits. Non-essential work was put on hold until the annual opinion was delivered.</p> <p><b>PCC and FBC Internal Audit</b> – Change in approach implemented for 2019/20 audit to allow earlier completion of part of the plan.</p> <div data-bbox="932 1323 1442 1702" data-label="Diagram"> </div>
<p><b>Skills Shortage</b></p> <p>There is a risk of not being able to recruit to certain posts especially for front line staff, as FBC cannot compete with the increased</p>	<p><b>Human Resources</b> - Recruit via agencies where need to</p> <p><b>Corporate</b> - The Corporate Projects Team have been leading on working with the refuse collection services to rebalance the refuse rounds in line with current and future demand. This will help plan staffing levels and maximise</p>



Risk or Opportunity	Actions taken
<p>salaries in the marketplace.</p> <p>Failure to do so will impact on the service that can be provided to customers,</p> <p>Particular hard to recruit groups are HGV drivers in the refuse collection service, Gardeners and Estate Surveyors.</p>	<p>the deployment of existing HGV drivers.</p> <p><b>Human Resources</b> - Introduced a market supplement to the estate surveyor's role to attract and retain staff. FBC also now paying agency introduction fees and paying Golden Hellos in some instances to attract the right staff.</p>
<p><b>Maintaining Adequate Staff Numbers for the Out of Hours Service (Update)</b></p> <p>The Council has an on-going risk to manage concerning our ability to recruit the right number of officers to respond to emergencies that occur out of normal working hours, as the number of out of hours officers had reduced from 5 to 3.</p> <p>A contributory factor was the volume of car park barrier fail calls that were being taken by Out of Hours Officers.</p>	<p><b>Communications and HR</b> – A recruitment drive has been successful and there is a full team of 5 in place with the added security of a waiting list.</p> <p><b>Parking Services</b> – Improvements had been made to the volume of parking calls as a result of the introduction of ticket related ANPR recognition at Market Quay.</p> <p><b>Corporate Project Team</b> – A Corporate Review of parking is being conducted. The outcome of this could further influence the number of calls relating to car park barrier problems.</p>
<p><b>Failure of Print Room Equipment (Update)</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>Following the failure of a printer and enveloper during the 2017/18 annual council tax bill run, alternative solutions for printing are being sought.</p> <p>Additional actions taken this year are highlighted.</p> 	<p><b>Finance/ICT</b> – An external provider was used for the 2018/19 annual bill run, successfully printing and posting 50,000 council tax and 3,000 business rates annual bills in March. Two weeks were saved in the billing process and there was a reduced need for overtime to manage the process in the finance and ICT teams.</p> <p><b>Finance</b> – The external provider is now also being used for daily billing for council tax and business rates with up to 100 letters a day.</p> <p><b>Finance/ICT</b> – Promoting the use of the external provider for large prints of over 50 items.</p> <p><b>ICT</b> – The enveloper is not being replaced and we are no longer paying for annual maintenance.</p> <p><b>Corporate</b> – The Projects team are now leading on the project to improve the effectiveness and efficiency of printing solutions used across the Council, and to lead on identifying alternatives to communicating by print and post. Some projects already in progress are paperless payslips, paperless committees, paperless creditor remittances and paperless debtor invoices. They are also reviewing ways of expanding the use of the MYACCOUNT facility on the Council's website.</p>



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

Risk or Opportunity	Actions taken
<p><b>Responding to 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 Government has since published a rough sleeping paper which is connected to a number of funding streams available to assist meeting Council obligations. At the same time Hampshire County Council (HCC) has been reducing some commission funding arrangements with district councils.</p> <p>In 2018/19 the Council had 1,344 people approach them for homing assistance.</p> <p>The actions the Council was taking to prepare for the new responsibilities were detailed in the September 2017 risk report, with an update in September 2018. Further actions that have been taken since are listed here.</p> <div data-bbox="165 1312 796 1536" style="text-align: center;">  </div>	<p><b>Fareham Housing</b> – The first annual review of how we are responding to the Homelessness Reduction Act has been completed, along with a full review of homelessness provision. The key findings, our achievements to date and a proposed approach going forward has been presented to Housing Scrutiny Panel. The Panel supported the approach and agreed the priorities, so work can now move on to prepare a draft Homelessness Strategy for presentation to the Executive prior to going out for consultation. The Strategy will be closely aligned with the Government’s overarching Strategy.</p> <p><b>Fareham Housing</b> – Work is taking place to refresh the team’s approach to putting the customer at the centre of what they do and trying to do what is best for the individual customer in trying to solve their housing issues.</p> <p><b>Fareham Housing</b> – Funding from Ministry of Housing, Communities and Local Government (MHCLG) has been secured for Homelessness initiatives. £60k has been secured under a Rough Sleeper Initiative: this is to fund increased outreach provision by Two Saints. A further £25k has been secured under the Private Rented Sector Access Fund. This will fund 0.5 FTE post for 1 year who will work closely with customers and private landlords to help make tenancies as trouble free as possible for those customers who do not meet the homelessness thresholds but for whom landlords are still hard to find.</p> <p><b>Fareham Housing</b> – Executive approval has recently been secured to provide £70K of funding to maintain rough sleeper staged support until March 2021, which has, up until now, been funded as commissions by HCC. There remains a risk that HCC will further reduce the level of staged support they can fund which will be considered in the Homelessness Strategy.</p> <p><b>Fareham Housing</b> – Work is being carried out to reduce duplication of work on individual cases between the Rough Sleeper Action Group and the more community safety focused Partnership Action Group.</p> <p><b>Corporate</b> - A new website, Fareham Street Aid, was launched in September 2018 as a platform for agencies working together in Fareham to help vulnerable people off the streets. This also provides advice to the public on how they can best help.</p>
<p><b>Senior Management Development (Opportunity)</b></p> <p>An opportunity has been identified to further strengthen the leadership at FBC by rolling out training on high performing teams and identifying ways to improve team communication and working.</p>	<p><b>Corporate</b> – A specialist external company has been employed to lead workshops in which all Heads of service and Directors work together to identify a common brand and set of shared values, which should lead to improved cross departmental working and leadership.</p> <p><b>Corporate</b> – All senior managers required to complete an individual emotional intelligence assessment. The results were discussed in private in one to one sessions with an external consultant, who highlighted any areas they</p>

Risk or Opportunity	Actions taken
	needed to be aware of and the potential consequences in the work place.
<p data-bbox="209 280 754 315"><b>Delivering Housing Development Sites</b></p> <p data-bbox="164 331 799 584">During 2018 and since the creation of Fareham Housing in 2017 there has been increased cross-department focus on progressing several potential development sites for affordable housing purposes. This will contribute to the Corporate Strategy 2017-2023 of 'Providing Housing Choices'.</p> <p data-bbox="164 602 799 748">Actions have been, and continue to be, taken to ensure Fareham Housing are in a strong position to continue to progress the development sites to completion.</p> 	<p data-bbox="826 280 1522 521"><b>Fareham Housing Strategy</b> – Award of contract for Bridge Road and Highlands Road development sites has been completed. The Design and Build contract was competitively tendered, with submissions critically reviewed by the Employers Agent and in-house evaluation team. A 10% contingency has been allowed for the cost of the project anticipating any unforeseen issues that may arise.</p> <p data-bbox="826 539 1522 784"><b>Fareham Housing / Procurement</b> – The potential use of small and medium sized enterprises (SMEs), as promoted by the Council's Procurement and Contract Procedure Rules, to deliver these projects has raised resilience issues around contractor stability and external issues that could affect them. Questions were therefore written into the qualification process to mitigate this risk as part of the procurement process.</p> <p data-bbox="826 801 1522 1016"><b>Fareham Housing / Property Services</b> – Team members are being equipped to deal with unforeseen issues. For example, a neighbour to the Bridge Road site has extended their rear boundary into the FBC site. Consideration has already been given to how this may impact on the development and other teams that may need to be involved, e.g. planning, legal services.</p> <p data-bbox="826 1034 1522 1153"><b>Fareham Housing Strategy</b> – Working with Building Control to address whether sprinklers are required as part of the development and managing installation and maintenance implications.</p> <p data-bbox="826 1171 1522 1442"><b>Fareham Housing Strategy</b> – An audit file is required for Homes England which is resource hungry at acquisition, start and practical completion stage. This is a new area of work for members of the team. Reference is therefore being drawn from previous audit files prepared by the Property Team who also have some experience of this area of work. An issue around RICS valuation of site at acquisition has been raised but this should now be addressed.</p> <p data-bbox="826 1460 1522 1767"><b>Fareham Housing / Finance</b> - Funding for the next tranche of schemes is partially earmarked recognising certain capital receipts are appropriate to utilise to enable development to proceed. It is hoped that Homes England will extend the current grant funding programme beyond 2020/21. For potential larger scale projects that may emerge a partnership approach with Aspect (Vivid, Radian, Eastleigh BC) remains an option. Potential alternative partnership arrangements could also be given consideration to provide the resources and skill base.</p> <p data-bbox="826 1785 1522 1872"><b>Corporate</b> – How to maintain staffing resilience across the housing and property areas of expertise is being considered for when larger scale projects come through.</p>

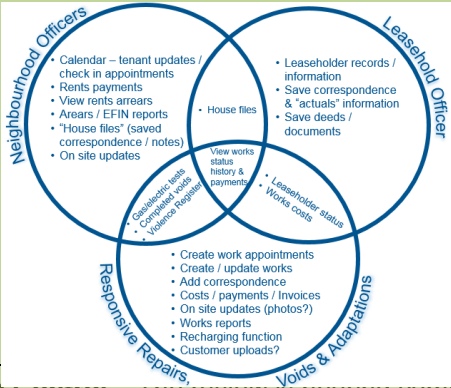

Risk or Opportunity	Actions taken
<p align="center"><b>Health and Safety of Tradesmen</b></p> <p>A review of the health and safety risk assessments for Tradesmen was conducted to ensure that they were fit for purpose and compliant.</p>	<p><b>Building Repairs and Maintenance</b> – Work has been completed such that there is now confidence in the quality of the documents and procedures in place.</p>
<p align="center"><b>Ensuring Value for Money from Housing Contractors (Update)</b></p> <p>Interim arrangements were put in place a few years ago to secure contractors to carry out voids and responsive repairs work on the Council's housing stock. The value of spend on this work is significant.</p> <p>As previously reported this arrangement needed to be subject to market testing at some point in order to be compliant with the Council's Procurement and Contract Procedure Rules and avoid an external challenge.</p> <p>The actions the Council was taking to address this risk were detailed in the September 2017 risk report, with an update in September 2018. Further actions that have been taken since are listed here.</p> <div data-bbox="199 1205 758 1624" data-label="Image"> </div>	<p><b>Procurement and Building Services</b> – An OJEU compliant tender process was completed for Void Property Maintenance and Component Improvements (such as kitchens) and the works were awarded to a new contractor by the Executive in February. The contract started in April 2019 and will last for a period of 3 years.</p> <p><b>Procurement Services</b> – A procurement event has been conducted to promote working with the Council to local small and medium sized enterprises (SMEs), so that small local companies have an option to declare their interest. As a result, 109 contractors have made themselves known to the Council who have been asked to complete pre-qualifying questionnaires.</p> <p><b>Procurement and Building Services</b> - At the end of July 19, lots to cover the whole spectrum of trades (21 in total) covering all aspects of responsive building services work to support our in-house team became available on the FBC Procurement Portal, so larger companies now have the opportunity to also express an interest. The tender papers will be issued in August for a 4-week period.</p> <p>The Council already has trades directly employed and the framework is designed to provide additional resource as and when required. It is anticipated that up to 6 contractors will be established for each lot. There will, however, be no guarantee of any value or volume of work from FBC under the framework agreement.</p> <p><b>Procurement Services and Building Services</b> - Joint working is underway with legal, property and planned maintenance teams to draft the tender documentation and to agree the terms and conditions (including the ordering procedure). It has been agreed to use the cost plus (or prime cost) approach, rather than a schedule of rates. Under this approach a contractor will quote labour rates together with any additional costs including materials, profit and overheads. This approach does have its risks in that the Council will not have any control over charges, for example, against material costs. However, this approach will be more practical as the Council does not have the resources to measure jobs before they are completed or to evaluate the jobs completed by the contractor. In order to try and mitigate unreasonable costs, contractors will be required to include a detailed breakdown of their costs, including labour rate, number of hours on the job, materials and overhead/profit values. The risks have been considered and mitigations identified where possible.</p>
<p><b>Managing the Change Implications of Staff</b></p>	<p><b>Corporate</b> – All proposed changes require sign-off by the</p>




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<p style="text-align: center;"><b>Restructures</b></p> <p>A number of staff restructures or recruitment exercises have been started and/or completed over the last year to keep the team structures relevant to the needs of the service. These have included:</p> <ul style="list-style-type: none"> <li>• Street Scene</li> <li>• Human Resources</li> <li>• Ferneham Hall</li> <li>• Building Control</li> <li>• Parking Services</li> <li>• Property Services</li> <li>• Financial Services</li> </ul>  <p>The risks associated with staff changes, such as ensuring that all people are treated fairly and with dignity, employment legislation is adhered to and the service can continue to function during the period of change, are managed in collaboration between the Service and the Human Resources team.</p>	<p>Head of Paid Service.</p> <p><b>Human Resources</b> – Lead on identifying which posts are eligible for TUPE transfer, or where redundancy packages need to be offered, when a new provider is involved. Also lead on looking for opportunities for redeployment.</p> <p>Specialist legal advice sought where options are not clear.</p> <p><b>Human Resources /Services</b> – Consultation meetings held with team to explain the proposals Unison representatives present. Set number of weeks given for feedback after the consultation.</p> <p><b>Human Resources /Services</b> – Joint meetings held with affected employees to explain options and implications prior to the main consultation.</p> <p><b>Finance</b> – Assist with carrying out a financial implication assessment of proposed restructures.</p> <p><b>Corporate</b> – On-street parking enforcement is due to be returned to Hampshire County Council in April 2020, which will have a financial impact on the Council. The Corporate Projects Team have been leading on a project to identify options to minimise the financial impact of this change, and how to effectively maintain the off-street parking enforcement service.</p>
<p style="text-align: center;"><b>Making Tax Digital</b></p> <p>This is a Government initiative that sets out the vision for a transformed tax system. As records are now increasingly kept electronically the Government hopes that by implementing digital record keeping it will reduce the amount of tax lost through error and failure to take reasonable care</p> <p>Phase One – will be a one-way system where data will be sent to HM Revenue &amp; Customs (HMRC) from the business via an automatic link to the VAT return gateway. The go-live for local authorities is for the October 2019 return which needs to be submitted in November. (The Council submits a VAT return each month and submits one quarterly for Portchester Crematorium).</p> <p>Phase Two – allows HMRC to have access to our finance system at individual invoice level. The planned go-live for this is September 2020.</p>	<p><b>Finance</b> – Engaged with suppliers for the Phase One Application Programming Interface (API) enabled spreadsheets that will allow the VAT Return to be submitted directly to HMRC through a digital link. A digital link is where a transfer or exchange of data is made electronically between software programs without the involvement of manual intervention.</p> <p>The spreadsheet will contain a submit button which when pushed requires the officer to log onto the HMRC portal to retrieve an activation code to complete the transfer.</p> <p><b>Finance</b> – The timing of the installation is being planned to maximise the value of the annual subscription whilst allowing a dry test run for the September return.</p> <p><b>Finance</b> – As part of the ongoing Finance System procurement we will ensure Making Tax Digital requirements are included in the specification.</p> <p><b>Finance</b> – Discussions held with ICT security officer to make there are no security implications.</p> 
<p style="text-align: center;"><b>Strengthening Civil Contingency arrangements (Update)</b></p>	<p><b>Emergency Planning Team</b> – An annual emergency planning report has been introduced.</p>

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<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 was formed with the Portsmouth and Southampton City Councils' Emergency Planning Response and Resilience Team, who also work with Eastleigh and Gosport Borough Councils to provide emergency preparedness, resilience and response. The benefit of the partnership is that it covers both aspects of the CCA.</p> <p>Actions the Council was taking to ensure it meets its responsibilities were detailed in the September 2018 risk report. Further actions that have been taken since are listed here.</p>	<p><b>Emergency Planning Team</b> – A series of training workshops have been conducted to ensure Control Centre staff are aware of the latest roles and responsibilities designated in the Emergency Plan.</p> <p><b>Corporate</b> – The Revised Business Continuity Policy and Business Continuity Plan has been approved. Critical Service Business Continuity Plans were completed in July.</p> <p><b>Emergency Planning Team</b> – A workshop business continuity exercise (TAXIT) was carried out in July 2019. This involved representatives from Finance, Council tax, ICT, and Communications who worked through a scenario on how they would respond following an alleged transfer of confidential housing benefit and/or council tax data to an external party. Generally, all parties were able to work together to work through the problem appropriately, with some actions arising.</p> <div data-bbox="997 795 1412 1079" data-label="Image"> </div>
<p style="text-align: center;"><b>Mobile Phone Replacement</b></p> <p>New corporate devices were sought to ensure officer's phones were fit for purpose, rationalised and consolidated.</p> <p>Mobile devices are increasingly used for emails and accessing data, in addition to calls, and the mix of Android and Windows phones were becoming obsolete.</p> <p>Standardising the corporate smart phone model provided good value for money together with consistent management, security and control. This would also reduce the resources needed to manage the phone suite.</p> <div data-bbox="279 1630 683 1854" data-label="Image"> </div>	<p><b>Corporate</b> – Managers were asked to review who had a mobile phone in their team and assign them as needing either Smart phone functionality, or just a hand set to make calls.</p> <p><b>ICT</b> – 121 new smart phones and 61 call handsets were purchased and assigned to designated users. Only 2 models now being used by employees to make providing ongoing support to users simpler.</p> <p>Running costs will be greatly reduced and software will be able to be rolled out onto the new devices with greater ease and speed. This will be a rolling programme with the next likely replacement needed in 2 years' time.</p> <p><b>ICT</b> – New contract negotiated with provider to give better call rates and data allowances, with an overall reduced tariff. The new contract also better reflected the Council's usage.</p> <p><b>ICT</b> – Bills now run on an amalgamated corporate account sharing data and call allowances.</p>
<p style="text-align: center;"><b>Increased Risk of Subsidy Penalties due to roll out of Universal Credit</b></p> <p>Since November 2018 the government has</p>	<p><b>Fareham Housing Benefits</b> – Staffing levels and team responsibilities are being reviewed again in light of the increased roll out of Universal Credit.</p>

Risk or Opportunity	Actions taken
<p>been changing the nature of the benefit most new claimants apply for from the Housing Benefit scheme to the Universal Credit scheme. This is administered by central government thus reducing the need for benefits staff in Councils. Workforce planning has therefore been in place to reduce the number of staff employed.</p> <p>Following the learning from their Vanguard review, resources had also been switched from carrying out secondary monitoring of claim calculations to upskilling front line assessors to get the claim correct first time. The calculations were done in the presence of the customer who acted as a secondary check at the time of the assessment.</p> <p>However, the Council still administers the Council Tax Support Scheme for all types of benefit claimant. This demand arrives as non-customer led demand, for Universal Credit claimants, in the form of automated notifications from the Department of Work and Pensions (DWP) for new claimants.</p> <p>The Council also gets automated notifications of changes in circumstances, such as tax credit adjustments, from HM Revenues and Customs for all claimants.</p> <p>Without face to face customer engagement extra resources may need to be introduced to carry out secondary case monitoring, as there is a risk that errors can creep back into the system. These would have an impact on the DWP subsidy claim and external audit report.</p>	<p><b>Fareham Housing Benefits</b> – The Local Council Tax Support Scheme is being reviewed to see if this can be redesigned to prevent the number of adjustments to claims occurring. Modelling work it being carried out to see if a move to a less means tested scheme to a banding and then discount scheme could be introduced by 2021/22. A transitional scheme may be needed along the way which will have financial implications.</p> <div data-bbox="858 611 1493 1028" data-label="Image"> </div>
<p><b>Improving the effectiveness of Sickness Absence Management</b></p> <p>A review has been carried out of the Sickness Absence policy to simplify and automate the process where possible. This will make the process more constituent and should help reduce absence levels.</p> <div data-bbox="504 1608 785 1818" data-label="Image"> </div>	<p><b>Human Resources</b> - The sickness absence policy has been rewritten, revamped and updated, shrinking the wording from 50 pages to 4, removing loops, merging short-term and long-term sick distinctions. It is currently being tested by managers to check it is fair and consistent.</p> <p><b>Human Resources</b> – New module for the Human Resources system being implemented which will improve the management of the records of sickness absence, including identifying trigger points and automatically emailing line managers and HR when actions are needed.</p> <p><b>Human Resources</b> - A new Management Development Coach is in post, who is coaching managers on dealing with sickness, capability and other difficult staff management scenarios.</p>
<p><b>New Housing System including reducing Rent Arrears (Opportunity)</b></p> <p>A strategic decision has been taken to implement a new Housing System that will encompass Fareham Housing’s asset</p>	<p><b>Fareham Housing Policy Team</b> – Presentations have been attended by key team members to view the systems available in the marketplace. A working document has been prepared to set out the framework in order to prepare the appropriate documentation on the G-Cloud, whilst</p>

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<p>portfolio including responsive and planned repairs, Tenancy Management and Leaseholder property repairs.</p> <p>This presents the opportunity to eliminate the current disjoint of systems with automation of data transfer and management of improved information and functionality to meet the needs of Officers, and by extension, Fareham Housing's customers.</p> <p>This also presents the opportunity to improve rent collection and arrears management by having better records and information available for the neighbourhood officers, making it easier for them to use and engage with individual tenant issues. More timely arrears intervention should also help support tenants to pay their rent which is a key part of supporting tenants to stay in their homes.</p>	<p>meeting the following objectives:</p> <ul style="list-style-type: none"> <li>• Support users with the functionality identified</li> <li>• Meet ICT requirements for platform, accessibility and integration</li> <li>• Provide lifetime value</li> </ul> <p><b>Fareham Housing Policy Team</b> – Member approval in principle has been obtained to build funding into the Capital programme as part of revised budget setting. To ensure accurate costing the following will be clearly defined: the modules included, the costs of the Software Licence, Implementation, Project Management, Training, Hosting and Annual Maintenance costs.</p> <p><b>Fareham Housing</b> – Upskilling training is being arranged for the Neighbourhood Officers to manage rent arrears and engage with the issues the customer faces and challenges to be met. However, an improved system should make the record element of this task more streamlined.</p> 
<p><b>Vanguard Intervention into the Building Control Service (Opportunity)</b></p> <p>The Building Control team have been carrying out a Vanguard review of the service as part of the latest phase of reviews, to maximise their delivery of what matters to their customers.</p> 	<p><b>Building Control</b> – The review is nearing completion. Changes that have been flagged for improvement include:</p> <ul style="list-style-type: none"> <li>• Opportunities to reduce delays in approving work by reducing hands offs</li> <li>• Application form has been redesigned to determine who is responsible for the fee</li> <li>• Office changes are needed to enable the whole team to be in the same office rather than on different floors</li> <li>• The Reports from the finance system to Ocella could be improved</li> </ul> <p><b>Building Control</b> – The learning from the review will be rolled out to all staff commencing late July 2019 with an update to the Officer's Panel due in early August.</p> <p><b>Building Control</b> – Investigations are taking place into how office accommodation can be combined.</p>
<p><b>New Finance System (OPPORTUNITY)</b></p> <p>The Council has been using their current finance system, eFinancials, since 1994. The system has become outdated and clunky with inefficient paper-based processes and procedures. The Oracle database has also needed greater</p>	<p><b>Finance</b> - Soft market testing has been carried out over the last 2 years which has shown there are modern user-friendly systems available with efficient electronic workflows and functionality.</p> <p><b>Finance</b> – Extensive user feedback has been sought to understand what matters to them and to inform the order of priorities for the system.</p>



Risk or Opportunity	Actions taken
<p>support from ICT with an increasing associated licence code. With more systems moving to the Cloud there is an opportunity to purchase a more efficient and future-proofed system, which can take advantage of new technologies such as electronic invoicing. This will give benefits in terms of the service that can be provided to customers and stakeholders, and cost savings across the Council in carrying out financial administration.</p> <p>Functionality in particular needed for improvement are:</p> <ul style="list-style-type: none"> <li>• Purchase ordering and invoicing</li> <li>• Budgeting and forecasting</li> <li>• Debt management</li> <li>• Reporting for service users (moving to a dashboard look and feel)</li> </ul> 	<p><b>Finance</b> – On-going data cleansing and redesign has been carried out on the current system to achieve the efficiencies possible without purchasing a new system, and to maximise processes ready for transfer to the new system. Workshops have also been held to design the perfect process flow that we would want, utilising the functionality in a new system</p> <p><b>Finance / ICT</b> – The new system specification is being written which will consider specific requirements to FBC. A core team (including ICT) is writing the specification supported by a wider team who will evaluate the new system and provide feedback on areas that might need adjusting, or not meet user requirements. There are certain areas of expertise that need to be included, such as VAT, Exchequer Services and Debt Management.</p> <p><b>Finance</b> – Carrying out planning to ensure we have the resource to implement the new system properly and that key times in the finance calendar are avoided, especially the financial year end.</p> <p><b>Finance</b> – Discussions have been held with neighbouring councils who are also seeking to replace their finance systems.</p>
<p><b>Microfiche Project to remedy the risk that we could potentially lose access to 50 years of Planning Applications</b></p> <p>FBC hold Planning records from 1948-2000 which could only be accessed via Microfiche readers. We have a legal obligation to keep planning applications indefinitely and that they are in a form that the public can come and inspect the records.</p> <p>There was a cost to maintaining the microfiche and readers and suppliers were becoming rarer. If the readers failed there was no back documentation that could be used.</p> <p>Accessing the information by microfiche was also a slow process for planning staff and the public.</p>	<p><b>Development Management:</b> Procured an external specialist to scan and index all the documents held on Microfiche.</p> <p><b>Development Management:</b> Recruited a temporary staff member to complete the project by linking the documents into the Planning system (Ocella) and the Document Management system (BPMS) to speed up searching and retrieval. There were over 10,000 documents involved.</p> <p><b>Development Management:</b> Microfiches and readers will be kept for a couple of years to allow testing of the data integrity of the new documents.</p> 