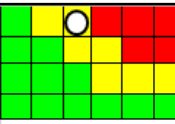
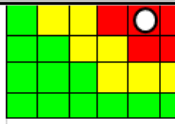


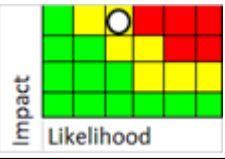
Code	CorpLan 01	Risk of non-compliance with Statutory Compliance with Council properties.		
Definition	The Council is required by law to safeguard its employees and members of the public to ensure their health and safety through effective implementation statutory maintenance and compliance checks such as asbestos management plans, gas safety certification legionella testing etc.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<p>No effective management of building and property management leading to:</p> <ul style="list-style-type: none"> • Risks not identified or controlled; • Fatality or serious injury to employee or member of the public; • Prosecution for failings (criminal) - material breach of health and safety legislation; • Compensation claims (civil); • Enforcement action – cost recovery of regulator time; • Reputational damage; 	<ul style="list-style-type: none"> •Lack of visible active health and safety leadership; •Lack of ownership and accountability for statutory compliance. •Lack of appropriate controls; •Lack of access to (and following) competent advice. •Lack of upward and downward communication; •Lack of identification of and completion of suitable training to ensure competent employees; •Inadequate statutory compliance management system; •Compliance with statutory compliance is not monitored, reported or actively reviewed; •Poor health and safety culture of organisation; •Budget pressures around maintenance may increase risk of failure, in some areas. 	Statutory compliance policy in place which defines roles and responsibilities and arrangements;	Partially Effective	
		Sufficient resource in place across the Council to fulfil legal requirements	Partially Effective	
		Regular management meetings to discuss compliance	Partially effective	
		Regular Monthly meetings with contractors to review compliance with contract.	Partially Effective	
		Suite of KPI's in some areas	Partially Effective	
			Very serious	
			High	
Risk Owner	Stephen Booth	Risk Manager		Residual Risk Assessment


Appendix A – Corporate Landlord Risk Register

Latest Note	A full review of statutory compliance and procedures has been undertaken and a revised systems has been implemented identifying work required against each property type, responsible manager, contractor and where information is held for verification purposes.	January 2020.		
	Service redesign proposals will create further level of assurance although with some resource implication. Further investment is required around ICT systems to create a dashboard around works.			Very serious
	Chief Officer – Corporate Landlord to revisit in 2nd Quarter 2020 following Service Redesign.			Low

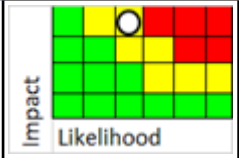
Code	CL02	Risk to the delivery of Capital and Revenue Income		
Definition	The Cluster has income targets around capital and revenue income.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Effectiveness	
<p>Poor management of income will create financial pressure within service and across the council. The cluster has 5 yearly income targets for capital sales.</p> <p>The cluster collects over £6 million per annum in commercial rents and further £3million from Common Good.</p> <p>The Council have a number of new commercial property ventures which require to be managed and generate sufficient income. Reputational risk around realising rental incomes.</p>	<ul style="list-style-type: none"> Income influenced by macro and micro economic conditions. Timing to conclude transactions Lack of information and understanding of management requirements at project initiation and development stage Lack of process around assets being declared surplus. Lack of staff resource to manage properties and income streams. A number of senior staff have left during last 2 years. Lack of appropriately skilled resource 	Staff have appropriate training, qualifications and engage with market and like professionals.	Fully effective	
		Regular marketing and income meetings.	Partially effective	
		Use of external property consultants, , management agreements and managing agents as appropriate	Partially effective	
		Revised surplus procedure to streamline process	Fully effective	
		Partnership arrangements in a number of areas to reduce risk, introduce experience.	Partially effective	
				Very serious
				High

Appendix A – Corporate Landlord Risk Register

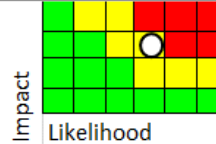
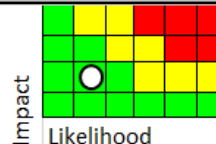
Risk Owner	Stephen Booth	Risk Manager		Residual Risk Assessment
Latest Note	Chief Officer – Corporate Landlord to revisit in 2nd Quarter 2020 following Service Redesign. A number of new posts have been identified in the service redesign which may be difficult to fill when the market is tested..		January 2020	 Very Serious Low

Code	CL03	Risk around delivery of asset valuation		
Definition	Risk of failure to complete the asset valuation which is required for the council financial accounts purposes.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Effectiveness	
Council accounts are not signed off Reputational Damage Significant costs in outsourcing works	<ul style="list-style-type: none"> •Inadequate resource around project delivery •Lack of management of process and reporting. •Maintain RICS, Valuer Registration status for sign off •Failure to recruit and retain staff 	Resource plan developed on annual basis although there are vacant posts	Partially effective	 Likelihood
		Regular meetings with finance team	Fully effective	
		Staff CPD and training	Fully effective	
		Options around alternative delivery models being considered in 2020/21	Partially effective.	
				Very serious Low
Risk Owner	Stephen Booth	Risk Manager		Residual Risk Assessment

Appendix A – Corporate Landlord Risk Register

<p>Latest Note</p>	<p>Chief Officer – Corporate Landlord to revisit in 2nd Quarter 2020 following Service Redesign</p>	<p>January 2020</p>	 <p>Very serious</p> <p>Low</p>
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Appendix A – Corporate Landlord Risk Register

Code	CL04	Risk of inadequate Asset management planning		
Definition	The cluster has a risk that resources have not been allocated appropriately and efficiently if asset management plan are not in place and robust			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Effectiveness	
<ul style="list-style-type: none"> Asset unable to meet service and customer requirements. Assets unable to meet statutory responsibilities. Asset unable to match with legal and other agreements. Resources directed in wrong areas Reputational damage. Unable to meet Housing Revenue Account regulatory requirements. Poor policy and decision making. Unable to deliver transformational savings and service improvements. 	<ul style="list-style-type: none"> Lack of up to date asset management plans Assets managed differently in a number of areas (ALEO'S, third sector, education estates etc. Lack of co-ordination with other public sector providers. Lack of resource and appropriate skills. Lack of strategic direction. Lack of forward planning by clusters. Lack of good quality information on stock. 	Better engagement with public sector partners and ALEO's.	Partially effective	 Impact Likelihood
		Asset management teams pulled together under corporate landlord in 2019.	Partially effective	
		Business cases around asset rationalisation.	Fully effective	
		Programme being managed through transformation group.	Fully effective	
		Engagement with other Chief Officers on future and current requirements.	Partially effective.	
				Serious
				Significant
Risk Owner	Stephen Booth	Risk Manager		Residual Risk Assessment
Latest Note	Chief Officer – Corporate Landlord to revisit in 2nd Quarter 2020 following Service Redesign.		January 2020	 Impact Likelihood
				Material
				Very low