

APPENDIX A

CORPORATE RISK REGISTER V4 – September 2014

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

Risk Ref	Corporate Strategy Priority No. and Short Name (Improvement Priority Ref.)	Short Name	Risk Description	Risk Manager	Latest risk sheet	Current status	Current Risk Score [change since March 2014 if any]	Last review by CXMT
HIGH RISKS ☹								
			None				☹	
MEDIUM RISKS ☹								
1	All (1)	Welborne	Failing to progress the planning framework for Welborne, provide effective communication about the new community or address the infrastructure funding issues.	Richard Jolley	July 2014	<p>The Council submitted the Local Plan Part 3: Welborne Plan to the Secretary of State for Communities and Local Government on 23rd June 2014. FBC will be meeting the Inspector mid-July. Whilst FBC are awaiting notification of the examination programme from the Inspectorate, it is anticipated the examination hearings are likely to be in late September or early October 2014.</p> <p>An outline Funding Strategy was produced during 2013 and a position statement was produced for the Executive, showing progress in developing the full strategy. Following a</p>	☹	23/07/14

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						<p>series of workshops with key stakeholders, the Infrastructure Funding Strategy is nearing completion and will be considered by the Executive in the summer 2014. Once completed, this will provide a framework for funding the infrastructure at Welborne as the plans being developed by the site promoters come forward.</p> <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 Welborne Plan technical evidence studies, staff costs and future delivery-related projects; release of provisional Phase 2 2014/15 award awaited; further Capacity Funding award submitted for Welborne development management work for 2014/15 and 2015/16 with DCLG decision awaited. Quarterly</p>		

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						update reports provided to Executive on costs of and funding sources for Welborne work.		
34	All (1)	Local Plan Part 2 (amended name)	Failing to progress the planning framework for Fareham Borough [excluding Welborne]. (amended name)	Richard Jolley	July 2014	<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>	☹	23/07/14
4	2 Prosperity (4a and 4b)	Daedalus	Failure to provide a planning framework for the Daedalus site and support the Local Enterprise Partnership in the promotion of the Enterprise Zone.	Richard Jolley	July 2014	<p>The HCA are in the process of consulting FBC on a 'design Brief' they wish to give prospective leaseholders on the Daedalus site. Progress has been focused on item 4.3.</p> <p>The funding agreement for the Innovation Centre and Runway have both been completed</p>	☹	23/07/14

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						<p>between the Homes and Communities Agency and the Council, and the land for the Innovation centre has been acquired by the Council. The contractor commenced works on site in May 2014 and is programmed to complete the Innovation Centre by mid-March 2015. A detailed specification for the improvements to the runway has been developed and will be tendered during the early summer months, such that work can start on site in October 2014, for a period of 6-8 weeks. There have been some delays in undertaking the hangar construction as a site is yet to be agreed with the HCA</p> <p>Outline planning permission was granted on the 20th December 2013. The Council is providing considerable pre-application advice on development proposals looking to come forward at the site. Detailed planning permissions have been granted for the CEMAST building (now nearing completion) and the Innovation Centre (for which work has</p>		

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						commenced). Further planning applications for employment development at the site have been submitted and will be approved shortly.		
8	4 Leisure (8b)	Coldeast excluding Swimming Pool (amendment)	Failure to deliver proposed community facilities, excluding Swimming Pool, at the Coldeast development site or alternative location.	Martyn George	July 2014	Outline planning consent granted for the swimming pool at Coldeast. Project funding and outline specification approved by Executive (April 2014). Governance arrangements approved by Executive to oversee the delivery of the Coldeast swimming Pool and community facilities (July 2014). Interviews completed for Project Management Consultancy and interviews arranged for selection of Design and Build Contractor.	☹	23/07/14
35	4 Leisure (8a)	Coldeast - Swimming Pool (NEW)	Failure to deliver proposed provision of a Swimming Pool at Coldeast.	Martyn George	July 2014	Outline planning consent granted for the swimming pool at Coldeast. Project funding and outline specification approved by Executive (April 2014). Governance arrangements approved by Executive to oversee the delivery of the Coldeast swimming Pool and community facilities (July 2014). Interviews completed for Project	☹	23/07/14

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						Management Consultancy and interviews arranged for selection of Design and Build Contractor.		
9	4 Leisure (9)	Community Buildings	Failure to provide modern, fit for purpose community buildings in the most appropriate locations.	Martyn George	July 2014	Main pool refurbished and opened on 4 July 2014; (works continue on learner pool and changing village due for completion in Sept 2014.) Bath Lane cricket pavilion due for refurbishment, works commence Sept 2014. Leisure & Community PD&R Panel to consider the draft master plan (arising from the needs assessment of the 5 CATs Areas) at their meeting on 23 July 2014.	☹	23/07/14
12	5 Housing (11)	Affordable Homes	Failure to deliver 500 new affordable homes by 2017.	Martyn George	July 2014	Joint Venture Local Housing Company close to registration. Review of CIL completed. Reviewed and strengthened knowledge and skills to negotiate on affordable housing and robust defend viability challenges. Policy reviewed and revised to ensure Affordable Housing delivery is secured through Sec 106 in future rather than by condition. (Sec 106 offers	☹	23/07/14

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						greater certainty of delivery and protection for future occupiers). £14M of funding approved by Executive to deliver 100 new affordable homes. Application submitted to HCA for funding under Affordable Homes Programme 2015-18 as partner within the Wayfarer Consortium (results due end of July 2014). Planning Applications approved for Coldeast Sheltered scheme, Coldeast Close Passiv-haus scheme and Palmerston Avenue.		
16	7 Dynamic Council (15)	Asset Management	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.	Andrew Wannell	July 2014	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.	☹	23/07/14
17	7 Dynamic Council (16)	Sustainable Budget	Failure to minimise Council tax increases through delivery of a sustainable budget.	Andrew Wannell	July 2014	Robust plans are in place for the current year's budget, and approved efficiency plans are sufficient to support a balanced budget into the medium term.	☹	23/07/14
19		Policy Changes	Failure to respond to new legislation and the government's	Martyn George	July 2014	Safeguarding (Section 11) audit recently completed and submitted to Local Children's	☹	23/07/14

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			changing policy agenda.			Safeguarding Board for review. Recently completed a review of future fraud investigation resource requirements resulting in a proposed restructure. Report currently being prepared for CX.		
22		Governance	Inadequate Governance and Systems of Control.	Andrew Wannell	July 2014	There are no material concerns in this regard, although it is recognised that the new approaches to service delivery may present an increased risk during the transitional period.	☹	23/07/14
25		Service Delivery	Current level of service cannot be delivered within existing budget.	Andrew Wannell	July 2014	There is generally a good understanding of the services which are under pressure, and resources have been allocated to meet those demands. 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.	☹	23/07/14
27		Income	Loss of income.	Andrew Wannell	July 2014	The services which present the greatest risk remain car parking, commercial estates, and Ferneham Hall. Close monitoring of these areas is carried out, and steps have been taken to generate income from alternative sources, e.g.	☹	23/07/14


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						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.	Martyn George	July 2014	Annual Health and Safety Report for 2013/14 to be considered by CXMT on 23 July 2014 and by Executive on 1 Sept. Excluding reported near-miss and miscellaneous events, there were 51 injury-causing incidents recorded during the period 1 April 2013 - 31 March 2014 - an increase of 6 on the total (45) for the same period in 2012/13 (see report for further details). Safety Cttee continues to meet quarterly; terms of reference and structure of meetings currently under review.	☹	23/07/14
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	July 2014	The Council has maintained its position with the third highest recycling level and second lowest waste produced per household within Hampshire authorities. Refresher training has been carried out for all refuse crews on dealing with contamination of recycling bins.	☺	23/07/14

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						This has reduced the level of repeated contamination.		
3	1 Environment (3a and 3b)	Sustainability	Benefits of the Council's Environmental Sustainability Strategy and other environmental strategies are not fully delivered.	Richard Jolley	July 2014	Progress continuing to be made in relation to Environmental Sustainability Strategy actions	😊	23/07/14
5	2 Prosperity (5)	Retail areas	Failure to achieve proposed improvements for retail areas in the borough.	Richard Jolley	July 2014	A presentation on the proposed approach to Fareham Town Centre Core Development Sites is due shortly to CXMT from which a project brief will be drafted and actioned. In line with the Town Centre Action Plan new benches and cycle racks, as well as fingerpost and way-finding signs (in partnership with HCC) have been installed in the town centre. Outstanding items include business support and an improved market proposition. Waitrose has successfully opened in March 2014, along with the decision to progress a new swimming pool at Coldeast this Corporate Priority has been removed from the Corporate Strategy. (Note: In June 2014 FBC met with NNR about their	😊	23/07/14

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						proposals for a new community centre and library provision, alongside an improved retail offer. No contact has been made since).		
6	2 Prosperity (6)	PUSH	Failure to support Partnership for Urban South Hampshire and Solent Local Enterprise Partnership to deliver economic growth and improved skills.	Richard Jolley	July 2014	The Solent LEP prioritised the delivery of Welborne in its Local Growth Deal bid (associated with submission of the Solent Strategic Economic Plan 2014-20). A Fareham/Gosport funding package has been agreed to include an initial enabling programme of works aimed at opening up access to the strategic sites at Welborne and the Solent Enterprise Zone, with £6m allocated in 2015/16 and a further £13.7m in the period 2016- 2021. In addition, a provisional allocation of £14.9m has been made to upgrade junction 10 of the M27 to an 'all moves' junction, starting beyond 2016. In addition to this co-investment and the provisional allocation to junction 10, there is a requirement for further co-investment to support improvements to the strategic transport infrastructure on the Fareham/Gosport peninsula	😊	23/07/14

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						(including the construction of the Stubbington bypass) and onsite development at Welborne. This will inform the negotiation of the next iteration of the Solent Growth Deal and there is an ambition to progress this in 2014.		
7	3 Safe and Healthy (7)	Crime and Disorder	Increase in the incidents of crime, disorder and anti-social behaviour.	Martyn George	July 2014	The incidents of reported crime in Fareham continue to fall and this was reported in the annual report to the Council's Scrutiny Board on the Performance of the Fareham Community Safety Partnership on 3 July 2014.	😊	23/07/14
11	4 Leisure (10)	Outdoor Recreation	Failure to fully implement the improvement programme for parks, play areas and sports facilities.	Martyn George	July 2014	The revised open spaces improvement programme will be reported to the Leisure & Community Panel in September and onto the Executive in November 2014.	😊	23/07/14
13	5 Housing (12)	Sheltered Housing	Failure to deliver and implement a programme of modernising and improving sheltered accommodation across the Borough.	Martyn George	July 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.	😊	23/07/14
14	6 Community (13)	Fareham Park amended title	Failure to tackle the underlying causes of	Martyn George	July 2014	Youth Club and Clued Up 2go counselling and support	😊	23/07/14

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			deprivation in the Fareham Park area.			services now operating from Fareham North West Community Centre. Successful application made to DCLG "Our Place" Fund (£10K) plus consideration for innovation fund.		
15	6 Community (14) and 7 Dynamic Council (17)	Community Engagement, and Customer Focus	Failure to communicate and engage effectively with the local community, and deliver a customer focussed service.	Andy Wannell/Lindsey Ansell (amended)	July 2014	Vanguard training for Directors and Heads of Service completed Dec 2013. First phase of planned programme of interventions progressing well. Progress reported to Members via Member workshop and report to Executive.	😊	23/07/14
18		Mobile Working	Failure to make best use of existing technology in the way that services are delivered.	Andrew Wannell	July 2014	No material concerns are identified. As Vanguard interventions progress, the role for the use of technology will be examined, to ensure it is applied appropriately.	😊	23/07/14
20		Partnerships	Failure of a significant partnership or contract.	Andrew Wannell (amendment)	July 2014	CXMT reviewed current partnership arrangements on 29 Jan 2014; all partnerships are performing well. Environmental Health partnership witnessed the TUPE transfer of EH staff from GBC to FBC on 1 April 2014. Leisure Partnership extended for a further five years (ending April 2020).	😊	23/07/14

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21		Business Continuity	Inadequate arrangements in place to respond to a critical disruption.	Paul Doran	July 2014	The Head of Community Safety and Enforcement is finalising the work with the HoS's to ensure their BCP's 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 have been identified that lead into this corporate risk have controls and arrangements in place to mitigate any disruption and the Heads of Service are developing these further. 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	 From Medium to Low	23/07/14

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						other locations. 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. The Council have approximately 200 staff that have the capacity to work remotely using Citrix connectivity including 30 staff that have dedicated laptops with Microsoft UAG (Universal Access Gateway). HoCS&E meeting with all HoS to review their BCP's and to identify where any additional actions / work that may be required to their plans. This will then be used to update the critical service matrix and be reported to CXMT.		
23		Performance Management	Inadequate Performance Management Framework.	Andrew Wannell	July 2014	The Corporate Strategy has been agreed 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	😊	23/07/14

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						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 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 AGS 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		People Management	Poor people management and resourcing.	Andrew Wannell	July 2014	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	😊	23/07/14

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						<p>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		Health and Safety - Public	Failure to meet Health and Safety responsibilities in relation to public liability.	Martyn George (amendment)	July 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.	☺	23/07/14
28		Emergency Planning	Failure to provide an appropriate response in an emergency.	Paul Doran	July 2014	Training has taken place with key members of the emergency planning team, the training is also on going as required	☺	23/07/14

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						throughout the year, the contacts list for the emergency plan is in the process of being update, recruitment in June to the emergency planning team has been a success which generated a further 12 volunteers into various roles. The actions that have been identified have either been completed or are in the process of being completed.		
29		Elections	Challenge to an election process.	Andrew Wannell	July 2014	Well tested procedures are in place to cover the election process, and are revised to take account of lessons learned. The introduction of Individual Electoral Registration in June 2014 (subject to legislation) has resulted in changes to the way in which people register to vote at an election and the Cabinet Office's risk assessment has been used by FBC's Election Services Team in formulating its own implementation plan.	😊	23/07/14