

Appendix A

CORPORATE RISK REGISTER - Version 3 - March 2014

Risk Ref	Corp Priority (Improvement reference)	Risk Description	Risk Manager	Latest risk sheet	Current status	Current Risk Score
HIGH RISKS ☹						
		None				☹
MEDIUM RISKS 😊						
1	All (1)	<p>Welborne</p> <p>Failing to progress the planning framework for Welborne, provide effective communication about the new community or address the infrastructure funding issues.</p>	Richard Jolley	Feb 2014	<p>Planning framework - preparation of Welborne Plan and associated concept master plan, transport and green infrastructure strategies, infrastructure delivery plan (IDP), viability and other supporting technical evidence studies progressed to revised timetable with Publication Plan approved by Council on February 2014.</p> <p>Homes & Community Agency [HCA] facilitating workshops and work streams with Strategic Board members (including principal landowners) to resolve key outstanding issues prior to consideration of Welborne Plan at examination and to inform submission of outline planning application(s).</p> <p>Infrastructure Funding - in parallel with preparation of Welborne Plan, and drawing on the associated Infrastructure Delivery Plan, consultants appointed to undertake work on preparation of an Infrastructure Funding Strategy. Ongoing consideration of public funding sources with HCA and Solent Local Enterprise Partnership, such as New Homes Bonus, Local Infrastructure Fund, Solent Growth Fund.</p>	😊




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					<p>Recruitment to two Welborne Development Management posts now completed; interim arrangements in place for resourcing progression of Welborne Plan to adoption; Phase 1 2013/14 Capacity Funding award from DCLG received for funding for technical evidence studies, staff costs and future delivery-related projects with review required prior to release of possible Phase 2 2014/15 award.</p> <p>Quarterly update reports provided to Executive on costs of and funding sources for Welborne work.</p>	
4	2 Prosperity (4)	<p>Daedalus</p> <p>Failure to provide a planning framework for the Daedalus site and support the Local Enterprise Partnership in the promotion of the Enterprise Zone.</p>	Richard Jolley	Feb 2014	<p>Detailed work on planning S106 agreement related to outline planning application for the whole Daedalus site progressed to resolution, following recent agreement with Homes & Community Agency over provisions relating to retention of and access to runways enabling planning consent to be granted on 20 December 2013.</p> <p>Centre for Engineering and Manufacturing Advanced Skills Training Centre for Engineering and Manufacturing Advanced Skills Training [CEMAST] scheme now being implemented.</p> <p>Progression of Innovation Centre & runway refurbishment by FBC as outlined in Project 4.3 status.</p> <p>Extensive liaison taking place with HCA on their detailed infrastructure & development proposals for Hangars East and West, including the reallocation of existing tenants as appropriate.</p>	☹️
8	4 Leisure (8)	<p>Coldeast</p> <p>Failure to deliver proposed community facilities at the Coldeast development site or alternative location.</p>	Martyn George	Feb 2014	<p>Section 106 agreement sets out clear trigger points for the transfer of land and or funding.</p> <p>Homes and Communities Agency have transferred land for swimming pool, allotment and cemetery at Coldeast ahead of Sec 106 triggers. Transfer completed Oct 2013.</p>	☺️

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9	4 Leisure (9)	<p>Community Buildings</p> <p>Failure to provide modern, fit for purpose community buildings in the most appropriate locations.</p>	Martyn George	Feb 2014	<p>Executive have approved funding (£1.5M) for the refurbishment of the leisure centre swimming pool in 2014.</p> <p>The Development Sites and Policies Plan identifies sites for a new community centre in Fareham Town. Competing priorities and lack of funding for a new community centre prevent this from proceeding at the current time.</p>	
12	5 Housing (11)	<p>Affordable Homes</p> <p>Failure to deliver 500 new affordable homes by 2017.</p>	Martyn George	Feb 2014	<p>Concern at lack of sites coming forward for affordable housing, partly due to lack of sites and partly due to impact of Community Infrastructure Levy on development viability impacting adversely on affordable housing.</p> <p>Concern that forecast delivery is unlikely to achieve affordable homes target. Following the budget statement in Dec 2013, Local Authorities are awaiting further announcements from HM Treasury DCLG and Homes & Communities Agency on future funding for Local Authorities to build new homes for rent.</p>	
16	7 Dynamic Council (15)	<p>Asset Management</p> <p>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.</p>	Andy Wannell	Feb 2014	<p>Commercial property acquisitions are progressing well, which have led to improved revenue streams for the Council. Corporate Assurance Management Group continues to meet regularly to identify potential further opportunities within the borough.</p>	
17	7 Dynamic Council (16)	<p>Sustainable Budget</p> <p>Failure to minimise Council tax increases through delivery of a sustainable budget.</p>	Andy Wannell	Feb 2014	<p>Robust plans are in place for the budget 2014, and efficiency plans prepared to support a balanced budget into the medium term.</p>	
19	None	<p>Policy Changes</p>	Martyn George	Feb 2014	<p>Satisfactory progress.</p>	

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		Failure to respond to new legislation and the governments changing policy agenda.				
21		<p>Business Continuity</p> <p>Inadequate arrangements in place to respond to a critical disruption.</p>	Garry White	Feb 2014	<p>The Head of Community Safety and Enforcement is finalising the work with the 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. Further resilience has been provided by the development of more office based facilities at the depot (Building Control Partnership) that provides flexibility if key and critical services need to be relocated from the civic offices. The development of further partnerships such as the Southampton and Fareham Legal Partnership and the Fareham and Gosport Environmental Health Partnership provide flexibility and resilience in that these services can be provided from other locations.</p> <p>The recent emergency planning exercise involved evacuation of the depot and officers were able to relocate and work from locations within the civic offices to ensure continuity of service provision.</p> <p>The Council has approximately 200 staff that have the capacity to work remotely using Citrix software.</p>	☺
22		<p>Governance</p> <p>Inadequate Governance and Systems of Control.</p>	Andy Wannell	Feb 2014	<p>There are no material concerns in this regard, although it is recognised that the planned organisational changes, together with new approaches to service delivery, may present an increased risk during the transitional period.</p>	☹
25		<p>Service Delivery</p> <p>Current level of service cannot be delivered within existing budget.</p>	Andy Wannell	Feb 2014	<p>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. Steps have been taken to increase resources in some areas where excess demand exists, and resources have been restructured in others to ensure that the demands upon the service are best met (e.g. Development Management).</p>	☹

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					The Medium Term Financial Strategy for the Council reflects the emerging demands for services and plans are in place to ensure that this can be properly resourced.	
27		Income Loss of income	Andy Wannell	Feb 2014	The services which present the greatest risk remain car parking, commercial estates, Ferneham Hall and treasury management. Close monitoring of these areas is carried out, and steps have been taken to generate income from alternative sources, e.g. commercial property acquisitions, to compensate. The reductions have been taken into account in setting the Medium Term Financial Strategy.	☹️
32		Health and Safety – Employee Failure to meet Health & Safety responsibilities in relation to employees.	Garry White	Feb 2014	<p>Annual Health and Safety Performance report presented to the Executive on 2 September 2013. There has been a reduction in all work place accidents by 7, from 52 in 2011/12 to 45 in 2012/13. The accident statistics to date (April to February 2013/14 (three quarters) shows a total of 45 to date.</p> <p>Quarterly Safety Committee meetings continue to take place involving Unions and employee representatives, the notes of which are available on the intranet and circulated.</p> <p>Quarterly meetings also take place of the Corporate Premises H&S Group that manages the higher level H&S risks in Council premises.</p> <p>Outcome of the Zurich Inspection that took place in 2013 concluded that overall the Council complied with relevant legislation and also exhibited systems and procedures that are in excess of our legal obligations in a number of areas.</p> <p>CXMT also receive quarterly absence management reports that highlight the level of sickness that may be attributable to certain work related causes.</p>	☹️

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					<p>The follow up inspection by the Health and Safety Executive of the Council's Waste Management arrangements in September 2013 highlighted that the H&S management of the service reflects best practice.</p> <p>The Council's Safety Advisor continues to follow up and assist on each departments H&S Action Plan from the previous year's audits to ensure actions are being progressed. The results of which will be reported to CXMT.</p>	
34	1 Environment (2) 2 Prosperity (4) 4 Leisure (9) 5 Housing (12)	Local Plan [New] Failure to progress Part 2 of the Local Plan (Development Sites & Policies Plan) to adoption, to provide a planning framework for the wider Borough (excluding Welborne) and allocate sites for housing, employment, and leisure uses.	Richard Jolley	To be Completed	<p>Development Sites & Policies Plan approved by Council on 13 February 2014 for representation period and submission to government for independent examination.</p> <p>It is anticipated that significant representations will be received in relation to housing land supply issues. Additionally, large-scale planning application recently received for Newlands Farm.</p> <p>Revised resourcing arrangements to be put in place to progress Plan through examination and to adoption.</p>	☹️
LOW RISKS ☺️						
2	1 Environment (2)	Recycling Failure to reduce the quantity of household waste and maximise the amount that is reused or recycled.	Paul Doran	Feb 2014	Recycling rate static at 37%, which is still the third highest level within Hampshire authorities. Refresher training has been carried out for all refuse crews on dealing with contamination of recycling bins. This has reduced the level of repeated contamination.	☺️
3	1 Environment (3)	Sustainability Benefits of the Council's Environmental Sustainability Strategy and other environmental strategies are not fully delivered.	Richard Jolley	Feb 2014	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.	☺️

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5	2 Prosperity (5a and 5b)	<p>Retail areas</p> <p>Failure to achieve proposed improvements for retail areas in the borough.</p>	Richard Jolley	Feb 2014	<p>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.</p> <p>Parking policy changes successfully introduced in April 2013; street furniture, enhanced signage and dedicated website/marketing strap line to be implemented during February – May 2014. Continued liaison with retailers via Business Breakfast events.</p> <p>Locks Heath District Centre – Planning policy framework for considering further investment proposals for the centre to be provided through progression of Development Sites & Policies Plan (approved by Council on 13/02/14) to examination and adoption. Awaiting tri-partite discussions in relation to any further redevelopment proposals.</p>	
6	2 Prosperity (6)	<p>PUSH</p> <p>Failure to support Partnership for Urban South Hampshire and Solent Local Enterprise Partnership to deliver economic growth and improved skills.</p>	Richard Jolley	Feb 2014	<p>Extensive support currently 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.</p> <p>Provision being made for approximately £80m Solent Growth Fund bid to support Fareham/Gosport package for Welborne & Enterprise Zone by the Solent LEP in the Solent Economic Plan - to be submitted to government at end of March 2014 with decisions in early July 2014.</p>	
7	3 Safe and Healthy	<p>Crime and Disorder</p> <p>Increase in the incidents of</p>	Garry White	Feb 2014	<p>The incidents of reported crime in Fareham continues to fall and this was reported in the annual report to the Council's Scrutiny Board on the Performance of the</p>	

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	(7)	crime, disorder and anti social behaviour.			<p>Fareham Community Safety Partnership on 4 July 2013. The work of the Community Safety Partnership has seen a 34% reduction in all reported crime within the borough over the last 5 years and 24% reduction in reported Anti Social Behaviour in the last year.</p> <p>The Partnership is third best performing in Hampshire and nationally in its most similar family group.</p> <p>The last residents' survey conducted in 2013 highlighted that the majority of residents think Fareham remains a safe and healthy place to live and work. 90% thought that the Police and FBC were successfully dealing with crime, Anti Social Behaviour and neighbour nuisance, compared to 88% in 2011 and 66.9% in 2009.</p> <p>The Partnership together with the Local Children's Partnership (LCP) contributes to the effective delivery of the Fareham's Supporting Families Programme. Co-location of agencies has led to efficient and effective multi agency working.</p> <p>A new Community Safety Strategy and Action Plan is currently being developed to cover the period 2014 -17. The financial pressures facing all our Community Safety Partners needs to be monitored to ensure that this does not directly impact upon our performance.</p>	
11	4 Leisure (10)	<p>Outdoor Recreation</p> <p>Failure to fully implement the improvement programme for parks, play areas and sports facilities.</p>	Martyn George	Feb 2014	The Open Spaces Improvement Programme was reviewed by Executive in November 2013, confirming the planned programme of work for 2014/15.	☺
13	5 Housing (12)	<p>Sheltered Housing</p> <p>Failure to deliver and implement a programme of</p>	Martyn George	Feb 2014	New Sheltered Housing Scheme under construction on site of former Collingwood House. Plans in preparation for new sheltered scheme at Coldeast. Results of consultation on change of use of existing sheltered schemes to be reported to Executive in Spring 2014.	☺

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		modernising and improving sheltered accommodation across the Borough.				
14	6 Community (13)	Gateway Failure to tackle the underlying causes of deprivation in the Fareham Park area.	Martyn George	Feb 2014	Fareham Park Project Officer resigned December 2013. Secondment arrangements in place effective from 13 January 2014. Successful application for Public Health Grant (£32k) to be invested in Fareham Park under the title of "Clued Up 2 go" based on youth counselling/support services.	😊
15	6 Community (14)	Community Engagement and Customer Focus [Amended description] Failure to communicate and engage effectively with the local community and deliver a customer focussed service.	Martyn George	Feb 2014	Vanguard training for Directors and Heads of Service completed Dec 2013. First phase of planned programme of interventions across 5 services underway and progressing well. Progress reported to Members via Member workshop and report to Executive. Well received by Members.	😊
18		Mobile Working [Amended description] Failure to make best use of existing technology in the way that services are delivered.	Andy Wannell	Feb 2014	No material concerns are identified.	😊
20		Partnerships Failure of a significant partnership or contract	Martyn George	Feb 2014	Satisfactory monitoring and review procedures in place.	😊
23		Performance Management Inadequate Performance Management Framework	Garry White	Feb 2014	The Corporate Strategy was approved by Council at its meeting on 10 October 2013. All employees of the Council are now using the new approach to Individual Performance Management and this is being monitored by Personnel. The performance on corporate projects and priorities are closely monitored by CXMT who received a progress update from the Corporate Policy Officer on 29 January 2014. The results of the 2013 Residents Survey were reported	😊

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					to the 6 January 2014 meeting of the Executive . Most of the results showed an upward trend in satisfaction since 2011. The majority, 97% of respondents were happy with their local area as a place to live, 89% thought the Council provided value for money and 90% were happy with the way the Council run things. The Annual Governance Statement review of effectiveness concluded that the arrangements the Council have in place continue to be regarded as fit for purpose in accordance with the governance framework.	
24		<p>People Management</p> <p>Poor people management and resourcing</p>	Garry White	Feb 2014	<p>Implementation of the Individual Performance Management scheme and finalisation of the corporate training programme is now complete and the individual performance management approach is up and running and has received positive feedback from staff. Work is currently being undertaken to assess the uptake of the training identified in the corporate training plan for 2013/14 and work is currently being undertaken on the training needs for 14/15. Support is also being given to employees to maximise the benefits of the Skillgate / e-learning system where it contributes to improved service delivery.</p> <p>Workforce planning is part of the day to day work undertaken by all managers at FBC and is reflected in the Council's approach to service planning. This is being developed to reflect the priorities of the Council to ensure that employees have the appropriate skills to meet new and challenging priorities in the longer term.</p>	☺
26		<p>Health and Safety - Public</p> <p>Failure to meet Health and Safety responsibilities in relation to public liability.</p>	Andy Wannell	Feb 2014	No material areas of immediate concern, although we have highlighted that steps should be taken to strengthen the inspections regime on a consistent basis.	☺
28		Emergency Planning	Garry White	Feb 2014	Annual Emergency Planning report presented to the Executive in September . The training and exercising that has been provided to date has enabled the Council to	☺

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		Failure to provide an appropriate response in an emergency			<p>provide an effective response to emergency incidents and is detailed in this report.</p> <p>Emergency Response Plan recently updated. Emergency Planning exercise undertaken in December 2013. The exercise highlighted that FBC are more than capable at responding to a major incident and meeting their statutory obligations of the Civil Contingencies Act 2004. The exercise also demonstrated that FBC have well equipped facilities and well trained staff that are well prepared to respond to an emergency within the Borough, requiring local authority support.</p> <p>The Wallington Flood Plan was also updated including input from HCC and FBC following lessons learnt from the 2012 flooding and this was also tested as part of the exercise.</p> <p>Training continues to be provided in conjunction with HCC Emergency Planning Team.</p> <p>The Chief Executive has also co-ordinated a number of meetings of the Council's Adverse Weather Group to co-ordinate the Council's response to the recent severe weather which has highlighted the support we can provide to the other agencies and the residents of the borough.</p> <p>Following a recent reorganisation of some of the Council's functions, the responsibility for the General Duty Out of Hours Service is now the responsibility of the Head of Parking and Enforcement who is also responsible for emergency planning and business continuity. Therefore this provides a logical link, in terms of co-ordination and consistency in the way we respond to what could potentially become an emergency response.</p>	

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29		<p>Elections</p> <p>Challenge to an election process</p>	Garry White	Feb 2014	<p>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 June 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. FBC 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 FBC's Election Services Team are using this and have produced a working risk assessment as part of our own implementation plan.</p>	😊
31		<p>Equality</p> <p>Failure to meet Equality and Inclusion Standards.</p>	Andy Wannell	Feb 2014	No material causes for concern	😊