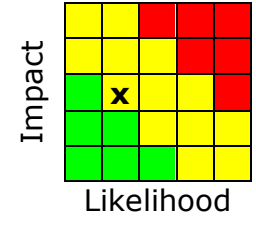
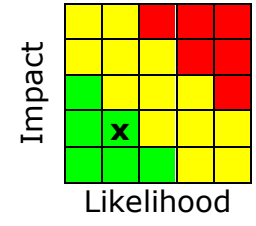
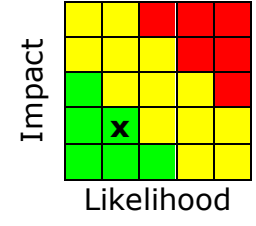


**Development Services Risk Register (Appendix 1b)
(Policy and Development Portfolio)**

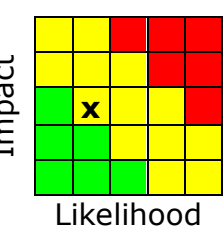
Most recent review: July 2017 (unless otherwise stated)

x Current position
o Previous position if changed

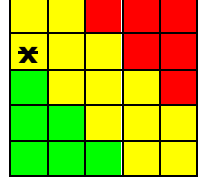
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Generic Risks								
1. Failure to comply with Health and Safety requirements	Staff not assessing risks adequately/at all Lack of awareness Lone working System failure	Physical/verbal attacks on staff Injury to staff Compensation claims Reputational damage	Risk assessments done on a regular basis Equipment provided to ensure contact possible in cases of emergency Procedures in place/adequate training	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>

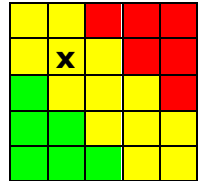
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
3. Lack of staff resources	Loss of key staff/knowledge Lack of staff cover for emergency/bank holiday Lack of ability to support corporate projects	Staff not skilled 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>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>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>No change</p>

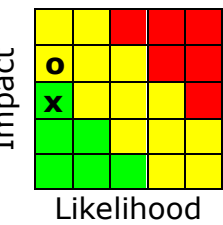
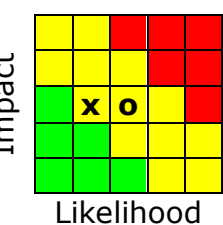
Development Management Risk Register

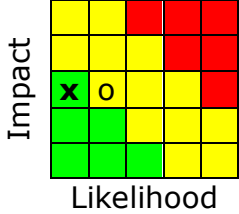
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Development Management Risks								
6. Failure to deliver outcomes in accordance with current legislation; regulations; guidance, etc.	Frequent changes to legislation, etc.; insufficient capacity/resourcing within the teams to keep up.	Work undertaken incorrectly resulting in not achieving results in poor desired outcomes, receipt of challenges and complaints which themselves result causes 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>Continual Training for new Planning Committee members delivered in May 2016 and structured ongoing Planning Committee training delivered on a regular basis.</p> <p>Programme of training now in place with members of the planning committee</p>		On-going On-going	 <p style="text-align: center;">No change since last review</p>

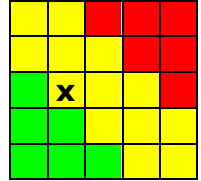
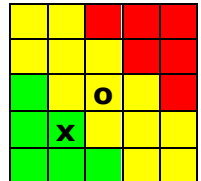
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating																									
<p>7. Failure to properly consider and determine planning applications within statutory timescales deliver planning application decisions within statutory timescales</p>	<p>High workload volume; incorrectly trained staff or planning committee members or motivated staff; insufficient staffing relative to workload; deferral of major planning applications at Planning Committee.</p>	<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 affecting WDC reputation loss of ability to determine those applications whilst continuing to undertake the associated administrative work. Impact of complaints, enforcement issues and legal challenges, together with staff being de-motivated. Increased workload.</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 and procedures.</p> <p>Proactive Monitoring and delivery of identified staff and planning committee training requirements.</p> <p>On-going engagement with/training for Planning Committee members</p>	<p>TD/GF/S S</p>	<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>Training for new Planning Committee members delivered in May 2016 and structured ongoing Planning Committee training delivered on a regular basis. Programme of training now in place with members of the planning committee</p>		<p>On-going</p> <p>On-going.</p> <p>On-going.</p>	<p>Impact</p> <table border="1" data-bbox="2694 667 2878 835"> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>x</td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td></tr> </table> <p>Likelihood</p> <p>No change from May 2016</p>						x																			
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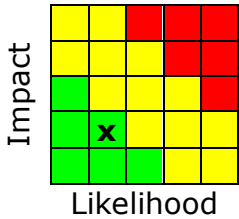
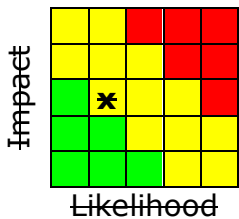
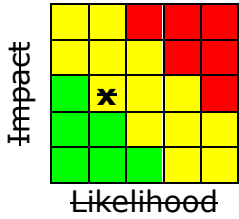
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<p>8. Failure to properly consider and determine planning applications following the correct procedures and in accordance with all relevant material considerations.</p>	<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>	<p>GF/SS</p>	<p>On-going implementation of officer and member training plans.</p> <p>Regular team meetings; 1-1's and appraisals undertaken.</p> <p>Training for new Planning Committee members delivered in May 2016 and structured ongoing Planning Committee training delivered on a regular basis.</p> <p>Increasingly structured ongoing review of appeal decisions being introduced from May 2016.</p>		<p>On-going.</p> <p>On-going.</p> <p>On-going.</p> <p>-</p>	 <p>No change from August 2016.</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
9. 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.	<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>Continued proactive on-going management and support of staff.</p> <p>Continued monitoring of workload levels, and performance and procedures.</p> <p>Proactive Monitoring and delivery of identified staff and planning committee training requirements.</p>	GF/RL	<p>Continued development and training of the enforcement team.</p> <p>Effective performance management system in place which is regularly reviewed.</p> <p>Regular contact and liaison with legal colleagues.</p> <p>Attending Parish and Town Council meetings to be proactive regarding any potential issues.</p>		Ongoing Ongoing Ongoing	 <p>No change since last review</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
10. 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/CG/GF/WCC and other colleagues.	Following its introduction the ongoing review and refinement of the Section 106 monitoring spreadsheet. Established procedures and publicly available database monitored regularly. Increased focus within WDC and WCC to ensure the most effective use of that funding and joined up monitoring.		Ongoing Ongoing	 Revised impact due to actions.
11. Failure to manage customer expectations appropriately and deliver work to those expectations.	High workload volume; insufficient capacity arising from staffing relative to workload.	Impact upon WDC reputation. Increased enquiries and complaints themselves resulting in additional workload.	Ensure that staffing/resourcing correlates to workload levels. Continued monitoring of workload levels and performance. Use of appropriate mechanisms to deliver appropriate messages to customers.	SS/RL/NC/GF	Review and development of fortnightly monitoring report. Monitoring of complaints received, outcomes identified and actions arising ongoing. Weekly team meetings introduced.		Completed Ongoing	 Revised due to close monitoring

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
12. Failure to ensure that Planning Committee operates smoothly.	<p>Failure of IT.</p> <p>Absence of provision of required information to committee.</p>	<p>Impact upon WDC reputation: for many customers this is the only point at which they will come into contact with WDC planning services.</p> <p>Delays in the decision making process.</p>	<p>Ensure that IT arrangements are fit for purpose.</p> <p>Ensure that staff is appropriately trained.</p>	TD/GF	<p>Improvements made to IT and microphones at the Town Hall with positive results.</p> <p>On-going implementation of officer and member training plans.</p> <p>Training for new Planning Committee members delivered in May 2016 and structured ongoing Planning Committee training delivered on a regular basis.</p> <p>Organisation and administration of Planning Committee operation now undertaken on a collaborative and team-based approach including with members.</p> <p>Improvements programmed for the PA system at the Town Hall.</p> <p>Programme of training for members and staff in place.</p>		<p>Completed.</p> <p>Ongoing</p>	 <p>No change from February 2016 Likelihood reduced May 2017</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
13. Failure to maintain up to date records of protect the historic environment.	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload.	The value of heritage assets not fully taken into account within the decision making process to the detriment of the protection of those assets. Inappropriate use of historic building grants.	<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>Ensure that staffing/resourcing correlates to workload levels.</p> <p>Continued monitoring of workload levels and performance.</p>	NC/GF	<p>Recent introduction of an Assistant Conservation Officer will Maintain current staffing levels to ensure that key tasks and processes are undertaken in the most effective manner.</p> <p>Initial review of the operation of CAF completed with ongoing reviews on an annual basis.</p>			 <p>Impact</p> <p>Likelihood</p> <p>No change since August 2016.</p>
14. Failure to maintain an accurate land charges register.	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload.	The provision of incorrect information in response to search questions. Potential for claims against WDC. Loss of public confidence/impact upon WDC reputation.	<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> <p>Ongoing training of staff to meet service demand</p>	MM/GF	<p>Review of procedures and IT completed. Electronic hub in use for personal searches to enable self-service and reduce impact on resources.</p> <p>Ongoing review of performance with follow up actions as necessary.</p> <p>Working towards transfer of land charges to the land registry.</p>		On-going	 <p>Impact</p> <p>Likelihood</p> <p>Revised due to actions taken</p>

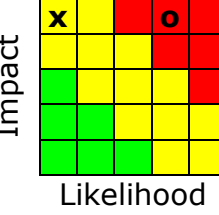
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
15. Failure to undertake standard property searches within required timescale (10 days)	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload.	Potential for claims against WDC. Loss of public confidence/impact upon WDC reputation.	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. On-going training of staff	MM/GF	Maintenance of current performance. Regular ongoing review of performance with follow up actions as necessary.		Ongoing	 No change since last review
16. 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.	MM/GF	Regular ongoing review of performance with follow up actions as necessary.		On-going	 No change in score from 2013
17. 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	 No change since last review

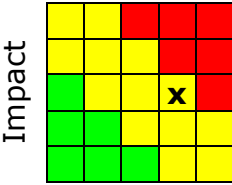
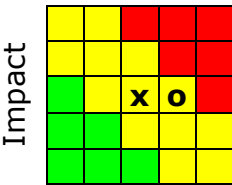
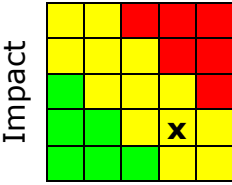
GF: Gary Fisher
TD: Tracy Darke
SS: Sandip Sahota
RL: Rajinder Lalli

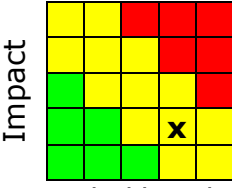
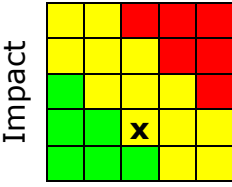
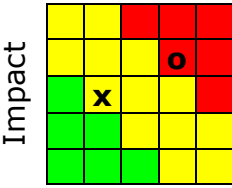
CG: Chris Garden
MM: Michael Martin
NC: Nick Corbett

Planning Policy Risk Register

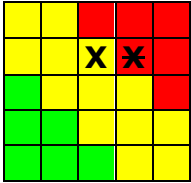
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
18. Policy and Dev: Losing planning appeals or failing to deliver adequate infrastructure for development as a result of not having an up to date Local Plan in place (part of the Strategic risk Register)	<p>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 (e.g. recent Asps and Gallows Hill appeal)</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 adoption 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 Site Delivery Officers has been secured</p>	D Butler	<p>Develop and implement proposals for infrastructure funding</p> <p>Continue to meet with potential developers to ensure they are aware of our approach and are able to respond to this should proposals be considered for approval in advance of the Local Plan</p> <p>Seek to adopt Local Plan in September</p>	Planning Policy Team plus Sites Delivery Officer	<p>Ongoing</p> <p>Ongoing</p> <p>Sept 17</p>	<div style="text-align: center;"> <p>Impact</p> <p>Likelihood</p> </div> <p>Reason: Risk reduced to reflect Local Plan progress and 5 year land supply</p>

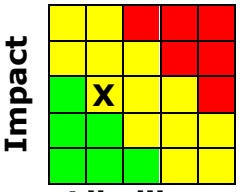
<p>19. Policy and Dev: Local Plan is found unsound (part of the Strategic risk Register)</p>	<p>Developer challenge before local plan Complete.</p> <p>Political procrastination.</p> <p>Lack of involvement of external key players.</p> <p>Local Plan not evidenced properly.</p> <p>Failure to adequately address controversial issues such as village green belt boundaries and gypsy and traveller sites</p>	<p>None or reduced achievement of objectives.</p> <p>Adverse financial impacts such as failure to set the Community Infrastructure Levy, loss of New Homes Bonus,</p> <p>Reputational damage.</p> <p>Possible legal action for damages.</p> <p>Development not where required.</p> <p>Wasted resources involve in reworking the Local Plan and increased costs.</p> <p>Additional work.</p> <p>Reduction in investment in area.</p> <p>Increase in appeals.</p> <p>Risk of insufficient Infrastructure Funding.</p>	<p>Published timetable. (HoDS)</p> <p>Plan based on robust evidence. (HoDS)</p> <p>Project management. (HoDS)</p> <p>Local Plan Programme Board. (HoDS)</p> <p>Local Plan Risk Register. (HoDS)</p> <p>Agree Gypsy and Traveller sites. (Members)</p> <p>Appeal letter sent to Greg Clarke, Secretary of state for DCLG. (HoDS)</p> <p>Adhere to agreed suspension timetable</p> <p>Regular members briefings</p> <p>Ensure effective Duty to Cooperate - MoU agreed</p>	<p>D Butler</p>	<p>Ensure issues regarding G&T sites are carefully managed and explained through the EIP hearing</p> <p>Submit revised Local Plan proposals in line with the MoU and agreed suspension timetable and process</p> <p>Provide clear evidence to support proposals through the EIP process</p>	<p>Planning Policy Team</p>	<p>May 2016</p>	 <p>Risk Reduced:</p> <p>Reason: Indications from the Inspector that the Plan will found sound</p>
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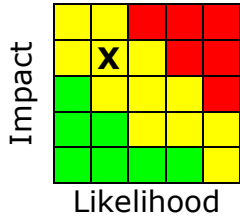
<p>NEW RISK</p> <p>20. Policy and Dev: Legal Challenge to Local Plan</p>	<p>Legal challenge Following adoption</p> <p>Likely to be as result of : Challenge to housing numbers or the process for consulting on the Main Modification or a challenge to sites that have not been allocated</p>	<p>Continued uncertainty for local plan and housing delivery</p> <p>Potential that we lose the legal challenge with need to amend plan and or carry out further consultation</p> <p>Worst case scenario (which is unlikely) would be the need to significantly review the Plan</p>	<p>Legal advice obtained</p> <p>Assurance from Inspector south and provided that the prices he has set out is legally compliant and has been utilised elsewhere.</p>	<p>D Butler</p>	<p>No further action required at this stage</p>			 <p>Impact</p> <p>Likelihood</p> <p>:</p> <p>Reason: Indications from the Inspector that the Plan will found sound</p>
<p>21. Policy and Dev: Community Infrastructure Levy (CIL) scheme is not in place in time for Local Plan adoption</p>	<p>Availability of Inspector to prepare final report</p> <p>Difficulty to putting in place processes for managing and operating CIL across multiple services and organisations</p> <p>Delay to the Local Plan has caused delays to CIL and could continue to do so</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> <p>Ensure evidence base to support S106 contributions is sound and ensure that approaches are agreed with infrastructure providers to avoid pooling issues</p>	<p>D Butler</p>	<p>Continue the planning for the operation of CIL and ensure there are corporate resources to support this</p> <p>Provide further information required for CIL examination</p> <p>Ensure evidence base to support S106 contributions for all major planning applications is sound and ensure that approaches are agreed with infrastructure providers to avoid pooling issues</p>	<p>Planning Policy Team</p>	<p>Sept 2017</p> <p>Sept 2017</p> <p>Ongoing</p>	 <p>Impact</p> <p>Likelihood</p> <p>Risk Reduced Reason: CIL Examination progressing well and CIL processes being designed</p>
<p>22. Policy and Dev: Failure to provide appropriate advice to officers, members and developers in relation to local plan policies and development proposals</p>	<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>	<p>D Butler</p>	<p>Continue regular briefings for Development Services</p>	<p>Planning Policy Team</p>	<p>Ongoing</p>	 <p>Impact</p> <p>Likelihood</p> <p>No change</p>

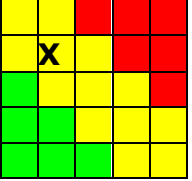
<p>23. Policy and Dev: Failure to make progress on corporate priorities and other requirements such as Town Centre plans; neighbourhood plans; HIMO policies; CIL scheme;</p>	<p>Progress on the Local Plan very time consuming</p> <p>Unable to provide sufficient resources to support these areas of work</p>	<p>Progress on key documents could be delayed meaning specific policies are not in place to support development</p> <p>Reputation undermined due to failure to meet commitments that have been made publically</p>	<p>Regular prioritisation of work through services and corporate management team meetings</p> <p>Manage expectations by publishing and sticking to realistic timescales</p> <p>Staff recruitment to fill key identified work gaps</p>	<p>D Butler</p>	<p>Continually monitor workload through the project plan to ensure that adequate resources are available.</p>	<p>Planning Policy team</p>	<p>Ongoing</p>	 <p>Likelihood</p> <p>No change</p>
<p>24. Policy and Dev: Not properly representing the Council's interests in responding to other local authority's / organisation's consultations (for instance other local plans, HS2, etc.)</p>	<p>Major requests for consultation at a time when team resources are focused on competing priorities</p>	<p>Missed opportunities to influence the location and nature of development within the area.</p>	<p>Prioritise consultations that have the most significant impacts on the District</p> <p>Ensure key issues are addressed in advance through the Duty to Cooperate</p> <p>Staff recruitment to fill key identified work gaps</p>	<p>D Butler</p>	<p>As above</p>	<p>Planning Policy team</p>	<p>Ongoing</p>	 <p>Likelihood</p> <p>No change</p>
<p>25. Policy and Dev: Not meeting legislative and regulatory requirements (excluding Local Plan – see new risk above)</p>	<p>Failure to understand or be aware of new and changing legislation and regulations</p> <p>Lack of training and development</p>	<p>Legal challenge to development plan documents</p> <p>Impact on resources and finances</p> <p>Impact on Council reputation</p>	<p>Keeping abreast of planning legislation and regulation through</p> <ul style="list-style-type: none"> specialist publications and websites training, courses and seminars discussions with colleagues within the Planning profession sharing new developments in planning amongst the team <p>Seek specific legal advice where necessary</p>	<p>D Butler</p>	<p>Take action to fully understand the implications of the Housing and Planning Act, particularly once the associated regulations are published</p>	<p>Planning Policy team</p>	<p>Ongoing</p>	 <p>Likelihood</p> <p>Reduced as Local Plan risk has been separated out Uncertainties</p>

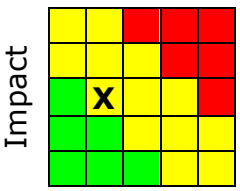
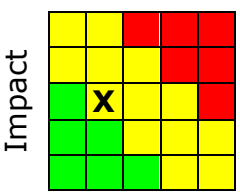
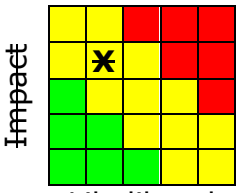
Building Control Risk Register

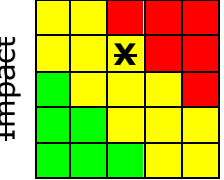
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Building Control Risks								
26. Losing work and therefore loss of income to Approved Inspectors	Increased number of Initial Notices received from Approved Inspectors.	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 BC's	Joint working with other Local Authorities to provide resilience. Shared service now set up as WBC Head of B.C. Head of Consortium in one to one meetings with new and existing clients. Active promotion of Building Control Service through other parts of the Council Planning officers and ED&R Promotion of Service through organised events including "Breakfast Meetings" and other similar events	Staff and time Time	April 2015 Commenced-All Ongoing Ongoing	 <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">No change since last review</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
27. 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 Acolaid, and decisions are monitored daily.	Admin	Continued daily monitoring	Staff	Ongoing	 <p>Impact</p> <p>Likelihood</p> <p>No change in score from 2013</p> <p>No change since last review</p>
	System failure		All applications received are allocated to Officers Consultants within two working days of receipt; ensuring applications are processed within the prescribed period.		Data from Daventry DC and Rugby BC migrated to WBC systems. Additional training provided to all staff in the use of Acolaid and Idox.			
	Incorrect advice and poor decision making	Work could progress on site without approved plans, which could lead to defective work and Council having to pay for remedial works.	All B.C. Officers professionally qualified and CPD courses attended. Building Consultants qualified to various levels, less qualified staff supervised and assisted by more senior staff.	Officers/ Principal B.C.O./ Head of B.C. HoC, PBC's, BC's Principal B.C.O./ Head of B.C. HoC, PBC's	Continually update CPD and statutory regulation changes.	Funding	Ongoing	
		Reputational damage – Clients taking their work to Approved Inspectors.	Complex projects overviewed by Principal Consultants / Head of B.C. Head of Consortium	PBC's/BC's Officers/ Principal B.C.O.	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.	Building Consultants qualified to various levels, less qualified staff supervised and assisted by more senior staff. Fees checked by professional B.C. Officers, consulting with Principal		Sample checking and monitoring by Principal Officer Consultant.	Staff Time	On-going	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
	Shortage of staff	As above	Officer where necessary.		Consultants work flexibly to cover short term variations in staffing levels. Joint working with Rugby and Daventry. Now Shared Service as WBC so resilience in place		Ongoing April 2015	
28. Failure to carry out Site Inspections Incorrect / poor advise advice.	Staff ratio to workload – Failure to attend. Staff shortages. System failure – notification of inspections not received. Poor decision making – bad/incorrect advice given.	Failure to attend at critical inspection stages could result in defective construction being covered up, with possible long term problems. 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	Building Consultants qualified to various levels, less qualified staff supervised and assisted by more senior staff. All site Officers are fully qualified professional Officers. Two new officers recruited September 2016 at assistant level, long term training required for succession planning. Regular update on Regulation changes and attendance on relevant CPD courses.	B.C.O's / Principal / Head of B.C. HoC, PBC's, BC's B.C.O's / Principal / Head of B.C. HoC, PBC's, BC's	Continually review staffing levels. Continued CPD and updates on legislation.		On-going On-going	 <p>No change since last review</p>
	Compensation Claims	Costs against Council	Building Consultants qualified to various levels, less qualified staff supervised and assisted by more senior staff. Professional indemnity Insurance All site officers are fully qualified professional Officers. Two new officers recruited September 2016 at assistant level, long term training required for succession planning.	Principal BC's and BC's B.C.O's / Principal	Continued CPD and legislation updates. Additional Professional training course for assistant Building Consultants. Careful consideration of actions to ensure that we reduce liabilities.	Finance / Time	On-going	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
	On site aggravation / confrontation Staff shortages / complaints	Confrontation on site, poor working relationships may result in lack of trust and confidence in B.C. Officer. Considerable stress to all parties. Customer dissatisfaction, leading to new projects going to Approved Inspectors.	All Officers provided with mobile phones for assistance / advice. Availability of officers / access to officers throughout the working via mobile phones	All Officers. All officers	Refresher course on dealing with confrontational situations Refresher course in customer service	 Finance / Time	On-going	
29. Dangerous Structures (24 hour call out) Failure to attend within reasonable time frame	Lack of Trained, qualified Staff	Failure to act and give correct advice could result in damage and injury, with possible litigation.	New arrangements being trialled and reviewed for response via WDC council wide systems. All responding Officers are fully qualified. 24/7 Emergency phone cover with a staff rota in place.	All BC's	Continued refresher courses and updates. Joint working with Rugby and Daventry on overall cover.	Funding / Time	Ongoing To be reviewed under T and C's Oct 2016	 <p>No change since last review</p> <p>No change in score from 2013</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
30. Demolitions Failure to attend and give advice.	Lack of Trained, qualified staff System failure.	Incorrect advice could result in damage to adjacent buildings, services and general disruption.	Demolitions attended to by fully qualified staff.	PBC / Head of B.C. / HoC/HoD S	Joint working with Rugby and Daventry on overall cover. Demolition applications and inspections monitored by Principal Building Consultants.	Funding / Time	Actioned April 2015 Ongoing	 Likelihood No change since last review
31. Fire Safety, Safety at Sports Grounds and Temporary Stands and Structures Failure to inspect at regular set times.	Lack of suitably trained, qualified staff. Poor advice / decision making	Lack of knowledge and inadequate advice could result in dangerous conditions for the public generally. Poor advice to building owners and internal Service Areas could result in poor design and costly remedial measures.	Principal Building Consultants and Head of B.C. Head of Consortium work closely with Fire Prevention Officers on all cases.	PBC's B.C.O. / Head of B.C. HoDS, HoC	Continued refresher courses and updates. Liaison with Fire Service. Joint working with Rugby and Daventry. Review of Fire Safety in flats	Funding / Time	Ongoing Actioned April 2015 Ongoing	 Likelihood No change since last review
32. Temporary Stands and Structures Failure to inspect and advise.	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	Principal and Head of B.C. Head of Consortium 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 Actioned April 2015	 Likelihood No change in score from 2013

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
		in poor design and costly remedial measures.						
33. Fire Safety and HIMO's Failure to inspect and consult with Fire Service.	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. Head of Consortium work closely with Fire Prevention Officers on all cases.	Suitably qualified B.C. officers /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 Actioned April 2015	 <p>No change in score from 2013</p>

HoDS – Head of Development Services

HoC – Head of Consortium

PBC – Principal Building Consultant

BC – Building Consultants