

Development Services Risk Register

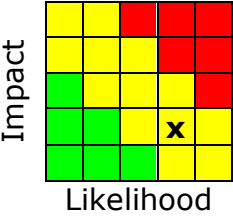
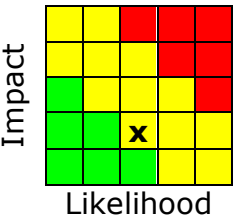
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Generic Risks								
Health and Safety	Staff not assessing risks adequately/at all Lack of awareness Lone working System failure	Physical/verbal attacks on staff Injury to staff Compensation claims Reputational damage	Risk assessments done Equipment provided to ensure contact possible in cases of emergency Procedures in place/adequate training	All managers	Risk assessments to be revised through audit. Staff awareness sessions to be undertaken, with a focus on particular events.	Staff time	On-going	<p style="text-align: center;">Impact Likelihood</p>
Failure of IT/Loss of IT records	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. Business Continuity Plan in place.	All managers	On-going engagement with appropriate colleagues to ensure that appropriate improvements are made. Ensure the Business Continuity Plan is updated regularly.	Staff time/funding	On-going	<p style="text-align: center;">Impact Likelihood</p>
Staff resources	Lack of succession planning Loss of key staff/knowledge Lack of staff cover for emergency/bank holiday	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, i.e. Gypsy and traveller incursions	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	Staff time	On-going	<p style="text-align: center;">Impact Likelihood</p>

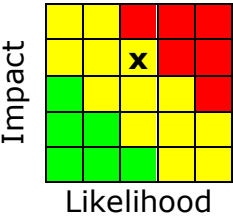
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Training	Lack of time to invest in training. Lack of budget. Legal challenges on decisions.	Staff not skilled or experienced enough to be able to provide the service necessary Wrong advice is given Development takes place that is not authorised	Training plans to be in place Legal support provided Budget required to invest in staff	All managers	Ensure through appraisals that training is being done Development Services Training Plan being developed as a basis for training and resource allocation Review budget for training.	Staff time	Annual	<p>Impact</p> <p>Likelihood</p>
Legislation changes	Staff not keeping abreast of changes Staff not keeping to CPD requirements	Statutory procedures not followed Judicial reviews Complaints upheld Loss of professional accreditation	Training plans Legal support Officers to ensure they keep their CPD up to date	All managers	Ensure that staff are completing adequate training	Staff time/ funding for training	On-going	<p>Impact</p> <p>Likelihood</p>

Development Services Risk Register (Planning Policy)

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Planning Policy Risks								
<p>Losing planning appeals or failing to deliver adequate infrastructure for development as a result of not having an up to date Local Plan in place (part of the Strategic risk Register)</p>	<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>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 that we would require through the Local Plan</p> <p>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>Progress towards a submission draft local plan as quickly as possible and then on to adoption</p> <p>Ensure Local Plan progress remains the team's top priority and manage competing priorities</p> <p>Develop infrastructure requirements, costs and delivery mechanisms in advance of the Local Plan so that these can be applied when planning applications are received</p> <p>More detailed Local Plan Risk Register – also SBRR</p> <p>S106 funding for monitoring and implementation officer has been secured</p>	DB/CS	<p>Develop and implement proposals for infrastructure Tariff</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>	Planning Policy Team including Major Sites Officer (fixed term contract to Mar 2017)	May 2014 onwards	<p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Local Plan is found unsound (part of the Strategic risk Register)	<p>Failure to develop and use a robust evidence base</p> <p>Political pressure to take forward proposals that do not accord with the evidence</p> <p>Failure to adequately address controversial issues such as village green belt boundaries and gypsy and traveller sites</p>	<p>Significant delay to adopting the Local Plan</p> <p>Wasted resources involve in reworking the Local Plan</p> <p>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>Ensure evidence base is comprehensive, robust and up to date</p> <p>Remind members of the importance of ensuring the Local Plan proposals are evidence based</p> <p>Ensure effective Duty to Cooperate</p> <p>More detailed Local Plan Risk Register</p>	DB	Bring forward robust proposals for G&T sites as soon as possible	Planning Policy Team	Autumn 2015	
Community Infrastructure Levy (CIL) scheme is not in place by April 2015	<p>CIL remains a new area of work – there could be unforeseen problems which arise</p> <p>Difficulty to putting in place processes for managing and operating CIL across multiple services and organisations</p>	<p>Unable to lever the funding required to support identified infrastructure requirements.</p> <p>Impact of not having the local plan in place.</p>	<p>Ensure CIL proposals are evidenced based and are compliant with CIL regulations</p> <p>More detailed Local Plan Risk Register</p>	TW	<p>Commence the planning for the operation of CIL and ensure there are corporate resources to support this</p> <p>Seek legal or expert advice when required</p> <p>Seek advice from other local authorities that are in the process of progressing CIL</p> <p>Review CIL viability work</p>	Planning Policy Team	<p>Spring 2016</p> <p>On-going</p> <p>Ongoing</p> <p>May/June 2015</p>	
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 (but G&T sites and villages in particular) 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</p> <p>Ensure staff across development services are aware of progress on policy development, sites, and infrastructure</p>	DB	Regular briefings for Development Services	Planning Policy Team	Ongoing	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to make progress on corporate priorities and other requirements such as Town Centre plans; neighbourhood plans; HIMO policies; CIL scheme;	Progress on the Local Plan in general (but G&T sites and villages in particular) very time consuming Unable to provide sufficient resources to support these areas of work	Progress on key documents could be delayed meaning specific policies are not in place to support development Reputation undermined due to failure to meet commitments that have been made publically	Regular prioritisation of work through services and corporate management team meetings Manage expectations by publishing and sticking to realistic timescales Staff recruitment to fill key identified work gaps	DB	Continually monitor workload through the project plan to ensure that adequate resources are available.	Planning Policy team	Ongoing	
Not properly representing the Council's interests in responding to other local authority's / organisation's consultations (for instance other local plans, HS2, etc.)	Major requests for consultation at a time when team resources are focused on competing priorities	Missed opportunities to influence the location and nature of development within the area.	Prioritise consultations that have the most significant impacts on the District Ensure key issues are addressed in advance through the Duty to Cooperate Staff recruitment to fill key identified work gaps	DB	As above	Planning Policy team	Ongoing	

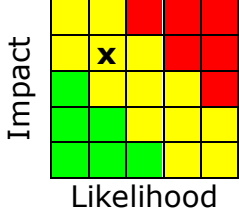
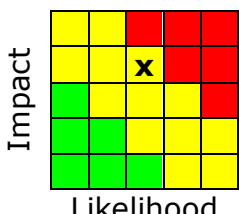
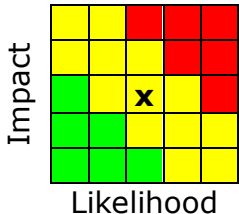
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Not meeting legislative and regulatory requirements (for instance in duty to cooperate ; consultation; processes in preparing the local plan; carrying out annual monitoring; progressing and operating CIL in accordance with the regulations)	<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>Delay to the Local Plan</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>Seek specific legal advice where necessary</p>	DB	No actions necessary	NA	NA	 <p>Impact</p> <p>Likelihood</p>

DB – Dave Barber
 TW – Tony Ward
 CS – Chris Sharp

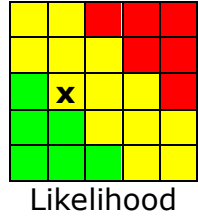
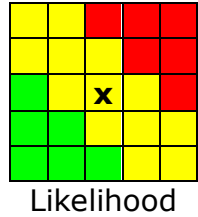
Development Services Risk Register (Development Management)

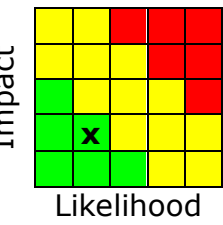
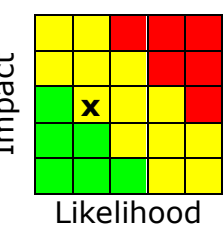
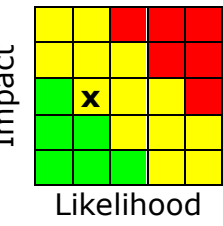
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Development Management Risks								
Failure to deliver outcomes in accordance with current legislation; regulations; guidance, etc.	Frequent changes to legislation, etc.; insufficient capacity/resourcing within the teams to keep up.	Work undertaken incorrectly resulting in not achieving desired outcomes; receipt of challenges and complaints which themselves result in additional workload; impact upon WDC reputation.	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.	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>2 training days for new District ward members deleivered in May 2015.</p>		<p>On-going</p> <p>On-going</p> <p>27 May 2015</p>	<p style="text-align: center;">Impact</p> <p style="text-align: center;">Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to deliver planning application decisions within statutory timescales	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload; deferral of major planning applications at Planning Committee.	<p>Reduced levels of effectiveness and customer service resulting in increased workloads; impacts upon staff motivation and stress; increased enquiries and complaints themselves resulting in additional workload; and impact upon WDC reputation.</p> <p>Potential risk of special measures resulting in loss of fee income from major planning applications; loss of ability to determine those applications whilst continuing to undertake the associated administrative work.</p>	<p>Ensure that staffing/resourcing correlates to workload levels.</p> <p>Continued proactive on-going management and support of staff.</p> <p>Continued monitoring of workload levels and performance.</p> <p>Proactive monitoring and delivery of identified staff training requirements.</p> <p>On-going engagement with/training for Planning Committee members</p>	TD/GF/SS	<p>On-going review and implementation of officer and member training plans.</p> <p>Effective performance management system in place which is regularly reviewed.</p> <p>2 training days for new District ward members delivered in May 2015.</p>		<p>On-going</p> <p>On-going.</p> <p>27 May 2015</p>	<p>Impact</p> <p>Likelihood</p>
Failure to properly consider and determine planning applications following the correct procedures and in accordance with all relevant material considerations.	<p>Incorrectly trained staff or Planning Committee members.</p> <p>Out of date or incorrect procedures</p>	<p>Impact of inappropriate or poor quality development within the District.</p> <p>Potential challenges to or appeals against planning decisions (and the associated work).</p> <p>Inability to take enforcement action for example in respect of compliance with approved plans or planning conditions.</p> <p>Impact upon WDC reputation.</p>	<p>Proactive monitoring and delivery of identified staff training requirements.</p> <p>On-going engagement with/training for Planning Committee members.</p> <p>On-going review and improvement of procedures.</p>	GF/SS	<p>On-going implementation of officer and member training plans.</p> <p>Regular team meetings; 1-1's and appraisals undertaken.</p> <p>2 training days for new District ward members delivered in May 2015.</p>		<p>On-going.</p> <p>On-going.</p> <p>27 May 2015</p>	<p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
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.	Ensure that staffing/resourcing correlates to workload levels. Continued proactive on-going management and support of staff. Continued monitoring of workload levels and performance. Proactive monitoring and delivery of identified staff training requirements.	GF/RL	Continued development and training of the enforcement team. Following a retirement and the recruitment of a new Enforcement Officer, the ongoing training and development of that Officer. Effective performance management system in place which is regularly reviewed.		Ongoing Ongoing Ongoing	
Failure to effectively monitor the delivery of Section 106 agreement requirements.	Insufficient staffing/manner in which staffing is organised.	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. Impact upon WDC reputation.	Provision of appropriate resourcing.	TD/GF RL/CS/G F	Introduction of a Section 106 agreement requirement for a proportionate developer contribution to fund the monitoring of the agreement completed. Review of the most effective use of that funding to ensure joined up monitoring. Section 106 monitoring spreadsheet prepared, in use and being developed.		Completed Ongoing 12/6/15 (spreadsheet published)	
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.	SS/RL/N C/GF	Review and development of fortnightly monitoring report. Monitoring of complaints received, outcomes identified and actions arising ongoing.		Completed Ongoing	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to ensure that Planning Committee operates smoothly.	Failure of IT. Absence of provision of required information to committee.	Impact upon WDC reputation: for many customers this is the only point at which they will come into contact with WDC planning services. Delays in the decision making process.	Ensure that IT arrangements are fit for purpose. Ensure that staff are appropriately trained.	TD/GF	Improvements made to IT and microphones at the Town Hall with positive results. On-going implementation of officer and member training plans. 2 training days for new District ward members delivered in May 2015.		Completed. Ongoing Completed	
Failure to maintain up to date records of 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. Inappropriate use of historic building grants.	Ensure that staffing/resourcing correlates to workload levels. Continued proactive on-going management and support of staff. Continued monitoring of workload levels and performance. Proactive monitoring and delivery of identified staff training requirements.	NC/GF	Review of the Conservation function underway to ensure that key tasks and processes and undertaken in the most effective manner.		October 2015	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Inappropriate use of historic building grants.	<p>Incorrectly trained or motivated staff.</p> <p>Absence of up to date records of the historic environment.</p>	<p>Financial resources used inappropriately/not used to their best effect with regard to the historic environment.</p> <p>Impact upon WDC reputation.</p>	<p>Continued proactive on-going management and support of staff.</p> <p>Proactive monitoring and delivery of identified staff training requirements.</p>	NC/GF	As part of the review of the Conservation function, the assessment and allocation of historic building grants process has been revised making full use of IT.		Completed.	
Failure to maintain an accurate land charges register.	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload.	<p>The provision of incorrect information in response to search questions.</p> <p>Potential for claims against WDC.</p> <p>Loss of public confidence/impact upon WDC reputation.</p>	<p>Insurance cover in place for financial loss claims.</p> <p>Continued proactive on-going management and support of staff.</p> <p>Proactive monitoring and delivery of identified staff training requirements.</p> <p>Ensure that staffing/resourcing correlates to workload levels.</p> <p>Continued monitoring of workload levels and performance.</p>	TM/GF	<p>Review of procedures and IT substantially completed. Electronic hub being set up for personal searches to allow self-service and reduce impact on resources.</p> <p>Ongoing review of performance with follow up actions as necessary.</p>		<p>July 2015</p> <p>On-going</p>	

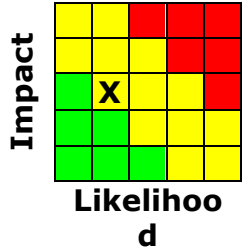
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to undertake standard property searches within required timescale (10 days)	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload.	Potential for claims against WDC. Loss of public confidence/impact upon WDC reputation.	Continued proactive on-going management and support of staff. Proactive monitoring and delivery of identified staff training requirements. Ensure that staffing/resourcing correlates to workload levels. Continued monitoring of workload levels and performance.	TM/GF	Maintenance of current performance.		Ongoing	
Inaccurate CON29 search responses provided.	Incorrect records. Incorrectly trained or motivated staff; insufficient staffing relative to workload.	Potential for claims against WDC. Refund of search fees Loss of public confidence/impact upon WDC reputation.	Insurance cover in place for financial loss claims. Continued proactive on-going management and support of staff. Continued monitoring of workload levels and performance.	TM/GF	Review of procedures and IT completed. Current ongoing review of performance with follow up actions as necessary.		Completed. On-going	
Potential for financial claims relating to property damage arising from TPO trees.	Damage to property arising from presence of TPO tree(s).	Potential for significant financial claims against WDC which are not insurable.	Officer awareness of potential risks at the time that making of TPO is being considered. Robust defence against claims.	RL/GF	Review of procedures completed.	Enforcement team	Completed	

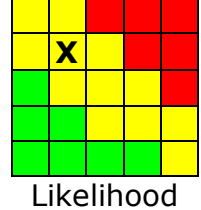
GF: Gary Fisher
TD: Tracy Darke
SS: Sandip Sahota
RL: Rajinder Lalli
NC: Nick Corbett
TM: Teresa Muddeman

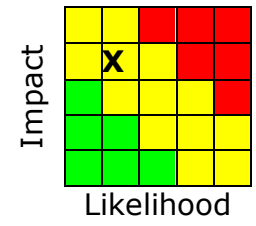
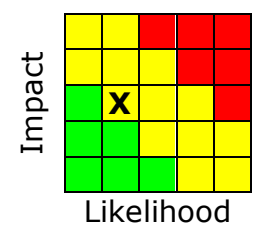
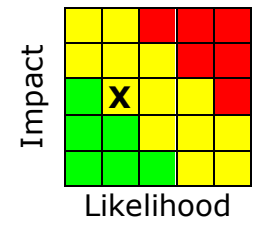
CS: Chris Sharpe

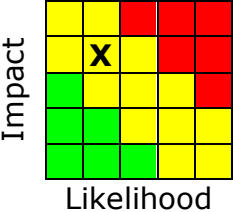
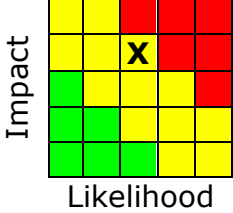
Building Control Risk Register

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Building Control Risks								
Losing work and therefore loss of income to Approved Inspectors	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. Improved site inspection service i.e. weekend inspections together with early and late inspections to suit clients requirements. Encouraging Partnerships with clients.	All B.C. Officers	Joint working with other Local Authorities to provide resilience. Head of B.C. in one to one meetings with new and existing clients. Active promotion of Building Control Service through Planning officers and ED&R	Staff and time Time	April 2015 Ongoing	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to deal with Receipting, Acknowledging and Processing Building Regulation Applications.	Surge of workload, and staff ratio to workload.	Decisions not given within statutory time period. This could result in fees being returned.	All applications received are recorded daily in an office diary, as well as in acolaid, and decisions are monitored daily.	Admin	Continued daily monitoring	Staff	Ongoing	 <p>Impact</p> <p>Likelihood</p>
	System failure	Work could progress on site without approved plans, which could lead to defective work and Council having to pay for remedial works.	All applications received are allocated to Officers within two working days of receipt; ensuring applications are processed within the prescribed period.	Officers/ Principal B.C.O. / Head of B.C.	Continually update CPD and statutory regulation changes.	Funding	Ongoing	
	Incorrect advice and poor decision making	Reputational damage – Clients taking their work to Approved Inspectors.	All B.C. Officers professionally qualified and CPD courses attended. Complex projects overviewed by Principal / Head of B.C.	Principal B.C.O./ Head of B.C.	One to one personal contact with Clients / Partners on a regular basis.	Staff Time	On-going	
	Incorrect fee processing	Failure to assess fees correctly could result in reduced income.	Clients contacted periodically to ensure performance standards are maintained.	Officers / Principal B.C.O.	Sample checking and monitoring by Principal Officer.	Staff Time	On-going	
	Shortage of staff	As above			Joint working with Rugby and Daventry.		April 2015	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<p>Failure to carry out Site Inspections</p> <p>Incorrect / poor advise.</p>	<p>Staff ratio to workload – Failure to attend. Staff shortages.</p> <p>System failure – notification of inspections not received.</p>	<p>Failure to attend at critical inspection stages could result in defective construction being covered up, with possible long term problems.</p>	<p>All site Officers are fully qualified professional Officers.</p>	<p>B.C.O's / Principal / Head of B.C.</p>	<p>Continually review staffing levels.</p>		<p>On-going</p>	
	<p>Poor decision making – bad/incorrect advice given.</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>Regular update on Regulation changes and attendance on relevant CPD courses.</p>	<p>B.C.O's / Principal / Head of B.C.</p>	<p>Continued CPD and updates on legislation.</p>		<p>On-going</p>	
	<p>Compensation Claims</p>	<p>Costs against Council</p>	<p>All site officers are fully qualified professional Officers</p>	<p>B.C.O's / Principal</p>	<p>Continued CPD and legislation updates.</p>	<p>Finance / Time</p>	<p>On-going</p>	
	<p>On site aggravation / confrontation</p>	<p>Confrontation on site, poor working relationships may result in lack of trust and confidence in B.C. Officer. Considerable stress to all parties.</p>	<p>All Officers provided with mobile phones for assistance / advice.</p>	<p>B.C.O / Head of B.C</p>	<p>Refresher course on dealing with confrontational situations</p>		<p>Oct. 2015</p>	
	<p>Staff shortages / complaints</p>	<p>Customer dissatisfaction, leading to new projects going to Approved Inspectors.</p>	<p>Availability of officers / access to officers throughout the working via mobile phones</p>	<p>All Officers.</p>	<p>Refresher course in customer service</p>	<p>Finance / Time</p>	<p>Oct. 2015</p>	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Dangerous Structures (24 hour call out) Failure to attend within reasonable time frame	Lack of Trained, qualified Staff	Failure to act and advise correctly could result in damage and injury, with possible litigation.	All responding Officers are fully qualified. 24/7 Emergency phone cover with a staff rota in place.	All B.C. Officers	Continued refresher courses and updates. Joint working with Rugby and Daventry on overall cover.	Funding / Time	Ongoing April 2015	
Demolitions Failure to attend and advise.	Lack of Trained, qualified staff.	Incorrect advice could result in damage to adjacent buildings, services and general disruption.	Demolitions attended to by fully qualified staff.	Principal B.C.O. / Head of B.C. / Head of Development Services	Joint working with Rugby and Daventry on overall cover.	Funding / Time	April 2015	
Safety at Sports Grounds 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 and Head of B.C. work closely with Fire Prevention Officers on all cases.	Principal B.C.O. / Head of B.C. / Head of Development Services.	Continued refresher courses and updates. Liaison with Fire Service. Joint working with Rugby and Daventry.	Funding / Time	Ongoing April 2015	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<p>Temporary Stands and Structures Failure to inspect and advise.</p>	<p>Lack of suitably trained, qualified staff. Poor advice / decision making</p>	<p>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.</p>	<p>Principal and Head of B.C. work closely with Fire Prevention Officers on all cases.</p>	<p>Principal B.C.O. / Head of B.C. / Head of Development Services.</p>	<p>Continued refresher courses and updates. Liaison with Fire Service. Joint working with Rugby and Daventry.</p>	<p>Funding / Time</p>	<p>Ongoing April 2015</p>	
<p>Fire Safety and HIMO's Failure to inspect and consult with Fire Service.</p>	<p>Lack of suitably trained, qualified staff. Poor advice / decision making</p>	<p>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.</p>	<p>Principal and Head of B.C. work closely with Fire Prevention Officers on all cases.</p>	<p>Suitably qualified B.C. officers /Principal B.C.O. / Head of B.C. / Head of Development Services.</p>	<p>Continued refresher courses and updates. Liaison with Fire Service. Joint working with Coventry, Rugby and Daventry.</p>	<p>Funding / Time</p>	<p>Ongoing April 2015</p>	

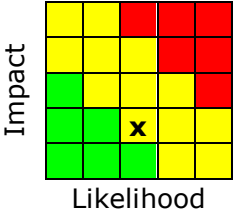
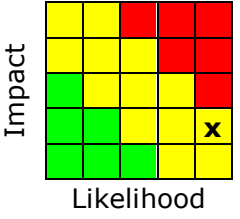
Development Services Risk Register (Economic Development and Regeneration)

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Town Centres								
Reduction in funding from Council key partners towards core funding of Town Development Officer (TDO) activity	Political loss of faith in TDOs and/or delivery	Limited funding available for activity Increase in net costs of operation to WDC	Ensure close working with town councils	DB, NC, ZC JBa	Regular meetings with partners to establish/manage expectations	Time Staff	On-going	
Reduction in funding from businesses towards committed activities – eg: Christmas Lights, promotional guides	Wider economy Quality of offer Inadequate time to fundraise	Reduction in activities/lights	Ensure contracts are flexible and within budget tolerances where possible	DB, NC, ZC JBa	Contracts to be let that allow flexibility	Funding staff	On-going	
Breakdown of or ineffective town centre partnerships	Insufficient business engagement Partnerships becoming an overly political environment that turns off business Partners do not see the value/insufficient delivery	Marginalised role of TDOs No mandate for Town based work	Resourced, realistic partnership action plans to be developed and adopted by partners	DB, NC, ZC JBa	Development of action plans Regular meetings with key partners and future partners Review of purpose of TC Partnerships Information sharing partnership created for Leamington	Staff time	On-going	
Enterprise								

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Failure to meet Homes and Communities Agency (HCA) /Dept for Business Innovation & Skills (BIS) outputs for Althorpe Enterprise Hub (AEH)/ Court Street Creative Arches (CSCA)	Inability to get information on start ups and survivals Wider economy stalls leading to less outputs Staffing change	Clawback of HCA funding Increase in net costs of operation of AEH	Business support contract in place Financial controls	GS JBa	Replacement of business support contract with peer-to-peer business support and mentoring Development of Prosperity Strategy and Action plan	Funding Staff time	On-going	
Inability to alter HCA contract on revenue share	Change of HCA monitoring officer HCA insist on contract compliance	88% of gross income from AEH to be shared Significant financial cost to WDC	Contract being renegotiated with "net" income	GS / JBa	Agreement being sought to alter terms of the original funding contract	Staff Time Funding (if risk not mitigated)	October 2015	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Loss of tenants at AEH, CSCA	<p>Economy stalling / recession</p> <p>Inability to provide service tenants expect</p> <p>Competition from the market provided facilities undermining demand</p> <p>Inability to deliver networking events and support that tenants value</p>	<p>Increase in net costs of operation</p> <p>Shutting of AEH</p>	<p>Training for all staff</p> <p>Regular meetings with tenants</p> <p>Tenant satisfaction monitoring</p> <p>Raise profile of AEH and CSCA</p>	<p>GS</p> <p>JBa</p>	<p>On-going event delivery at AEH to raise profile</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>Staff</p> <p>Time</p> <p>Funding</p>	<p>On-going</p> <p>Games (September 2015)</p>	
Loss of confidence of Network Rail in WDC's ability to manage leases	<p>Tenants carrying out unauthorised works to CSCA in contravention of Network Rail contracts</p> <p>Constant change of Network Rail Surveyors and Lawyers</p>	<p>Greater scrutiny of all arches by Network Rail including increases in maintenance visits</p> <p>Increased cost to WDC of facilitating these and compensating tenants</p>	<p>Close liaison with tenants</p> <p>Robust management of tenant obligations relating to the arches</p> <p>Procedures adopted as part of lettings strategy</p>	<p>GS</p> <p>AW</p> <p>JBa</p>	<p>Regular inspections by WDC surveyors</p> <p>New procedures adopted (as a result: Network Rail have now removed themselves from the lettings process)</p>	<p>Staff</p> <p>Time</p>	<p>On-going</p> <p>Completed June '15</p>	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Public Liability (PL) Insurance (CSCA)	A major issue causes a 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 the 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.	Under the head lease the loss would fall to WDC – (however WDC PL Insurance cover is at £25m) WDC's insurance excess of £25k is triggered.	WDC are covered under our PL insurance policy	GS Support from Insurance officer	Maintain £25m of PL insurance cover To monitor and review risk	Staff Time	On-going	
Estates Management								
Failure to adhere to follow procedures / out of date procedures	Changes in legislation / case law Staffing / resource issues Complacency Culture of "it's worked out in the past"	Exposure to costs / risks Disciplinary issues Legal impact Illegal actions (ultra vires)	Review of & Adoption of procedures and monitoring Continued Continuing Professional Development (CPD) Taking appropriate Legal advice	CM JBa	Review of existing and potential adoption of new procedures for Estates Management in consultation with H&PS Attendance at training for staff to keep current	Staff £ for training	Review Target Sept 2015	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Failure of advice or poor quality of advice	<p>Insufficient training / CPD</p> <p>Failure to seek advice early enough</p> <p>External advice deficient</p> <p>Poor commissioning of advice meaning advice is not fit for purpose</p> <p>Time constraints means issues are not looked at in sufficient detail</p>	<p>WDC exposed to risk / legal action</p> <p>Longer term costs to WDC</p>	<p>On-going training</p> <p>Peer review of procedures and case load management (lessons learned) -</p>	<p>CM</p> <p>JBa</p> <p>with Legal</p>	<p>Training plan to be produced</p> <p>Framework for professional advice to be produced</p>	<p>Staff</p> <p>Time funding</p>	<p>On-going</p> <p>On-going</p>	
Tenants allowed to occupy buildings without a legal agreement	<p>Time constraints</p> <p>Internal communication breakdown</p> <p>action by out-going tenants</p>	<p>WDC creates business tenancy with associated risks and costs</p>	<p>Procedures to be followed</p> <p>"stronger" role for lawyers</p> <p>Inspections of properties</p>	<p>CM</p> <p>BJ</p>	<p>Revised procedure to be adopted including tenancy at will</p>	<p>Staff</p> <p>time</p>	<p>On-going</p>	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Insufficient funding to maintain properties in good order	Insufficient financial resources to complete works Planned Preventative Maintenance (PPM) budget post 16/17 unfunded	Increased long term costs to WDC Increased risks of not meeting legal timelines for dilapidations / maintenance liabilities Tenant dissatisfaction Loss of tenants to other properties	Early warning of planned requests (eg: maintenance requests)	H&PS	Budget allocation for PPM (planned preventative maintenance) Review procedures for maintenance requests / dilapidation requests etc ...	Staff / funding Staff Funding	ASG Current updating	
Inadequate investment in properties	Insufficient finances for maintenance and / or improvement Inability of other service units to deliver against timely service requests	Loss of tenants Increase in maintenance backlog Knock on impacts to other properties Reduction in value of property Increase in emergency repairs to properties Insurance cover could be restricted / invalidated	Full maintenance and property liabilities being understood Advice of insurance company to be sought on empty properties / those identified as being at risk	Strategic Asset Manager (SAM) SAM / Insurance officer	15/16 Asset Management PPM Plan to be adopted Asset Management Strategy (AMS) Development of Asset Plans for each (significant) WDC property	Staff Time funding	May 15 By November 15 By 2017	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Deed Store Loss of deeds	Failure to follow procedures Inexperience Fire / flood Theft	Loss of important documents	Procedures in place to control use of deed store Limited number of staff (5) with access to the Deed Store Halon system	DMC	Regular checks on deeds store and procedure compliance to be carried out Transfer of operational access/management of documents to the Document Management Centre (DMC) – with limited access.	staff	On-going Done	
Reduction in income from non-operational estate	Wider economy stalls Tertiary properties becoming increasingly unattractive to tenants Under-investment in properties rendering them unattractive Tenant business failures Not starting re-letting process on a timely basis	Loss/reduction of income Increase in void business rates payable by WDC Increase in maintenance liabilities for void premises Increased insurance risk for longer term vacant units	Development of corporate asset management plan Comprehensive review of estates holdings Develop plan for alternative uses Consider business support for tenants Actively market premises	JBa / CM H&PS Enterprise Team	Development of AMP Potential sale of risky properties	Staff Time funding	On-going	
Tourism								

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Destination Management Organisation (DMO) failure to deliver desired outputs	<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</p>	<p>Loss of tourism company</p> <p>Loss of Visit England recognition and extra funding</p> <p>Public sector dominated company</p>	<p>Active seeking business support from WD based businesses</p> <p>Appoint new Tourism Champion</p> <p>Positive promotion of the new company</p> <p>Support for DMO Board and company officers to deliver their outputs.</p>	<p>JBa</p> <p>NC, DB, ZC</p>	<p>Regular meetings being organised with businesses</p> <p>Key tourism business leaders being supported by officers</p> <p>DMO staff to hot desk at WDC</p>	<p>Staff</p> <p>Time</p> <p>funding</p>	On-going	
Visitor Services/Tourist Information Centre (TIC) operation fails to deliver expected benefits	<p>Agreement fails to deliver expected benefits triggering a review of the situation</p> <p>Further Reduction in tourism budgets</p>	<p>Increase in costs of operation</p> <p>Potential review of Leamington VIC and the service provided to businesses</p> <p>Lack of support to the Tourism Company (DMO)</p> <p>Closure of Leamington VIC</p> <p>Lack of outreach in other areas</p>	<p>Close working with Town Clerk and Councillors & industry</p> <p>Working with other partners to increase viability and reach of VIC networks</p>	JBa	<p>Transfer of Leamington VIC staff to Warwick Town Council (WTC)</p> <p>Further review of Operations</p>	<p>Staff</p> <p>Time</p> <p>Funding</p>	<p>Completed</p> <p>Autumn 2015</p>	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Failure or breach of financial Procedures at the TIC	Cash handling monitoring	Failure to comply with financial regs theft	Regular reviews of procedures with finance and other cash handling units	JBa FC	Advice to WTC after transfer of Leamington VIC. Oversight & assistance from one-stop shop front line managers	Time staff	On-going	<p>Impact</p> <p>Likelihood</p>

Officer Abbreviations

JBa – Joseph Baconnet

CM – Chris Makasis

GS – Gayle Spencer

DB – David Butler

ZC – Zoe Court

NC – Nicki Curwod

FC – Fiona Clark

AW – Alex Walkenden (H&PS)

BJ – Barry Jukes/WCC Legal Team

H&PS – Housing and Property Services