APPENDIX A - CORPORATE RISK REGISTER V2 - September 2013

(The register is sorted in risk reference order with the medium scored risks ☹ listed about the low scored risks ☺.)

Risk Ref	Short Name Corporate Priority (Improvement ref)	Risk Description	Risk Manager	Latest risk sheet	Current status	Current Risk Score	Last review by CXMT
1	**Welborne** All (1)	Failing to progress the planning framework for Welborne, provide effective communication about the new community or address the infrastructure funding issues.	Richard Jolley	Aug 2013	Planning framework - preparation of Welborne Plan and associated preferred concept master plan, transport and green infrastructure strategies, infrastructure delivery plan and supporting technical evidence studies progressing to revised timetable; Homes & Community Agency to facilitate workshop in early October with Strategic Board members (including principal landowners) to resolve key outstanding issues prior to submission of Welborne Plan progression for examination and submission of outline planning application(s). Communications – new community now named as Welborne following successful naming consultation; followed by extensive consultation on Draft Plan and preferred master plan. Infrastructure Funding (IF) - in parallel with preparation of Welborne Plan, and drawing on the associated Infrastructure Delivery Plan, consultants appointed to undertake work on preparation of an IF Strategy. Additional staff resources now in place to support plan-making, infrastructure work and community engagement; recruitment to two Welborne Development Management posts now underway; Capacity Funding Bid submitted to Department for Communities & Local Government for funding for technical evidence studies, staff costs and future delivery-related projects. Update report to be provided to September Executive on costs of and funding sources for Welborne work.	😐	28/08/13

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4	**Daedalus** 2 Prosperity (4)	Failure to provide a planning framework for the Daedalus site and support the Solent Local Enterprise Partnership in the promotion of the Enterprise Zone.	Richard Jolley	Aug 2013	Detailed work on planning S106 agreement related to outline planning application for the whole Daedalus site progressing to resolution, following recent agreement with Homes and Communities Agency over provisions relating to retention of and access to runways - highway S106 agreement previously completed with Homes and Communities Agency. Centre for Engineering and Manufacturing Advanced Skills Training Scheme now being implemented. Progression of Innovation Centre & runway refurbishment as outlined in confidential report to Executive dependent on successful Growing Places Fund bid and confirmation of Homes & Communities Agency capital grant. Extensive liaison taking place with Homes and Communities Agency on their detailed infrastructure and development proposals for Hangars East and West, including the relocation of existing tenants as appropriate.	😐	28/08/13
5	**Retail areas** 2 Prosperity (5a and 5b)	Failure to achieve proposed improvements for retail areas in the borough.	Richard Jolley	July 2013	Fareham town centre - Executive approved Action Plan to support town centre being progressed; update on programme for implementation of actions provided to Executive in March 2013. Parking policy changes successfully introduced in April 2013; street furniture, enhanced signage and dedicated website/marketing strap line to be implemented during Autumn 2013. Continued liaison with retailers via Business Breakfast events. Locks Heath District Centre – shopping centre owners to undertake consultation on master planning work with a view to submission of planning application for the site. Planning policy framework to enable improved food store provision at centre to be provided through progression of Development Sites & Policies Plan to pre-submission draft & examination. Additionally seeking early agreement (Autumn 2013) with shopping centre owners on development agreement to facilitate early delivery of swimming pool facility.	😐	28/08/13

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8	**Coldeast** 4 Leisure (8)	Failure to deliver proposed community facilities at the Coldeast development site or alternative location.	Martyn George	July 2013	Section 106 agreement sets out clear trigger points for the transfer of land and or funding. Homes and Communities Agency have agreed to early transfer of land for swimming pool, allotment and cemetery at Coldeast ahead of Sec 106 triggers. Transfer is currently being progressed (likely to complete Aug 2013).	😐	28/08/13
9	**Community Buildings** 4 Leisure (9)	Failure to provide modern, fit for purpose community buildings in the most appropriate locations.	Martyn George	Aug 2013	Satisfactory progress is being made to improve the quality of leisure and community facilities across the Borough.	😐	28/08/13
12	**Affordable Homes** 5 Housing (11)	Failure to deliver 500 new affordable homes by 2017.	Martyn George	July 2013	Concern that forecast delivery is unlikely to achieve affordable homes target, hence need to explore alternative options aimed at improving delivery.	😐	28/08/13
16	**Asset Management** 7 Dynamic Council (15)	Failure to maximise the Council`s assets resulting in missed opportunities for generating revenue and or capital receipts or delivering other corporate and service priorities.	Andy Wannell	Aug 2013	There are a number of steps on-going, which have led to improved revenue streams for the Council. The Corporate Asset Management Group continues to meet regularly and have demonstrated its effectiveness through the recommendation of a number of asset disposals and acquisitions in pursuit of improved value for money.	😐	28/08/13
17	**Sustainable Budget** 7 Dynamic Council (16)	Failure to minimise Council tax increases through delivery of a sustainable budget.	Andy Wannell	Aug 2013	Robust plans are in place for the 2013/14 budget, with opportunities identified and in the process of implementation to deliver a sustainable budget in 2014/15. However, the remaining plans are considered to be more difficult to achieve, and any bias toward net budget reductions through new income has a higher probability of non-achievement. Government settlement figures were more pessimistic than first hoped, and the indicative reduction in grant presents greater risks for the achievement of a balanced budget in 2014/15 and beyond without drawing upon reserves or using less secure sources of funding such as the New Homes Bonus.	😐	28/08/13

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19	Policy Changes	Failure to respond to new legislation and the governments changing policy agenda.	Martyn George	July 2013	Satisfactory progress.	😐	28/08/13
21	Business Continuity	Inadequate arrangements in place to respond to a critical disruption.	Garry White	Aug 2013	The guidance and templates for Business Continuity Plans have been reviewed and updated and the Head of Community Safety and Enforcement is working with all Heads of Service to ensure their Business Continuity Plans for critical services are up to date and fit for purpose. These will be used to 'refresh' the critical services matrix and an update report will be provided to CXMT. All the associated risks that feed into this corporate risk have controls and arrangements in place to mitigate any disruption and the Heads of Service are developing these further.	😐	28/08/13
22	Governance	Inadequate Governance and Systems of Control	Andy Wannell	Aug 2013	Generally, there are no material concerns in this regard. However, the overall risk level has been increased to reflect the review of the Head of Service risk relating to the management of personal information and data. Action plans are in place and being implemented as a priority to mitigate this risk.	😐	28/08/13
25	Service Delivery	Current level of service cannot be delivered within existing budget.	Andy Wannell	Aug 2013	There is generally a good understanding of the services which are under pressure, and resources have been allocated to meet those demands and achieve target dates for projects to be delivered. (Examples include allocating resources to support the New Community North of Fareham programme of work, Disability Facility Grants, welfare reforms, etc). However, there remains some areas where resourcing plans have either not been formulated in detail, or are yet to be implemented fully. As such, there is a reasonable possibility that some services will not be able to respond to the demands upon them for short periods of time.	😐	28/08/13
27	Income	Loss of income	Andy Wannell	Aug 2013	The services which present the greatest risk currently are, car parking, commercial estates, Ferneham Hall and treasury management. Close monitoring of these areas is carried out, and a corporate group has been established to consider options for the most significant areas of concern.	😐	28/08/13

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32	**Health and Safety - Employee**	Failure to meet Health & Safety responsibilities in relation to employees.	Garry White	[Aug 2013](#)	Annual Health and Safety Performance report presented to CXMT, Public Protection Policy Development and Review Panel in July and was presented to the meeting of the Executive in September. There has been a reduction in all work place accidents by 7, from 52 in 2011/12 to 45 in 2012/13. Only one accident was reportable to the Health & Safety Executive under Reporting of Injuries, Diseases and Dangerous Occurrences Regulations In the Council`s high risk services such as those delivered by Streetscene there has been a reduction of 8 accidents from 39 to 31 during the same period. Quarterly Safety Committee meetings take place involving Unions and employee representatives, the notes of which are available on the intranet and circulated. Quarterly meetings also take place of the Corporate Premises H&S Group that manages the higher level H&S risks in Council premises. The Council`s Safety Advisor is following up on each departments H&S Action Plan from the previous year's audits to ensure actions are being progressed and that this approach is becoming embedded into the work of the departments. A monitoring report will be presented to CXMT to set out the current position. The Violent Person Register and the arrangements for including details on this have now been reviewed and are now called the Visiting Officers Safety List. Only those officers that need the information have access to the list in order to comply with requirements under the Data Protection Act. Information on insurance claims is also circulated to all Heads of Service that sets out details of individual claims that are also relevant to the management of health and safety within the Council. In addition to receiving the Annual health and safety Performance Report, CXMT also receive quarterly absence management reports that highlight the level of sickness that may be attributable to certain work related causes. Good progress continues to be made in the management of health and safety at the Council.	😐	28/08/13
2	**Recycling** 1 Environment (2)	Failure to reduce the quantity of household waste and maximise the	Paul Doran	[Aug 2013](#)	Current recycling rate now 37%. Reduction is due to temporary change in input specification at composting plant following Department for Environment Food and Rural	🙂	28/08/13

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		amount that is reused or recycled.			Affairs instruction. Fall in rate is mirrored throughout all Project Integra authorities. Weight of residual waste per household marginally down against comparable period in 2011-12	☺	
3	**Sustainability** 1 Environment (3)	Benefits of the Council`s Environmental Sustainability Strategy and other environmental strategies are not fully delivered.	Richard Jolley	Aug 2013	Environmental Sustainability Strategy has been subject to fundamental review with new carbon reduction targets, and actions categorised as project-based, on-going or related to Welborne. Revised Strategy reported to CXMT in March and Member Panel in May 2013, prior to Executive consideration in October 2013.	☺	28/08/13
6	**PUSH** 2 Prosperity (6)	Failure to support Partnership for Urban South Hampshire and Solent Local Enterprise Partnership to deliver economic growth and improved skills.	Richard Jolley	Aug 2013	Extensive support currently be provided to Solent Local Enterprise Partnership to support delivery of Solent Enterprise Zone at Daedalus, including progression of outline planning consent for site, progression of Centre for Engineering and Manufacturing Advanced Skills Training project, progression of detailed infrastructure & development proposals for Hangars East & West in partnership with Homes and Communities Agency, progression of innovation centre and runway refurbishment by FBC. Funding bids for Welborne & Daedalus to be submitted via Partnership for Urban South Hampshire to Solent Local Enterprise Partnership for EU Structural Investment Funds.	☺	28/08/13
7	**Crime and Disorder** 3 Safe and Healthy (7)	Increase in the incidents of crime, disorder and anti social behaviour.	Garry White	Aug 2013	The Council have continued to work with all its community safety partners as well as local businesses and community groups in delivering the Community Safety Plan and the various initiatives. Access All Areas was a great success with over 1000 young people attending the events. Further partnership working has been developed with neighbouring Winchester City Council. The joint location of Youth Offending Team, Integrated Offender Management Team and a regular police presence working with the Community Safety Team within the civic offices has all contributed to the better sharing of information and co-ordination of approach. Fareham`s approach to Supporting Fareham Families has been successful and the positive outcomes from the first year will hopefully be sustained and work has	☺	28/08/13

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					begun on the second year group of families. Successful bids have been made for the Police & Crime Commissioner Community Safety Fund and the Police & Crime Commissioner has also visited a number of the Fareham initiatives which has highlight how proactive and innovative the Council`s and the Community Safety Partnership approach is. The level of Crime and Anti Social Behaviour within the borough as reported to the Council`s Scrutiny Board continues to show a fall.		
11	**Outdoor Recreation** 4 Leisure (10)	Failure to fully implement the improvement programme for parks, play areas and sports facilities.	Martyn George	July 2013	Wicor Changing Pavilion Project complete. The Open Spaces Improvement Programme is to be reviewed by Executive in September 2013.	☺	28/08/13
13	**Sheltered Housing** 5 Housing (12)	Failure to deliver and implement a programme of modernising and improving sheltered accommodation across the Borough	Martyn George	July 2013	Consultation commenced on change of use of other sheltered schemes that do not meet modern standards. Bathrooms currently being modernised and updated including the installation of level access showers in all core schemes.	☺	28/08/13
14	**Gateway** 6 Community (13)	Failure to tackle the underlying causes of deprivation in the Fareham Park area	Martyn George	July 2013	Project Officer in Post; Successful Fareham Park Fun Day held on 20 July to award £17500 grant funding to local community projects.	☺	28/08/13
15	**Community Engagement** 6 Community (14)	Failure to communicate and engage effectively with the local community.	Martyn George	July 2013	New Council Web site launched on 28 Jan 2013.	☺	28/08/13
18	**ICT**	Failure to make best use of existing technology in the way that services are delivered.	Andy Wannell	Aug 2013	No material concerns are identified.	☺	28/08/13
20	**Partnerships**	Failure of a significant partnership or contract	Martyn George	July 2013	Satisfactory monitoring and review procedures in place.	☺	28/08/13
23	**Performance Management**	Inadequate Performance Management Framework	Garry White	Aug 2013	Performance Management Framework overseen by CXMT who receive update reports from the Corporate Policy Officer. The annual review of the Corporate Strategy was reported to the September meeting of the Executive together with the Local Service Agreements that detail	☺	28/08/13

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					service performance within each of the priority areas. The new approach to Individual Performance Management has just been launched and all employees of the Council are now using this approach which is being monitored by Personnel.		
24	**People Management**	Poor people management and resourcing	Garry White	[Aug 2013](#)	Implementation of the Individual Performance Management scheme and finalisation of the corporate training programme - complete. The corporate project, P17.6 - Review the corporate process for the management of employee performance, has been completed and the new approach is now being implemented. A comprehensive training package for all managers and employees has been developed. Work is currently being undertaken to assess the uptake of the training identified in the corporate training plan. Support is also being given to employees to maximise the benefits of the skillgate / e-learning system where it contributes to improved service delivery. Personnel are working with a number of departments within the Council on structures and partnerships with other Councils that reflect the needs of the Council`s priorities. Workforce planning is part of the day to day work undertaken by all managers at Fareham and is reflected in the Council`s approach to service planning.	☺	28/08/13
26	**Health and Safety - Public**	Failure to meet Health and Safety responsibilities in relation to public liability.	Andy Wannell	[Aug 2013](#)	No material areas of immediate concern, although it is important that the Council achieves the roll out of the new corporate approach for health and safety in line with the agreed target dates.	☺	28/08/13
28	**Emergency Planning**	Failure to provide an appropriate response in an emergency	Garry White	[Aug 2013](#)	Annual report to Executive that sets out the status of the Council`s arrangements and details of the exercises, training and actual incidents. A programme of regular exercising, testing and training is in place. Whilst a positive response and outcome was provided to the recent flooding incident at Wallington, as with all such incidents the debrief identified areas for improvement both in terms of the Council response but also in terms of the overall multi agency response. This will be covered by reviewing some of the roles in an emergency (Liaison Officers) as well as the	☺	28/08/13

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					arrangements and procedures within the plan itself. The arrangements for dealing with coastal pollution incidents need to be reviewed. Mutual Aid arrangements are in place with other Hampshire Authorities. The annual report presented to the Executive highlights that the Council has arrangements in place that will enable the Council to satisfy its duties and responsibilities.	🙂	
29	**Elections**	Challenge to an election process	Garry White	Aug 2013	Any issues or improvements that are identified from previous elections are used to review procedures and feed into the project plan and risk register. The introduction of Individual Electoral Registration in July 2014 (subject to legislation) will result in changes to the way in which people register to vote at an election as new, potential electors must be notified to the Department for Works and Pensions and matched before being included on the register. The Council are currently testing and matching with the Department for Works and Pensions to streamline the process but it will have a big impact on the last day for registering (11 days before the election) if adequate resources are not in place for the parliamentary election in 2015.The Cabinet Office have produced a risk assessment and the Council`s Election Services Team are using this and have produced a working risk assessment as part of or our own implementation plan.	🙂	28/08/13
30	**Customer Focus**	Failure to deliver a customer focused service.	Martyn George	July 2013	Vanguard Consultancy appointed to assist with cultural transformation (Customer First & Lean Thinking); Project commences Sept 2013.	🙂	28/08/13
31	**Equality**	Failure to meet Equality and Inclusion Standards.	Andy Wannell	Aug 2013	No material causes for concern	🙂	28/08/13
33	**Sheltered Housing** 5 Housing (12)	Failure to deliver a new sheltered housing scheme at Collingwood House	Martyn George	Aug 2013	Contract awarded for the redevelopment of Collingwood House (July 2013).	🙂	28/08/13