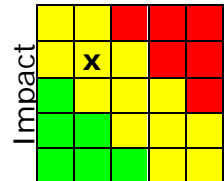
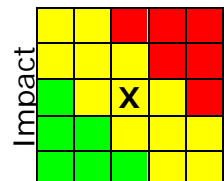


Development Services Risk Register (Development Portfolio)

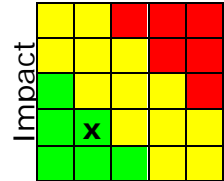
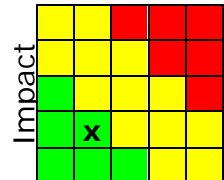
Most recent review: ~~October~~ April 2019 (unless otherwise stated)

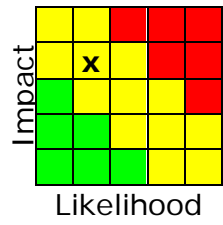
x Current position
o Previous position if changed

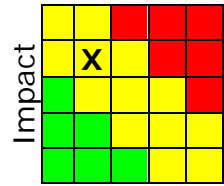
SECTION 1: SERVICE-WIDE RISKS

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Generic Risks								
1. Failure to comply with Health and Safety requirements	Staff not assessing risks adequately/at all Lack of awareness Lone working System failure	Physical/verbal attacks on staff Injury to staff Compensation claims Reputational damage	Risk assessments done on a regular basis Equipment provided to ensure contact possible in cases of emergency Procedures in place/adequate training Set and action "Assessnet" reminders as required Health and Safety a standard agenda item on team and section meeting agendas Continue to review effectiveness of lone worker policy including against corporate policy	All managers	Review CS cards for BC staff Assess approach to dynamic risk assessments for site visits and review policy and guidance <u>Need to provide training for DM staff and remind all staff to embed lone worker policy (especially checking in when returning from site)</u>	Staff time	Ongoing	 <p>Likelihood</p> <p>No change April <u>Oct</u> 2019</p>
2. Failure of IT	Computer system breaks down Power failure Malicious acts/hacking of system Poor knowledge/understanding of system	Unable to continue with the service Systems not set up adequately resulting in additional work Impact on Planning Committee and WDC reputation.	Adequate back-up system in place and is maintained by IT. Business Continuity Plan in place and reviewed (most recent review Jan 2018). On-going engagement with IT Ensure that all staff adhere to IT protocols and policies	All managers	Ensure the Business Continuity Plan is updated on annual basis (as required corporately) <u>Update list of critical users to support service recovery</u>	Staff time/funding	Ongoing	 <p>Likelihood</p> <p>No change April <u>Oct</u> 2019</p>

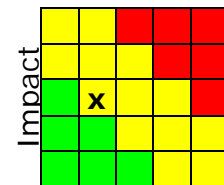
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
3. Lack of staff resources	<p>Loss of key staff/knowledge</p> <p>Lack of staff cover for emergency/bank holiday</p> <p>Lack of ability to support corporate projects</p> <p>Difficulties in competing against private sector salaries</p>	<p>Staff not skilled to be able to respond to service area matters</p> <p>Unable to respond to emergencies – may result in harm/injury/death</p> <p>Unauthorised developments taking place</p> <p>Impact on quality and efficiency of service</p>	<p>Ensure that training and development of knowledge about the service is shared amongst a number of staff to provide resilience</p> <p>Always consider “growing and developing staff” from within the service and use of apprenticeship scheme</p> <p>Always ensure recruitment to vacancies is a priority</p> <p>Review of workloads and resources taking place in Jan 2019 ahead of approval of 2019/20 budget.</p> <p>Utilise growth in planning fees to support those elements of the services that are facing greatest pressure</p> <p>Manage difficulty in recruitment by introducing career grades</p>	All managers	<p>Ensure that one-to-one discussions and appraisals take place to discuss staff development</p> <p>Review all hard to fill posts to identify barriers and to put in place alternative plans (e.g consider career grades/market supplement etc)</p> <p>Corporate review of Comensura</p> <p>Manage difficulty in recruitment by introducing career grades</p>	Staff time	Ongoing	<p>Impact</p> <p>Likelihood</p> <p>Impact increased Oct 2019 to reflect recent experiences of staff shortages</p>

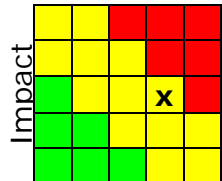
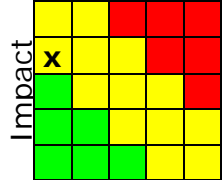
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
4. Inadequate training	Lack of time to invest in training Corporate financial pressures Other training pressures elsewhere in the organisation	Staff not skilled or experienced enough to be able to provide the service necessary Impact on quality and efficiency of service Development takes place that is not authorised	Training plans to be in place and reviewed regularly Budget required to invest in staff Head of service work with colleagues in CMT and SMT to underline the importance of training for long term service delivery Following 2018 appraisals Development Services Training Plan has been developed as a basis for training and resource allocation Use of apprenticeship schemes to provide professional training for unqualified staff	All managers	Ensure through appraisals that training is being identified through Personal Development Plans (PDPs) and needs met Use corporate training matrix as the basis for planning training to ensure corporate training resources are aligned with service needs Confirm use of apprenticeship levy for professional training (via RTPi apprenticeship degree)	Staff time Budget	Annual	 <p>Likelihood</p> <p>No change since June-2017Oct 2019</p>
5. Impact of legislation changes	Staff not keeping abreast of changes Staff not keeping to Continuing Professional Development (CPD) requirements	Statutory procedures not followed Complaints upheld Reputational damage Loss of professional accreditation	Training plans Officers to ensure they keep their CPD up to date Review implications of NPPF and CIL regulation amendments	All managers	Through appraisals ensure that staff are completing adequate training Undertake regular briefing sessions as new legislation and regulations Review implications of NPPF amendments	Staff time/ funding for training	Ongoing	 <p>Likelihood</p> <p>No change AprilOct 2019</p>

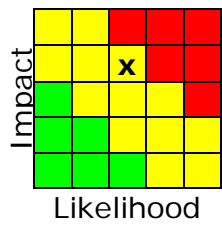
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
6. Failure to effectively monitor the delivery of Section 106 agreement requirements.	<p>Insufficient staffing/manner in which staffing is organised.</p> <p>Complexity of process and lack of clarity around responsibilities</p>	<p>Absence of required infrastructure or contributions required to support the development or to offset the impacts of the development resulting in poor quality or insufficiently mitigated development.</p> <p>Impact upon WDC reputation.</p> <p>Failure to achieve necessary contributions</p>	<p>Provision of appropriate resourcing - Monitoring officer appointed to lead this</p> <p>Introduction of quarterly S106 monitoring reports</p> <p>Increased focus within WDC and WCC to ensure the most effective use of that funding and joined up monitoring.</p> <p>Following its introduction the ongoing review and refinement of the Section 106 monitoring spreadsheet.</p> <p>Established procedures and publicly available database monitored regularly.</p> <p>Monitoring officer appointed to lead this</p> <p>Have introduced more accurate recording of income against infrastructure requirements</p> <p>End to end process with clear responsibilities developed and embedded</p>	DBu	<p>More accurate recording of income against infrastructure requirements involving regular meetings with finance</p> <p>Replace spreadsheet and record S106 directly in to Acolaid to improve accuracy and reporting. Processes to ensure S106 spreadsheet is updated promptly</p> <p>Respond to Audit report recommendations</p> <p>Develop end to end process with clear responsibilities</p> <p>Training for staff and clear guidance notes</p>	Staff time	<p>Ongoing</p> <p>Ongoing</p>	 <p>No change Oct 2019</p> <p>Impact <i>was</i> increased Jan 2019 to reflect scale of obligations in more recent S106 agreements and audit report. No change April 2019</p>

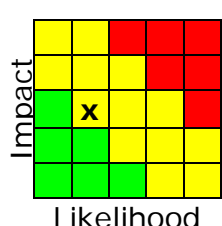
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
7 Potential fraud or wrong allocation of S106/CIL income	Lack of financial and management controls	<p>Fraudulent activity</p> <p>S106 contributions go out of time or are spent on the wrong projects thereby risking that developers will seek repayment</p> <p>Failure to deliver priorities set out in the IDP</p>	<p>Improved collaboration and practices with finance staff so that all invoices, receipts and orders are double checked</p> <p>Operation of new processes for checking and recording calculations for CIL and S106</p> <p>WCC Legal Services commissioned to develop approach to bespoke legal agreements with infrastructure providers as money paid out. Agreements will tie infrastructure providers to delivering specific projects within agreed timescales</p> <p>IDP/S106 Members Working Group</p>	CGDBu PC	Implement actions arising from Audit report undertaken in November 2018 by Internal Audit.	DB/GF/PC	2019	 <p>Risk reduced Jan 2019 to reflect new approach to checks. No change April-Oct 2019</p>

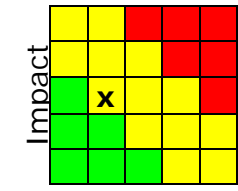
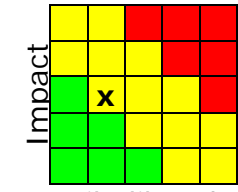
SECTION 2: DEVELOPMENT MANAGEMENT

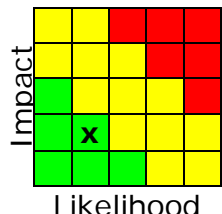
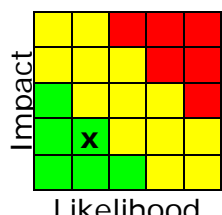
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Development Management Risks								
8. Failure to deliver outcomes in accordance with current legislation; regulations; guidance, etc.	Frequent changes to legislation, etc.; insufficient capacity/resourcing within the teams to keep up.	Work undertaken incorrectly results in poor outcomes, -challenges and complaints which themselves causes additional workload; impact upon WDC reputation.	<p>Ensure correct linkages and contacts continue to be in place to enable changes to be acted upon quickly by officers who have the capacity/knowledge and skills to do so.</p> <p>Programme of training now in place with members of the planning committee</p>	GF	<p>The Development Services Information Improvement Officer role continues to be the focus for the integration of such changes along with Development Management Team Leaders.</p> <p>Member and staff training needs are identified and undertaken regularly.</p> <p>Using lunchtime workshops to disseminate information to staff</p>		<p>On-going</p> <p>On-going</p>	 <p>No change April-Oct 2019</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
8a NEW RISK (Arpil 2019). Heavy data demands from DM work leading to IT issues and Business continuity for DM	Heavy data demands by DM staff on IT systems Desire to work more flexibly including working from home	Slow processing Issues arising when working from home Difficulty in team working when working from home and flexible/efficient use of desk when working in the office	Delay flexible use of desks for DM Experimented with use of laptops/Chromebook for DM	DB	Experiment with use of laptops/Chromebook for DM Introducing laptops for all DM staff to improve speed, flexibility etc Addressing ongoing software issues with IT	Staff time Cost of up to £20k	May Oct/Nov 2019 Ongoing	 Likelihood NEW Risk No change Oct April 2019
9. Failure to properly consider and determine planning applications in line with procedures and within statutory timescales	High workload volume; Incorrectly trained staff or planning committee members. Out of date or incorrect procedures Insufficient staffing relative to workload;	Potential risk of special measures resulting in loss of fee income from major planning applications affecting WDC reputation Impact of complaints, enforcement issues and legal challenges, together with staff being demotivated. Increased workload.	Continued proactive on-going management and support of staff. Continued monitoring of workload levels, performance and procedures. Programme of training now in place with members of the planning committee Monitoring and delivery of staff and planning committee training requirements. On-going review and implementation of officer and member training plans. Performance management system improved to provide better data Have successfully recruited to vacant posts - need to maintain staff resources.	DB/GF/S S	Performance management system is currently being reviewed		On-going.	 Likelihood No change April-Oct 2019

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
10. Failure to effectively enforce against unauthorised development where it is expedient to do so.	Volume of workload; incorrectly trained or motivated staff; insufficient staffing relative to workload.	Impact of inappropriate or poor quality development within the District. Impact upon WDC reputation.	Regular contact and liaison with legal colleagues. Continued monitoring of workload levels, performance and procedures. Monitoring and delivery of staff and planning committee training requirements. Attending Parish and Town Council meetings to be proactive regarding any potential issues. Additional post now established Additional posts agreed for enforcement Ongoing management of team resource issues including management of enforcement inbox Continued development and training of the enforcement team, particularly new member of staff.	GF/RL	Continued development and training of the enforcement team, particularly new member of staff. Ongoing review of enforcement Effective performance management system in place which is regularly reviewed. Need to recruit to recently established posts Ongoing management of team resource issues including management of enforcement inbox and induction of new member of staff	GF GF GF GF	Ongoing Ongoing	 <p>No change April-Oct 2019</p>

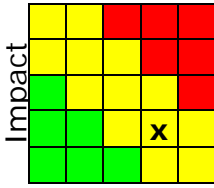
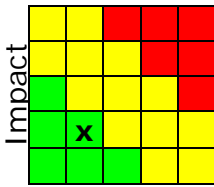
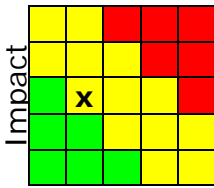
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
11. Failure to manage customer expectations appropriately and deliver work to those expectations.	High workload volume; insufficient capacity arising from staffing relative to workload.	Impact upon WDC reputation. Increased enquiries and complaints themselves resulting in additional workload.	Ensure that staffing/resourcing correlates to workload levels. Continued monitoring of workload levels and performance. Use of appropriate mechanisms to deliver appropriate messages to customers. Review and development of fortnightly monitoring report. Regular visits to town and parish councils Weekly team meetings established. Monitoring of complaints received, outcomes identified and actions arising ongoing – discussed at one to ones.	SS/RL/ RD /GF/ RY	Monitoring of complaints received, outcomes identified and actions arising ongoing – discussed at one to ones. Balanced approach between emails and face to face discussions to resolve issues early	DB/GF	Ongoing	 <p>No change April-Oct 2019</p>

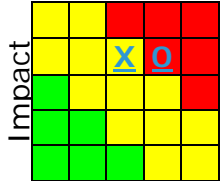
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
12. Failure to ensure that Planning Committee operates smoothly.	<p>Failure of IT.</p> <p>Absence of provision of required information to committee.</p> <p>New planning committee membership</p>	<p>Impact upon WDC reputation: for many customers this is the only point at which they will come into contact with WDC planning services.</p> <p>Delays in the decision making process.</p>	<p>Ensure that IT arrangements are fit for purpose.</p> <p>Ensure that staff is appropriately trained.</p> <p>Programme of training for members and staff in place.</p> <p>Improvements in place for the PA system at the Town Hall.</p>	GF	<p>Plan training programme for new planning committee after May 2019</p> <p>Further training sessions planned for new Planning Committee (e.g. Enforcement)</p> <p>Review issues for new Planning Committee with the Chair and consider whether any further areas of training are required.</p>	DB	Ongoing	 <p>Risk-increased October 2018 to reflect likelihood of a significantly different membership after May 2019. No change April Oct 2019</p>
13. Failure to protect the historic environment.	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload.	The value of heritage assets not fully taken into account within the decision making process to the detriment of the protection of those assets.	<p>Ensure that staffing/resourcing correlates to workload levels.</p> <p>Continued monitoring of workload levels and performance.</p> <p>Maintain current staffing levels to ensure that key tasks and processes are undertaken in the most effective manner.</p> <p>Have recruited to assistant post</p>	RD/GF	<p>Maintain current staffing levels to ensure that key tasks and processes are undertaken in the most effective manner.</p> <p>Initial review of the operation of CAF completed with ongoing reviews on an annual basis.</p> <p>Need to recruit to assistant post</p>	GF		 <p>No change April-Oct 2019</p>

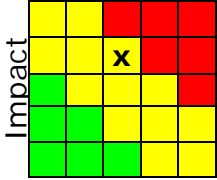
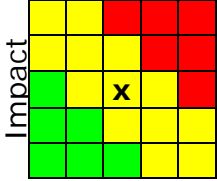
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
14. Failure to maintain an accurate land charges register.	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload.	The provision of incorrect information in response to search questions. Potential for claims against WDC. Loss of public confidence/impact upon WDC reputation.	Insurance cover in place for financial loss claims. Ongoing training of staff to meet service demand Assurance of data quality established through transfer of data to land registry Ongoing Monitoring of effectiveness of migration to land registry	MM/GF	Monitor effectiveness of migration to land registry	MM	On-going	 Likelihood No change April-Oct 2019
15. Failure to undertake standard property searches within required timescale (10 days)	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload.	Potential for claims against WDC. Loss of public confidence/impact upon WDC reputation.	Most searches now automated On-going training of staff Regular ongoing review of performance with follow up actions as necessary.	MM/GF			Ongoing	 Likelihood No change April-Oct 2019

SECTION 3: POLICY AND PROJECTS

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
16. Policy and Dev: Losing planning appeals or failing to deliver adequate infrastructure for development as a result of not effectively delivering the Local Plan	<p>Receipt of major planning applications prior to adoption of the Local Plan</p> <p>Lack of a 5 year supply of housing land</p> <p>Failure to pass the Housing Delivery Test</p> <p>Loss of M&S appeal</p>	<p>We could lose planning appeals on sites which are not preferred by the Council</p> <p>We could lose appeals or be in a position where we have to grant permission for applications which do not deliver the quality of development or infrastructure Reputation with the residents could be undermined as could fail to deliver aspirations for delivery of quality development as set out in the emerging local plan</p> <p>Financial implications with regard to infrastructure, New Homes Bonus, etc.</p>	<p>S106 funding for Site Delivery Officers has been secured</p> <p>3 site delivery officers now in post</p> <p>Proactive approach to delivering development in key geographical areas</p> <p>Local Plan adopted</p> <p>Continue to meet with potential developers to ensure they are aware of our approach and are able to respond to this should proposals be considered for approval in advance of the Local Plan</p> <p>Introduce Housing Delivery Test monitoring</p> <p>Introduce programme management approach to site delivery</p> <p>Reviewed appeal decisions (M&S; Lloyd Close)</p>	D Butler	<p>Develop and implement proposals for infrastructure funding</p> <p>Review M&S appeal decision</p> <p>Review corporate approach to Chandos St – reconsider need to revitalise development project</p> <p>Review approach to Planning appeal statements to ensure sensitive cases are checked</p>	<p>Planning Policy Team plus Sites Delivery Officer</p> <p>DS-staff</p> <p>DB / PC</p>	<p>Ongoing</p> <p>April 2019</p> <p>Oct 2019</p> <p>June 2019</p> <p>Oct 2019</p>	<p>Risk increase April 2019 to reflect M&S Appeal No change Oct 2019</p>
17. Policy and Dev: Failure to provide appropriate advice to officers, members and developers in relation to local plan policies and development proposals	<p>Progress on the Local Plan in general becomes very time consuming</p> <p>Unable to provide sufficient resources to support these areas of work</p>	<p>Inappropriate development or poor quality development could result</p> <p>Legal challenge</p>	<p>Ensure that advice is provided for the most significant developments including pre-applications</p> <p>Ensure staff across development services are aware of progress on policy development, sites, and infrastructure</p> <p>Lunchtime briefing sessions introduced</p>	D Butler	<p>Improve regular briefings for Development Management</p>	<p>Planning Policy Team</p>	<p>Ongoing</p>	<p>No change April 2019</p>

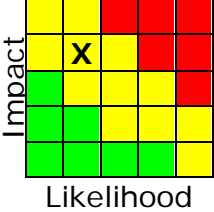
<p>18. Policy and Dev: Failure to make progress on corporate priorities and other requirements such as Town Centre plans; neighbourhood plans; CIL scheme;</p>	<p>Unable to provide sufficient resources to support these areas of work</p>	<p>Progress on key documents could be delayed meaning specific policies are not in place to support development</p> <p>Reputation undermined due to failure to meet commitments that have been made publically</p>	<p>Update to LDS</p> <p>Regular prioritisation of work through services and corporate management team meetings</p> <p>Manage expectations by publishing and sticking to realistic timescales</p>	<p>D Butler</p>	<p>Continually monitor workload through the project plan to ensure that adequate resources are available.</p> <p>Approval to appoint new project management resource for Leamington town centre (Oct 19)</p>	<p>Planning Policy team</p>	<p>Ongoing</p>	 <p>No change Oct April 2019</p>
<p>19. Policy and Dev: Not properly representing the Council's interests in responding to other local authority's / organisation's consultations (for instance other local plans, HS2, etc.)</p>	<p>Major requests for consultation at a time when team resources are focused on competing priorities</p>	<p>Missed opportunities to influence the location and nature of development within the area.</p>	<p>Prioritise consultations that have the most significant impacts on the District</p> <p>Ensure key issues are addressed in advance through the Duty to Cooperate</p>	<p>D Butler</p>	<p>As above</p>	<p>Planning Policy team</p>	<p>Ongoing</p>	 <p>No change April Oct 2019</p>
<p>20. Policy and Dev: Not meeting legislative and regulatory requirements</p>	<p>Failure to understand or be aware of new and changing legislation and regulations</p> <p>Lack of training and development</p>	<p>Legal challenge to development plan documents</p> <p>Impact on resources and finances</p> <p>Impact on Council reputation</p>	<p>Keeping abreast of planning legislation and regulation through</p> <ul style="list-style-type: none"> specialist publications and websites training, courses and seminars discussions with colleagues within the Planning profession sharing new developments in planning amongst the team <p>Implement the Housing and Planning Act, particularly once the associated regulations are published</p> <p>Update of planning policy following publication of NPPF is</p>	<p>D Butler</p>		<p>Planning Policy team</p>	<p>Ongoing</p>	 <p>No change April Oct 2019</p>

			underway including need to documents as a result Seek specific legal advice where necessary					
21. Failure to secure sufficient or timely infrastructure funding through CIL/Section 106	Ineffective implementation of CIL Failure to achieve S106 contributions as envisaged (for instance as a result of viability challenges) Failure of partners to spend contributions as intended	Insufficient income from developer contributions to provide for all essential infrastructure Timing of receipt of income prevents timely delivery of infrastructure Reputational damage as a result of over-stretched infrastructure	Continue to develop, improve and record CIL procedures, including collection and distribution Continue to prepare quarterly S106 monitoring reports to review triggers, income and spending Continue to plan infrastructure with Infrastructure providers Explore alternative funding streams and options for forward funding New processes for end to end S106 introduced Effective communications with public and consultees regarding infrastructure plans and progress Review and deliver Reg123 list For CIL, continue to learn from practice to improve processes	PC	Introduce new approaches to Reg 123 List and Infrastructure Funding statement as required revised CIL regs. New processes for end to end S106 introduced	PC CIL-officer DB	Ongoing 2019 2020	 <p>Impact</p> <p>Likelihood</p> <p>No change April 2019: Risk reflects that processes in this area are still not mature and sums of money involved are high</p> <p>Risk reduced Oct 2019. This reflects improved processes and monitoring, evidence that CIL is operating effectively and evidence (see AMR) that infrastructure funding is being delivered.</p>

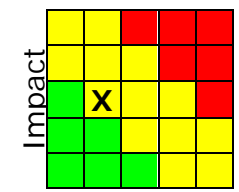
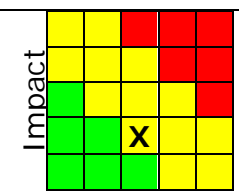
<p>22 Failure to effectively coordinate and deliver high quality development in each of the three main growth areas of the District (south of Coventry; Kenilworth and south of Warwick and Leamington)</p>	<p>Development proposals being brought forward ahead of completion of plans for comprehensive development</p> <p>Delays in developing comprehensive plans leading to risk of losing appeals</p> <p>Difficulties to achieving infrastructure funding</p> <p>Issues with approach and response tomes from WCC highways</p> <p>Difficulties associated with multiple landowners/developers not working together effectively</p>	<p>Uncoordinated development/poor quality schemes</p> <p>Lack of infrastructure</p> <p>Poor design and layout</p>	<p>Employment of 3 Site Delivery Officers</p> <p>Closing working with infrastructure providers to plan and fund infrastructure through S106, CIL and other sources of funding</p> <p>Regular meeting with landowners/ developers</p> <p>of Programme Boards for each of the three growth areas established</p>	<p>SDOs</p>	<p>Ensure each Growth Area Programme Board establishes and maintains a risk register</p> <p>Development and implementation of East of Kenilworth Development Brief</p> <p>Project Team to manage Kings Hill planning applications to ensure comprehensive development</p> <p>Work with WCC highways to deliver responsive approach</p>	<p>SDOs, Case officers</p>		 <p>No change April Oct 2019</p>
<p>23. Potential that we will need to accommodate growth beyond the requirements of the adopted Local Plan</p>	<p>National housing needs assessment</p> <p>Requirement to accommodate growth from neighbours</p>	<p>Existing Local Plan becomes out of date - need to review Local Plan</p> <p>Need to accommodate growth on sensitive sites</p> <p>Additional infrastructure requirements</p> <p>Significant costs</p> <p>Need to cooperate with neighbouring authorities</p>	<p>Ongoing watching brief of national housing needs methodology</p> <p>Ongoing Duty to Cooperate through CSWAPO</p> <p>Ongoing work to consider potential for single spatial strategy for Coventry and Warwickshire</p>	<p>DB / PC / DBu</p>	<p>Work on evidence base in advance of new Local Plan (esp. Updated housing and employment needs)</p> <p>Review of Local Plan (need to agree scope when housing requirement understood and in consultation with new administration)</p> <p>Dialogue re Single Spatial Strategy with Joint Committee</p>	<p>Significant additional resources may be required</p>	<p>2020</p>	 <p>No change April Oct 2019</p>

SECTION 4: BUILDING CONTROL RISK REGISTER

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Building Control Risks								
24. Losing work to AIs and therefore loss of income	Increased number of Initial Notices received from Approved Inspectors.	Substantial loss of work and therefore income to competitors. Possible staff implications.	Proactive marketing and promotion of our services such as case studies and events Improved site inspection service i.e. weekend inspections together with early and late inspections to suit clients' requirements. Encouraging Partnerships with clients. Joint working with other Local Authorities providing resilience. Head of Consortium in one to one meetings with new and existing clients.	BC Officers	Head of Consortium in one to one meetings with new and existing clients. Active promotion of Building Control Service through other parts of the Council Promotion of Service through organised events including "Breakfast Meetings" and other similar events Continue to explore potential to expand shared service to other districts LABC awards promotion.	Staff and time Time	All Ongoing	<p>No change April Oct 2019</p>
25. Failure to deal with Receipting, Acknowledging and Processing Building Regulation Applications.	Surge of workload, and staff ratio to workload. System failure Incorrect advice and poor decision making Incorrect fee processing Shortage of staff	Decisions not given within statutory time period. This could result in fees being returned. Work could progress on site without approved plans, which could lead to defective work and Council having to pay for remedial works. Reputational damage – Clients taking their work to	All applications received are recorded daily in Acolaid, and decisions are monitored daily. All applications received are allocated to Consultants within two working days of receipt; ensuring applications are processed within the prescribed period. Data from Daventry DC and Rugby BC migrated to WBC systems. Building Consultants qualified to various levels, less qualified staff supervised and assisted by more senior staff.	Admin HoC, PBC's	Continued daily monitoring Additional training provided to all staff in the use of Acolaid and telox. Continually update CPD and statutory regulation changes. One to one personal contact with Clients / Partners on a regular basis. Sample checking and monitoring by Principal Consultant.	Staff time	All Ongoing	<p>No change April Oct 2019</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
		<p>Approved Inspectors.</p> <p>Failure to assess fees correctly could result in reduced income.</p> <p>As above</p>	<p><u>Continued daily monitoring</u></p> <p>Complex projects overviewed by Principal Consultants /- Head of Consortium</p> <p>Clients contacted periodically to ensure performance standards are maintained.</p> <p><u>Additional training provided to all staff in the use of Acolaid and Idox.</u></p> <p>Building Consultants qualified to various levels, less qualified staff supervised and assisted by more senior staff</p>		<p>Consultants work flexibly to cover short term variations in staffing levels.</p>			
26. Failure to carry out Site Inspections or incorrect / poor advice.	<p>Staff ratio to workload leading to failure to attend.</p> <p>Staff shortages.</p> <p>System failure – notification of inspections not received.</p> <p>Poor decision making – bad/incorrect advice given.</p> <p>Compensation Claims</p> <p>On site aggravation / confrontation</p>	<p>Failure to attend at critical inspection stages could result in defective construction being covered up, with possible long term problems.</p> <p>Poor decisions/bad advice can result in defective buildings. Apart from environmental concerns, there may be financial repercussions for any remedial works and possible litigation</p> <p>Costs against Council</p> <p>Poor advice regarding WDC housing stock including fire risk assessments</p>	<p>Building Consultants qualified to various levels, less qualified staff supervised and assisted by more senior staff.</p> <p>Regular update on Regulation changes and attendance on relevant CPD courses.</p> <p>Professional indemnity Insurance</p> <p>All Officers provided with mobile phones for assistance / advice.</p> <p>Availability of officers / access to officers throughout the working via mobile phones</p> <p>Continued CPD and updates on legislation.</p>	<p>HoC, PBC's, BC's</p> <p>All Officers.</p>	<p>Continually review staffing levels and qualifications</p> <p>Additional Professional training course for assistant Building Consultants.</p> <p>Careful consideration of actions to ensure that we reduce liabilities.</p> <p>Refresher course on dealing with confrontational situations and customer service</p> <p>Investigate mobile IT systems</p>	Finance / Time	<p>On-going</p> <p>On-going</p>	 <p>No change April <u>Oct</u> 2019</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
		Confrontation on site, poor working relationships may result in lack of trust and confidence Customer dissatisfaction, leading to new projects going to Approved Inspectors.						
27. Dangerous Structures (24 hour call out) Failure to attend within reasonable time frame	Lack of Trained, qualified Staff	Failure to act and give correct advice could result in damage and injury, with possible litigation.	Out of hours contacts now handled by Acorn House and service provided through JNP contract	All BC's	Continued refresher courses and updates. Explore way to improve cover for Rugby Area to improve resilience JNP out of hours contract to be extended to incorporate Rugby and Daventry areas within the contract	Funding / Time	Ongoing	 No change April Oct 2019
28. Demolitions Failure to attend and give advice.	Lack of Trained, qualified staff System failure.	Incorrect advice could result in damage to adjacent buildings, services and general disruption.	Demolitions attended to by fully qualified staff.	PBC / HoC/HoD S	Demolition applications and inspections monitored by Principal Building Consultants.	Funding / Time	Ongoing	 No change April Oct 2019

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
29. Fire Safety, Safety at Sports Grounds-and Temporary Stands and Structures Failure to inspect at regular set times.	Lack of suitably trained, qualified staff. Poor advice / decision making	Lack of knowledge and inadequate advice could result in dangerous conditions for the public generally. Poor advice to building owners and internal Service Areas could result in poor design and costly remedial measures.	Principal Building Consultants and Head of Consortium work closely with Fire Prevention Officers on all cases. Continued refresher courses and updates. Liaison with Fire Service.	PBC's HoDS, HoC	Continued refresher courses and updates. Liaison with Fire Service.	Funding / Time	Ongoing Ongoing	 <p>No change April Oct 2019</p>
30. Daventry no longer part of WBC as a result of future Northamptonshire Authority	Northamptonshire Unitary Authority takes on Daventry BC work	Loss of income Impact on service resilience	Monitor development in relation to unitary authority (NB: this is not yet established. It's scope and geography are still unknown and at present DDC have indicated that they wish to stay part of WBC)	HoC	Continue regular liaison with Daventry DC through the Board meetings to stay upto date Explore possibility of bringing new Unitary authority – continue discussions with South Northamptonshire Access and analyse further data for S Northants Enter discussions with Northampton BC to develop business case for WBC managing service for new unitary authority	PR / DB	TBC	 <p>No Change April Oct 2019 Scope of new unitary for Northants now known. Risk unchanged as initial discussions indicate possibility that WBC could manage BC on behalf new unitary council</p>

HoDS – Head of Development Services
HoC – Head of Consortium
PBC – Principal Building Consultant
BC – Building Consultants
SDOs: Site Delivery Officers
GF: Gary Fisher
[PC: Phil Clarke](#)
[DBu: David Butler](#)

DB: Dave Barber
MB: Michael Brown
SS: Sandip Sahota
RL: Rajinder Lalli
CG: Chris Garden
RY: Rob Young
MM: Michael Martin
RD: Rob Dawson