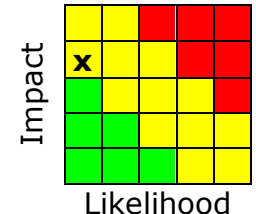
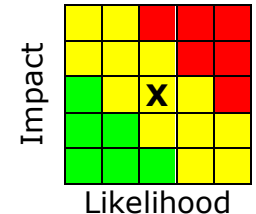
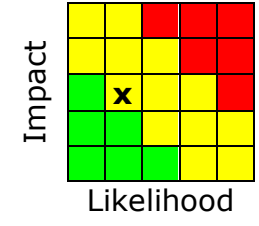
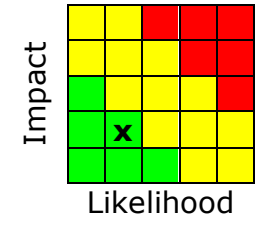
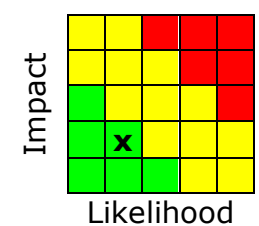


## Development Services Risk Register (Business Portfolio)

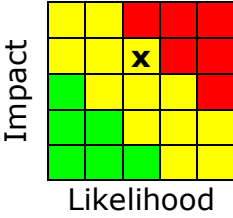
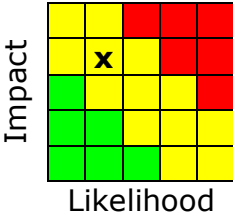
**Most recent review: December 2018 (unless otherwise stated)**

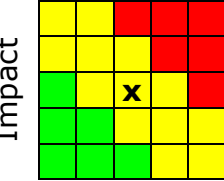
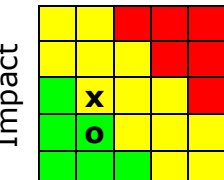
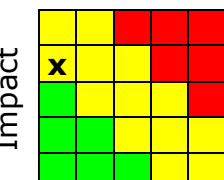
x Current position  
o Previous position if changed

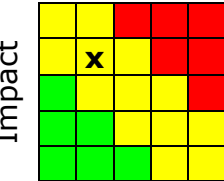
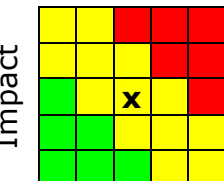
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<b>Generic Risks</b>								
1. Failure to comply with Health and Safety requirements	Staff not assessing risks adequately/at all Lack of awareness Lone working System failure On site hazards	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  Manage risks through "Assessnet" reminders as required  Continue to operate and monitor lone worker policy  Health and Safety a standard agenda item on team and section meeting agendas	All managers	Update risk policies and procedures relating to site visits where construction is taking place	DB/	Ongoing	 <p style="text-align: center;">Dec 18: No change</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 (as required corporately) (most recent review Jan 2018)  On-going engagement with IT	All managers	Ensure that all staff adhere to IT protocols and policies and read meta compliance notices	Staff time/funding	Ongoing	 <p style="text-align: center;">Dec 18: No change since last review</p>

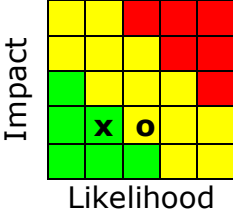
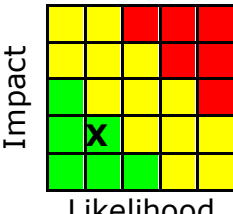
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
3. Lack of staff resources	Loss of key staff/knowledge Lack of staff cover for emergency/bank holiday Lack of ability to support corporate projects	Staff not skilled to be able to respond to service area matters Unable to respond to emergencies – may result in harm/injury/death Unauthorised developments taking place Impact on quality and efficiency of service	Ensure that training and development of knowledge about the service is shared amongst a number of staff to provide resilience  one-to-one discussions and appraisals take place to discuss staff development	All managers	Annually review the succession planning section of the service plan  Ensure that recruitment of staff is done promptly and as a priority	Staff time	Ongoing	 <p>Dec 18: No change</p>
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	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  Development service training matrix in place	All managers	Ensure through appraisals that training is being identified through Personal Development Plans (PDPs) and needs met	Staff time  Budget	Annual	 <p>Dec 18: No change since last review</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  Monthly lunchtime briefings take place for all Development Services staff	All managers	Thorough appraisals ensure that staff are completing adequate training	Staff time/ funding for training	Ongoing	 <p>Dec 18 : No change since last review</p>

**Development Services Risk Register (Projects and Development)**

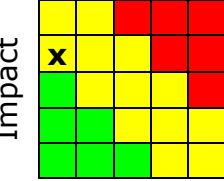
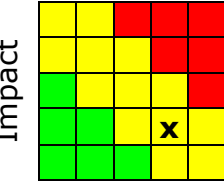
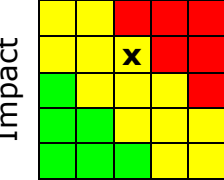
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<p>6. Destination Management Organisation (DMO) - Shakespeare's England - fails to deliver desired outputs</p>	<p>DMO dominated by Stratford businesses</p> <p>Private Sector leadership falls away</p> <p>Private sector support inadequate</p> <p>Loss of political backing and inadequate priority given to this element of the teams work</p>	<p>Loss of tourism company</p> <p>Reduced visitors to the District</p> <p>Loss of Visit England recognition and extra funding</p> <p>Public sector dominated company</p>	<p>Pro-active encouragement of WD tourism businesses to join DMO</p> <p>Support for DMO Board and company officers to deliver agreed outputs.</p>	<p>MO'N</p>	<p>Ongoing regular meetings being organised with businesses</p> <p>Prepare evidence to demonstrate impact of tourism for WDC's towns.</p> <p>Key tourism business leaders being supported by officers</p> <p>DMO staff to hot desk at WDC</p> <p>Renegotiation of grant leading to delivery of specific KPIs</p> <p>Regular reporting of KPI progress to officers and members</p>	<p>Staff</p> <p>Time</p> <p>Funding</p>	<p>Ongoing</p>	 <p>Dec 18: No change since last review</p>
<p>7. Failure to deliver Economic Prosperity in line with FFF priorities</p>	<p>Lack of staff resources</p> <p>Ineffective prioritisation</p>	<p>Loss of funding for Economic Development</p> <p>Failure to grow business base in district</p> <p>Closure of companies or relocation outside the District</p> <p>Failure to attract Inward Investment</p> <p>Undermines employment sites</p>	<p>Develop and maintain a clear Policy and Projects Section plan focusing on economic prosperity</p> <p>Implement business support review</p> <p>Ensure timelines and milestones met</p> <p>Use robust data as base of Strategy</p> <p>Work with Portfolio Holder/CMT to ensure buy-in</p> <p>Work with external partners</p>	<p>MO / SL</p>	<p>Deliver and monitor Policy and Projects Section plan for economic prosperity</p> <p>Regular reviews</p> <p>Utilise WCC Economic Analysis offer</p>	<p>Time</p> <p>Staff</p> <p>Funding</p>	<p>Ongoing</p>	 <p>Dec 18: No change since last quarter review</p>

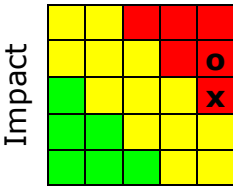
<p>8. Reduction in funding from businesses towards committed activities – eg: Christmas Lights, promotional guides, BID renewal</p>	<p>Wider economic environment Quality of offer Inadequate time to fundraise</p>	<p>Reduction in activities/lights Council reputation</p>	<p>Ensure Christmas Lights contracts are flexible and within budget tolerances where possible  Work with partners to identify alternative sources of funding  Review lights contracts in Leamington</p>	<p>MO</p>	<p>Contracts awarded to allow flexibility  Work with partners to identify alternative sources of funding  Need to ensure 2018/19 budgets align with Christmas lights and other costs</p>	<p>Funding staff</p>	<p>Ongoing</p>	 <p>Dec 18: No change since last review</p>
<p>9. Ineffective working with town centre partnerships and other organisations involved with business networking and support</p>	<p>Insufficient business engagement Partnerships becoming an overly political environment that turns off business Partners do not see the value/insufficient delivery</p>	<p>Lack of awareness of business priorities Lack of support for town centre activities which focus on businesses</p>	<p>Deliver town centre action plans  Effective support for events which deliver economic wellbeing for the towns</p>	<p>MO</p>	<p>Implement business support review including supporting new arrangement in Kenilworth and Warwick  Continue to support events which deliver economic wellbeing for the towns  Specifically develop a “Thriving Leamington” plan in context of displacement strategy  Support for Kenilworth through successful BLEF bid (lead by KTC)</p>	<p>Staff time</p>	<p>Ongoing</p>	 <p>Dec18 : Risk increased to reflect ongoing support needs for Warwick, Kenilworth and Leamington</p>
<p>10. Failure to manage or appropriately support Events within the District</p>	<p>Insufficient staff cover Failure to follow procedure Unexpected occurrences</p>	<p>Unsafe Event Injury to customers, participants Damage to open space or equipment Damage to reputation</p>	<p>Use of Operational Procedure (i.e. risk assessments, PLI cover) format to ensure all appropriate plans and contingency arrangements are in place  Rotation of staff amongst events</p>	<p>MO</p>	<p>Event policy document and events manual to be considered by Exec in September  Training for BS&amp;E Officers</p>	<p>Staff Training</p>	<p>Ongoing</p>	 <p>Dec 18 : No change since last quarter review</p>

<p>11. Enterprise: Unable to secure a contract variation or written confirmation that Homes &amp; Communities Agency (HCA) will not seek revenue share (expires 2019)</p>	<p>Change of HCA monitoring officer  HCA insist on contract compliance  Proposed new delivery model notice</p>	<p>88% of net income from Althorpe Enterprise Hub (AEH) to be shared  Possible loss of net surplus to WDC</p>	<p>Legal confirmed that any share should be based on 'net' and not 'gross'.  To date HCA have not drawn any share (although HCA fail to provide written confirmation)</p>	<p>GS</p>	<p>Continue to provide net income figures to HCA annually</p>	<p>Staff Time Funding (if risk not mitigated)</p>	<p>Ongoing (until 2019/20)</p>	 <p>Dec 18 : No change since last quarter review</p>
<p>12. Enterprise: Loss of tenants at Althorpe Enterprise Hub (AEH), Court St Creative Arches (CSCA) and 26 Hamilton Terrace (26HT)</p>	<p>Economy stalling/ recession  Inability to provide service tenants expect  Should new competition emerge, thereby reducing demand  Loss of car parking provision (such as Court Street)</p>	<p>Increase in net costs of operation CSCA  Shutting of AEH  Loss of current surplus (and any further potential to generate increased income)</p>	<p>Training for all staff  Regular meetings with tenants  Tenant satisfaction monitoring  To maintain focus with marketing, including digital marketing and website improvements  Programme of events to support businesses  Regular liaison with tenants  Regular liaison with commercial agents  Networking with potential tenants  Business support programme European Structural and Investment Fund (ESIF)</p>	<p>GS</p>		<p>Staff Time Funding</p>	<p>Ongoing</p>	 <p>Dec18 : No change since last quarter review</p>

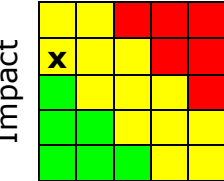
<p>13. Enterprise: Management of sub-leases on behalf of Network Rail (NR): loss of confidence of NR in WDC's ability to manage sub-leases</p>	<p>Tenants carrying out unauthorised works to CSCA in contravention of Network Rail contracts</p> <p>Constant change of Network Rail Surveyors and Lawyers resulting in loss of continuity and advantage which comes with building positive relationships</p>	<p>Greater scrutiny of all arches by Network Rail including increases in maintenance visits</p> <p>Increased cost to WDC of facilitating additional visits and compensating tenants</p>	<p>Close liaison with tenants</p> <p>Robust management of tenant obligations relating to the arches</p> <p>Adhere to new progressive procedures negotiated: Network Rail have now removed themselves from the lettings process</p> <p>Building surveyor meetings with new tenants ahead of any works proposed or commencing</p>	<p>GS</p>	<p>Maintain programme of regular inspections by WDC surveyors</p>	<p>Staff Time</p>	<p>Ongoing</p>	 <p>Dec 18 Reduced to reflect good relationship with Network Rail:</p>
<p>14. Enterprise: Public Liability (PL) Insurance Court St. Creative Arches (CSCA)</p>	<p>A major issue causes a Court St Creative Arches (CSCA)'s tenant to be insufficiently covered for Public Liability under their own insurance. Under the sub lease tenants are required to hold cover of at least £5m. Under WDC's head lease with Network Rail the minimum cover required is £10m. NR lease deemed to be too onerous for SMEs (Small &amp; Medium Enterprises) where £5m is the norm. (Although some general movement upwards has been recognised).</p>	<p>Under the head lease the loss would fall to WDC – (however WDC PL Insurance cover is at £25m)</p> <p>WDC's insurance excess of £25m is triggered.</p>	<p>WDC are covered under our PL insurance policy</p> <p>Maintain £25m of PL insurance cover</p>	<p>GS</p> <p>Support from Insurance officer</p>	<p>Encourage more tenants to have £10m cover</p>	<p>Staff Time</p>	<p>Ongoing</p>	 <p>Dec 18 : No change since last quarter review</p>



<p>15. Enterprise: Failure to attain contracted outputs of 'new businesses created' and 'jobs created' for Local Enterprise Partnership (LEP) (funding for project secured through the LEP's Growth Fund)</p>	<p>Town gaming cluster and local talent disperse (to wider county or UK), reducing the local demand or growth potential</p> <p>UK gaming industry suffers globally, reducing demand</p> <p>For economic or industry driven reasons, offspring surge declines - reduction in demand for incubation space</p>	<p>Coventry and Birmingham ready to entice</p> <p>Lack of suitable commercial space in town is having a negative impact generally across all businesses and commercial sectors</p> <p>Technology may change again - e.g. mobile devices etc, new technology prompted the emergence of the off-spring developer (micro studio)</p>	<p>Work with partners to ensure local companies are (managed and) supported to achieve their growth/find suitable accommodation</p> <p>Continue to promote the district to ensure the District retains and/or supports growth of existing cluster</p> <p>Realistic projected outputs for 2016/7 show that we are on target</p>	GS	<p>Ongoing promotion of the District</p> <p>Ongoing support and programmes for the gaming sector</p>	<p>Staff</p> <p>Time</p> <p>Funding</p>	Ongoing	 <p>Likelihood</p> <p>Dec 18 : No change since last quarter review</p>
<p>16. Enterprise: The Heat Network (metering and billing) regulations 2014. Impacting financially in one of two ways:</p> <ul style="list-style-type: none"> <li>• budget costs for installations</li> <li>• failure to comply results in fines</li> </ul>	<p>The requirements will be triggered once the Government publish clear guidance and a calculator on which buildings are liable</p> <p>Guidance will be published imminently - date has yet to be confirmed</p>	<p>Need to find a budget for these works for all liable buildings</p> <p>Potential to fail to adhere to legislation and incur fines</p>	<p>Ensure Property Services maintain a watching brief on Government</p> <p>Guidance/calculator and when available provide information on liability and requirements</p>	GS	<p>Once Guidance published identify which of the buildings in the services in liable</p> <p>GS to liaise with Assets team, to identify requirements and costs</p>	Budget	TBC (depends on Gov guidance)	 <p>Likelihood</p> <p>Dec 18 : No change since last review</p>
<p>17. Enterprise: Lack of insurance policy (WDC currently only insurance buildings for fire and malicious damage) In the event of a burglary any resulting loss is at the mercy of WDC's insurance reserve fund. This could pose financial risk to projects and ring fenced budget.</p>	<p>A burglary at Althorpe Enterprise Hub, 26HT or Spencer Yard (the former two additionally contain WDC property)</p> <p>N.B. this risk excludes Court St. Creative Arches which is covered through Network Rail building insurance policy</p>	<p>The insurance reserve fund may not have the necessary available budget to meet the loss incurred.</p> <p>The 'policy' referred to when determining insurance cover, excludes all consequential loss and only covers damage repairs and loss of property</p>	<p>Review all buildings security and, where deemed appropriate and if practicable, make any necessary enhancements</p>	GS DB	<p>Review security at Spencer Yard and 26HT and obtain necessary quotations</p> <p>Ensure adequate budgets are available - could budget be available through the general fund to support any enhancements to security across the portfolio?</p>	<p>Staff time</p> <p>Budget</p>	October 2018	 <p>Likelihood</p> <p>Dec 18 : No change since last quarter review</p>

<p>18. Enterprise: Network Rail arches to be sold (confirmed - this refers to ALL arches whether under active or inactive tracks)</p>	<p>Directly linked to the sale of the arches. Date TBC.</p> <p>Providing that all leases are transferred (as is indicated on NR website) then the actual impact will only occur upon expiry of headlease – March 2024</p> <p>(No formal notification has been provided by Network Rail currently our knowledge is limited to media coverage and FAQs on NR website)</p>	<p>Providing all leases are transferred (as indicated on NR website) then consequences are as follows: -</p> <p>Uncertainty as to whether new owner will enter into a new lease with WDC post March 2024. They could decide to take on individual leases directly for each arch. (Quite likely as fully occupied, higher return on their investment).</p> <p>This would have a detrimental effect on Enterprise income and therefore annual surplus</p> <p>This would have an impact on the Creative Quarter scheme</p>	<p>In the process of seeking clarification from Network Rail</p> <p>Meet with new owner to discuss their plans – review strategy, potential to negotiate(?) – mitigation plans can be further bolstered only once armed with knowledge and very much dependant upon outcome of this meeting)</p>	<p>GS</p>	<p>Ongoing liaison with NR</p> <p>Once acquisition takes place, meet with new owner to discuss plans</p>	<p>Staff time</p> <p>Budget</p>	<p>Unknown /TBC (ongoing )</p>	 <p>Dec 18 : Impact reduced to reflect distance to maturity and current lease arrangements which potentially provide some protection</p>
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<p>19. Projects: Failure to complete feasibility assessments for potential projects within timescale and budget</p>	<p>Inadequate budget to fund necessary feasibility and other technical work</p> <p>Time constraints and pressures on colleagues within Development Services and other service areas</p> <p>Inability to agree suitable working arrangements with any external partners, individuals and bodies</p> <p>Concerns over quality and scope of available information</p> <p>Unrealistic expectations of team capacity.</p> <p>Lack of (or changing) member support for project.</p>	<p>Inadequate resources (financial / staffing) to complete feasibility assessments.</p> <p>Inadequate or incomplete advice is given</p> <p>Potential for poor decision making leading to additional costs, poor quality development, legal challenges, adverse impact on delivery of council services and reputational damage.</p> <p>Risk of "good" projects not receiving member support.</p>	<p>Ensure that there is corporate agreement on priority and resource requirements of feasibility stages before they commence.</p> <p>Ensure budgets agreed before project work commences.</p> <p>Ensure that a "project sponsor" is identified</p> <p>Ensure that legal and other support is available.</p> <p>Ensure good communication with members and stakeholders.</p>	<p>PC/MO</p> <p>Other HoS as appropriate to the project</p>	<p>Ensure there is an agreed Project Mandate in place to enable early scoping work to take place.</p> <p>Understand core project requirements and then ensure projects (including resources and appointment of Project Sponsor and Project Board/Team) are agreed with SMT before projects commence.</p> <p>Ensure that adequate budgets are available.</p> <p>Undertake early engagement with external partners and other stakeholders.</p> <p>Agree communications strategy at start of project. Ensure that Executive and ward councillors are kept informed.</p>	<p>Staff time</p> <p>Budget</p>	<p>Ongoing</p>	 <p>Likelihood Dec 18 : No change since last quarter review</p>
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DB – Dave Barber  
 GS – Gayle Spencer  
 PC – Phil Clarke  
 DBu – Dave Butler  
 MO = Martin O’Neill