

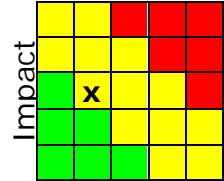
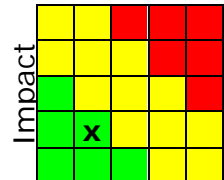
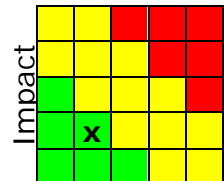
APPENDIX A

Development Services Risk Register
(Business Portfolio)

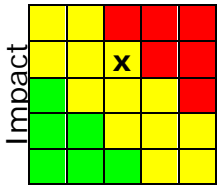
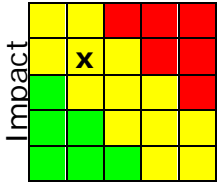
Most recent review: ~~December~~ November 2019~~8~~ (unless otherwise stated)

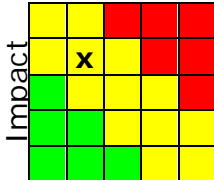
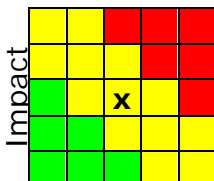
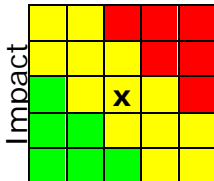
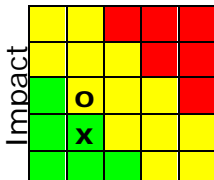
x Current position
o Previous position if changed

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Generic Risks								
1. Failure to comply with Health and Safety requirement	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>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>Dec 18: No change since last review</p>

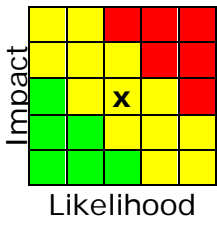
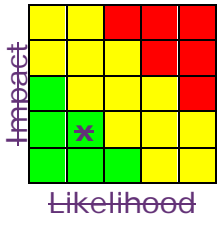
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
3. Lack of staff resources	Loss of key staff/knowledge Lack of staff cover for emergency/bank holiday Lack of ability to support corporate projects	Staff not skilled 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 Project capacity – keep project capacity under constant review as new challenges and opportunities emerge. Eg: Future High Street Fund update Resources to be kept under review as we consider opportunities, particularly within Business Support and Events	Staff time	Ongoing	 Likelihood Dec 18: No change
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 Events team up to date for relevant training – sharing costs with CJs and Rangers	All managers	Ensure through appraisals that training is being identified through Personal Development Plans (PDPs) and needs met	Staff time Budget	Annual	 Likelihood Dec 18: No change since last review
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	 Likelihood Dec 18 : No change

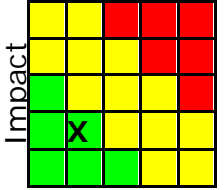
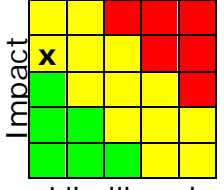
Development Services Risk Register (Business)

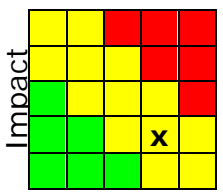
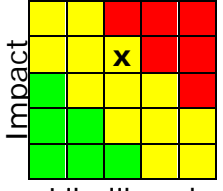
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
6. Destination Management Organisation (DMO) - Shakespeare's England - fails to deliver desired outputs	DMO dominated by Stratford businesses Private Sector leadership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

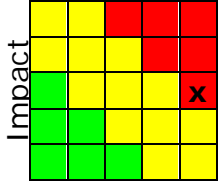
NEW RISKew Risk 7a Failure to deliver Creative quarter or that Creative Quarter proposals do not deliver desired outcomes	CDP end involvement Changing political priorities WDC do not agree to support individual project proposals Projects fail to be deliverable (viable)	Reputational damage Financial impact Opportunities lost – area not improved	Collaboration agreement Officer and member scrutiny of individual projects CQ project board oversees proposals Officer project resources to support CQ	PC	Replace project officer vacancy			 <p>Likelihood</p> <p>New risk</p>
Reduction in funding from businesses towards committed activities – eg: Christmas Lights, promotional guides, BID renewal	Wider economic environment Quality of offer Inadequate time to fundraise	Reduction in activities/lights Council reputation	Ensure Christmas Lights contracts are flexible and within budget tolerances where possible Work with partners to identify alternative sources of funding	MO	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	Funding staff	Ongoing	 <p>Likelihood</p> <p>Risk deleted as events such as Christmas lights are now funded through a contract Dec 18:</p>
8. Failure to maximise potential for income from events			Reviewing all events with portfolioholder to consider commercial opportunities					 <p>Likelihood high as commercial approach still being established</p>
9. Ineffective working with town centre partnerships and other organisations involved with business	Insufficient business engagement Partnerships becoming an overly political environment that turns off business Partners do not see the value/insufficient delivery	Lack of awareness of business priorities Lack of support for town centre activities which focus on businesses	Deliver town centre action plans Effective support for events which deliver economic wellbeing for the towns	MO	Implement business support review including supporting new arrangement in Kenilworth and Warwick Continue to support events which deliver economic wellbeing for the towns	Staff time	Ongoing	 <p>Likelihood</p>

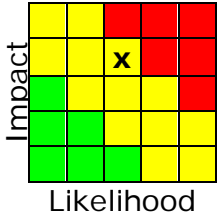
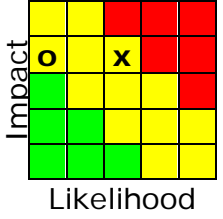
networking and support			Support for Kenilworth through successful BLEF bid (lead by KTC)		Specifically develop a "Thriving Leamington" plan in context of displacement strategy Support for Kenilworth through successful BLEF bid (lead by KTC) Closer and structured liaison with Chambers of Trade in Warwick, Leamington and Kenilworth			Dec18: Risk increased to reflect ongoing support needs for Warwick, Kenilworth and Leamington Impact reduced as no major issues have come to light
9a NEW RISK: Failure to capitalise on opportunities to invest in Leamington (e.g FHSF)	Failure to achieve FHSF funding Failure to attract other forms of funding (eg. LEP etc) Failure to coordinate the range of proposals and opportunities for LTC	Lack of much needed investment in TC Decline in economic and environmental quality in TC	Appoint Programme Manager	MO	Longer terms set of proposals for investing in TC – developed with stakeholders High quality bid to FHSF Close working with MHCLG and LEP			 Likelihood
10. Failure to manage or appropriately support Events within the District	Insufficient staff cover Failure to follow procedure Unexpected occurrences	Unsafe Event Injury to customers, participants Damage to open space or equipment Damage to reputation	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 Training for BS&E Officers	MO	Event policy document and events manual to be considered by Exec in September completed Training for BS&E Officers Review all current events to consider whether low value events will continue to receive resources/support. Vacancy within team. Appointment now made.	Staff Training	Ongoing	 Likelihood Increased to reflect high workloads and reduced resources Dec-18 - No change since last quarter review
11. Enterprise: Unable to secure a contract variation or written confirmation that Homes & Communities Agency (HCA) will not seek revenue share (expires 2019)	Change of HCA monitoring officer HCA insist on contract compliance Proposed new delivery model notice	88% of net income from Althorpe Enterprise Hub (AEH) to be shared Possible loss of net surplus to WDC	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) and have	GS	Continue to provide net income figures to HCA annually Next quarter review outcome – at this stage it is highly probable that this risk can be removed.	Staff Time Funding (if risk not mitigated)	Ongoing (until reviewed & finalised in 2019/20)	 Likelihood Dec-18: No change since last quarter review Nov 19:

			<p><u>remained very light touch</u></p> <p><u>Final set of figures for the full term provided to HCA Oct 2019</u></p>					<p><u>reduced to reflect current position</u></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</p> <p>Inability to provide service tenants expect</p> <p>Should new competition emerge, thereby reducing demand</p> <p>Loss of car parking provision (such as Court Street)</p>	<p>Increase in net costs of operation CSCA</p> <p>Shutting of AEH</p> <p>Loss of current surplus (and any further potential to generate increased income)</p>	<p>Training for all staff</p> <p>Regular meetings with tenants</p> <p>Tenant satisfaction monitoring</p> <p>To maintain focus with marketing, including digital marketing and website improvements</p> <p>Programme of events to support businesses</p> <p>Regular liaison with tenants</p> <p>Regular liaison with commercial agents</p> <p>Networking with potential tenants</p> <p>Business support programme European Structural and Investment Fund (ESIF)</p>	GS		Staff Time Fundin g	Ongoing	 <p>Nov 19: <u>no change since last review</u> Dec18: <u>No change since last quarter review</u></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</p>	GS	Maintain programme of regular inspections by WDC surveyors	Staff Time	Ongoing	 <p>Dec 18: Reduced to reflect good</p>

			themselves from the lettings process					relationship with Network Rail
			Building surveyor meetings with new tenants ahead of any works proposed or commencing					Can now be deleted as risk captured in 16 (formerly 17)
14.13. Enterprise: Public Liability (PL) Insurance Court St. Creative Arches (CSCA)	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 & Medium Enterprises) where £5m is the norm. (Although some general movement upwards has been recognised).	Under the head lease the loss would fall to WDC – (however WDC PL Insurance cover is at £25m) WDC's insurance excess of £25m is triggered.	WDC are covered under our PL insurance policy Maintain £25m of PL insurance cover	GS Support from Insurance officer	Encourage more tenants to have £10m cover	Staff Time	Ongoing	 <p>Dec 18: No change since last quarter review Nov 19: no change since last review</p>
15.14. 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)	Town gaming cluster and local talent disperse (to wider county or UK), reducing the local demand or growth potential UK gaming industry suffers globally, reducing demand For economic or industry driven reasons, offspring surge declines - reduction in demand for incubation space	Coventry and Birmingham ready to entice Lack of suitable commercial space in town is having a negative impact generally across all businesses and commercial sectors Technology may change again – e.g. mobile devices etc, new technology prompted the emergence of the off-spring developer (micro studio)	Work with partners to ensure local companies are (managed and) supported to achieve their growth/find suitable accommodation Continue to promote the district to ensure the District retains and/or supports growth of existing cluster	GS	Ongoing promotion of the District Ongoing support and programmes for the gaming sector	Staff Time Funding	Ongoing	 <p>Nov 19: no change since last review Dec 18: No change since last quarter review</p>

<p><u>16.15.</u> Enterprise: The Heat Network (metering and billing) regulations 2014. Impacting financially in one of two ways:</p> <ul style="list-style-type: none"> • budget costs for installations • failure to comply results in fines 	<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 Guidance/calculator and when available provide information on liability and requirements</p>	<p>GS</p>	<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 – this is ongoing</p>	<p>Budget</p>	<p>TBC (depends on Gov guidance)</p>	 <p>Likelihood</p> <p>Nov 19Dec 18: No change since last review</p>
<p><u>17.16.</u> 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>	<p>GS DB</p>	<p><u>Actioned</u>: Reviewed security -at Spencer Yard and 26HT and obtained necessary quotations. <u>26HT actioned (security film installed)</u>. <u>Spencer Yard tenants felt it was not currently a priority for them – to be reviewed.</u></p> <p>Actioned: Ensure adequate budgets are available – could budget be available through the general fund to support any enhancements to security across the portfolio? <u>The answer received was negative. Therefore, works have been self funded by Enterprise budgets.</u></p> <p><u>Ongoing periodic review and improvements made when/where necessary. Outcome, next phase to make improvements to AEH CCTV.</u></p>	<p>Staff time Budget</p>	<p><u>March 2019 and ongoing</u> October 2018</p>	 <p>Likelihood</p> <p>Nov 19Dec 18: No change since last quarter review</p>

<p>18.17. Enterprise: Network Rail sale of the arches to be leasehold to sold The Arch Co. (confirmed – this refers to ALL arches whether under active or inactive tracks)</p>	<p>Directly linked to the sale of the arches. Date TBC. New leases or renewals etc.</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>The Arch Co. introduce new processes and/or establish further hurdles to negotiate (now 3 parties involved).</p> <p>Increase in third party legal costs – due to the special arrangement with Network Rail no longer being honoured.</p> <p>A further protracted process, due to point one, increasing demand on officer time and leadtime on new lease process. 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 d have asome detrimental effect impact on Enterprise income, <u>our property portfolio offer and therefore annual surplus (the range) and, therefore, our support resources</u></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 new contact at The Arch Co. and discuss their plans – review strategy and establish whether there is potential to negotiate</p> <p>Meet with new owner to discuss their plans – review strategy, potential to negotiate(?) – mitigation plans can be further bolstered once armed with knowledge and very much dependant upon outcome of this meeting)</p>	<p>GS</p>	<p>Introductions with new owner/contacts. Build relationships where possible.</p> <p>Work through the lease renewal (the first with The Arch Co. and review) 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 Nov 19: no change since last review</p>
---	--	--	---	-----------	--	---------------------------------	------------------------------	---

<p>19-18. NEW RISK Lack of sufficient and suitable opportunities and space for Enterprise team to support businesses</p>	<p>Loss of existing spaces Growth in demand</p>	<p>Enterprise team unable to support growing businesses Businesses may seek to relocate outside of Warwick District to meet growth needs Cumulatively,, could have negative impact on clusters (eg: gaming)</p>	<p>Enterprise team continue to horizon scan for new opportunities Liaison with WCC Inward investment team and Creative Quarter partner</p>	<p>GS</p>	<p>Explore opportunities for new business space in accordance with priorities in WDC Business Strategy. Consider opportunities to create and manager grow-on and other business space through Creative Quarter partnership and Future High Street Fund.</p>	<p>Staff time Budget</p>	<p>Ongoing</p>	
<p>20-19. 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 Time constraints and pressures on colleagues within Development Services and other service areas Inability to agree suitable working arrangements with any external partners, individuals and bodies Concerns over quality and scope of available information Unrealistic expectations of team capacity. Lack of (or changing) member support for project.</p>	<p>Inadequate resources (financial / staffing) to complete feasibility assessments. Inadequate or incomplete advice is given Potential for poor decision making leading to additional costs, poor quality development, legal challenges, adverse impact on delivery of council services and reputational damage. 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. Ensure budgets agreed before project work commences. Ensure that a "project sponsor" is identified Ensure that legal and other support is available. Ensure good communication with members and stakeholders.</p>	<p>PC/MO 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. 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. Ensure that adequate budgets are available. Undertake early engagement with external partners and other stakeholders. Agree communications strategy at start of project. Ensure that Executive and ward councillors are kept informed.</p>	<p>Staff time Budget</p>	<p>Ongoing</p>	 <p>Likelihood Dec-18 : No change since last quarter review <u>Increased to reflect possible impact of business strategy and current (temporary) uncertainty over resources.</u></p>

DB – Dave Barber
GS – Gayle Spencer
PC – Phil Clarke

DBu – Dave Butler
MO = Martin O'Neill