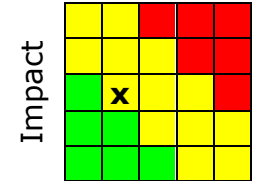
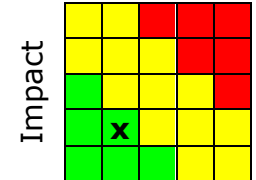
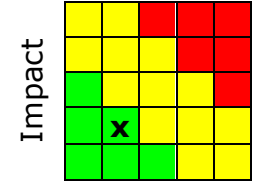


**Development Services Risk Register (Appendix 1a)  
(Business Portfolio)**

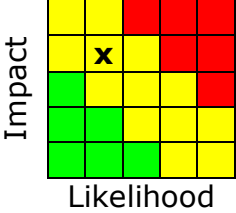
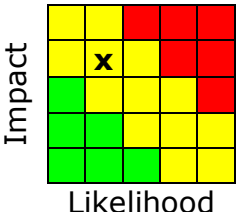
**Most recent review: June 2017 (unless otherwise stated)**

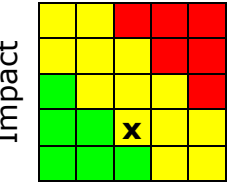
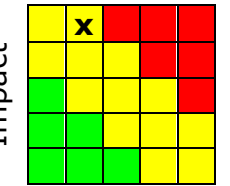
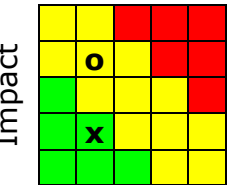
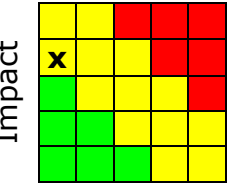
x Current position  
o Previous position if changed

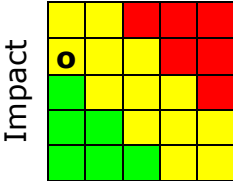
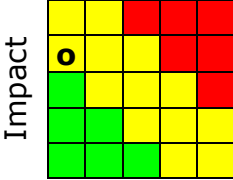
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<b>Generic Risks</b>								
1. Failure to comply with Health and Safety requirements	Staff not assessing risks adequately/at all Lack of awareness Lone working System failure	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	All managers	Risk assessments to be revised through audit.  Set and action "Assessnet" reminders as required	Staff time	Ongoing	<p>No change since last review</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.	All managers	On-going engagement with IT  Ensure that all staff adhere to IT protocols and policies  Ensure the Business Continuity Plan is updated regularly (next review by June 2018)	Staff time/funding	Ongoing	<p>No change since last review</p>

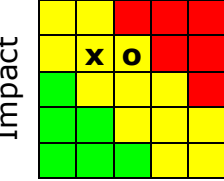
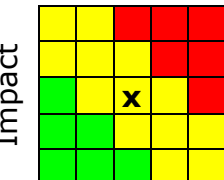
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
3. Lack of staff resources	Loss of key staff/knowledge Lack of staff cover for emergency/bank holiday Lack of ability to support corporate projects	Staff not skilled 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	All managers	Ensure that one-to-one discussions and appraisals take place to discuss staff development  Always ensure recruitment to vacancies is a priority  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>Impact</p> <p>Likelihood</p> <p>No change since last review</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  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	All managers	Ensure through appraisals that training is being identified through Personal Development Plans (PDPs) and needs met  Development Services Training Plan being developed as a basis for training and resource allocation	Staff time	Annual	 <p>Impact</p> <p>Likelihood</p> <p>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  Loss of professional accreditation	Training plans  Officers to ensure they keep their CPD up to date	All managers	Ensure that staff are completing adequate training  Undertake regular briefing sessions as new legislation and regulations	Staff time/ funding for training	Ongoing	 <p>Impact</p> <p>Likelihood</p> <p>No change</p>

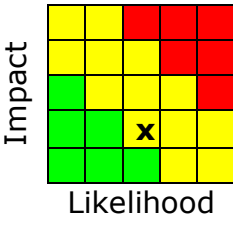
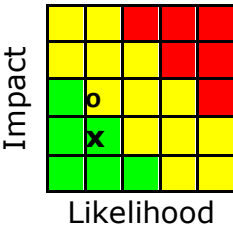
### Development Services Risk Register (Projects and Development)

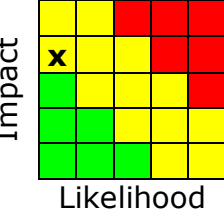
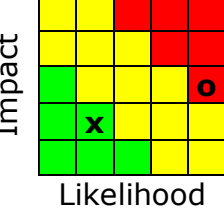
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
6. Destination Management Organisation (DMO) - Shakespeare's England - fails to deliver desired outputs	DMO dominated by Stratford businesses  Private Sector leadership 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.	DBu	Regular meetings being organised with businesses  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	 <p>No change since last review</p>
7. Failure to deliver Economic Prosperity in line with Sustainable Community Strategy (SCS) priorities Strategy	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	DBar/ DBu	Develop Policy and Projects Section plan for economic prosperity  Regular reviews	Time Staff  Funding	July 2017	 <p>New risk</p>

8. 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	JdV / DBu	Contracts to be let that allow flexibility  Work with partners to identify alternative sources of funding	Funding staff	Ongoing	 <p>Likelihood</p> <p>No change since last update</p>
9. BID Renewal (March 2018) results in end of BID term	Failure to get sufficient proportion of votes  Loss of political support  Insufficient officer support	Loss of key events (Food Festival, Lantern Parade)  Loss of Christmas Lights  Loss of substantial marketing spend on town	Project Board to coordinate WDC activity in support of BID renewal  Deliver positive Service Baselines that demonstrate WDC support	DBu	Inception meeting of BID Renewal project board  Draft and gain support for Baselines	Staff time Funding	March 2018	 <p>Likelihood</p> <p>New risk</p>
10. Ineffective working with town centre partnerships and other organisations involved with business networking and support	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	JdV / DBu	Implement business support review including supporting new arrangement in Kenilworth and Warwick  Prepare town centre action plans  Continue to support events which deliver economic wellbeing for the towns	Staff time	Ongoing	 <p>Likelihood</p> <p>Reason: increased engagement through the BS&amp;EOs</p>
11. 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	JdV / DBu	Undertake review of Events  Training for BS&E Officers	Staff Training	Start May 2017  Complete Jan 2018	 <p>Likelihood</p>

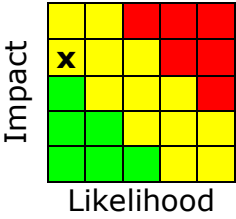
<p>12. Enterprise: Failure to meet Innovation &amp; Skills (BIS) outputs for Court Street Creative Arches (CSCA)</p> <p>Output period completed</p> <p>RISK DELETED – likelihood reduced to the extent that this is no longer a significant risk. This is because as time has passed, the likelihood of HCA seeking a clawback has become negligible</p>	<p>Inability to collect evidence on graduate outputs—due to personal nature</p> <p>Private sector leverage shortfall due to late completion of renovation project works</p> <p>BIS no communication</p> <p>Proposed new delivery model notice</p>	<p>Clawback of BIS funding</p>	<p>Shortfall of a few graduate outputs and private sector leverage has not had detrimental effect on overall outcome, being the reasonable measurement adopted using agency Value for Money tool. Project overachieved by +£1.3M and +186%</p> <p>Output period completed</p> <p>Continual lack of communication from BIS</p>	<p>GS</p>	<p>Development of Prosperity Strategy and Action plan</p> <p>'Low level' legal letter to be sent to BIS advising of intention to pass the running of the operation to a new LATC, wholly owned by WDC. Essentially no change will be seen. Ethos and standards maintained.</p>	<p>Staff Time</p>	<p>On-going</p>	 <p>Reason: Risks reduce over time as outputs increase and therefore clawback lessens</p> <p>No change since last review</p>
<p>13. Enterprise: Failure to meet Homes and Communities Agency (HCA) outputs for Althorpe Enterprise Hub (AEH)</p> <p>Note: Outputs completed (over achieved) and assessed</p> <p>RISK DELETED – likelihood reduced to the extent that this is no longer a significant risk. This is because as time has passed, the likelihood of HCA seeking a clawback has become negligible</p>	<p>Outputs completed and HCA assessed</p> <p>Proposed new delivery model notice</p>	<p>Clawback of HCA funding</p>	<p>Value for Money project over-achieved vs contract</p>	<p>GS</p>	<p>Development of Prosperity Strategy and Action plan</p> <p>'Low level' legal letter to be sent to HCA advising of intention to pass the running of the operation to a new LATC, wholly owned by WDC. Essentially no change will be seen. Ethos and standards maintained.</p>	<p>Staff Time</p>	<p>On-going</p>	 <p>Reason: Risks reduce over time as outputs increase and therefore clawback lessens</p> <p>No change since last review</p>

<p>14. 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</p> <p>HCA insist on contract compliance</p> <p>Proposed new delivery model notice</p>	<p>88% of net income from Althorpe Enterprise Hub (AEH) to be shared</p> <p>Possible loss of net surplus to WDC</p>	<p>Legal confirmed that any share should be based on 'net' and not 'gross'.</p> <p>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>'Low level' legal letter to be sent to HCA advising of intention to pass the running of the operation to a new Local Authority Trading Company (LATC), wholly owned by WDC. Essentially no change will be seen. Ethos and standards maintained.</p>	<p>Staff</p> <p>Time</p> <p>Funding (if risk not mitigated)</p>	<p>Ongoing (until 2019)</p>	 <p>Likelihood reduced to reflect passing of time</p> <p>Updated: 22/06/2017</p>
<p>15. 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>GS</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>specific action plans to support growth sectors (eg: digital games industry)</p> <p>Business support programme European Structural and Investment Fund (ESIF)</p>	<p>Staff</p> <p>Time</p> <p>Funding</p>	<p>Ongoing</p>	 <p>Reason: Tenant take up and retention continues to be good – even with growth of companies</p> <p>Updated: 26/06/2017</p>

<p>16. 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>Updated: 26/06/2017</p>
<p>17. 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>Updated: 26/06/2017</p>

<p>18. 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, off spring 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>	<p>GS</p> <p>DBu</p>	<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>	<p>Ongoing</p>	 <p>Reason: Risks reduce over time as outputs increase and therefore clawback lessens</p> <p>Updated: 26/07/2017</p>
<p>19. 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>	<p>GS</p>	<p>Once Guidance published identify which of the buildings in the services in liable</p> <p>In conjunction with the Assets team, identify requirements and costs</p>	<p>Budget</p>	<p>TBC (depends on Gov guidance)</p>	 <p>Reason: Risk reduced reflecting delay in Govt guidance (lower risk of fines) and improved controls in the Assets team (reduced budget consequences)</p> <p>Updated: 22/06/2017</p>



<p>20. 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</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>Impact</p> <p>Likelihood</p>
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DB – Dave Barber  
GS – Gayle Spencer  
PC – Phil Clarke  
JdV – James DeVille  
DBu – Dave Butler