

CLH Land Disposal Policy & Self Build Land Disposal Policy Risk Register

1st November 2017

Negative Risks that offer a threat to CLH groups and their Aims (Aim - Reduce Level of Risk)

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk £k	Risk Tolerance				Actions to be undertaken (Include dates as appropriate)	Escalated to: DRR/CRR	Escalation			Portfolio Flag	Audit Trail						
									Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date			Escalated by:	Date	Date risk identified		Directorate Flag	Date Risk Closed	Closed by:	Amends / Updates Completed Date:	By:		
1	CLH do not build out scheme following land disposal	Lack of staffing capacity, Lack of Finance	Land left undeveloped	Open		HDS	HE & Charity Capacity Funding; BCC and HE development funds		2	2	4	Nil	1	1	1		Support BCLT HUB	TS/KT	AS										
2	CLH unable to take transfer from RP	Lack of staffing capacity, Lack of Finance	Disempowerd community	Open		HDS	HE & Charity Capacity Funding; BCC and HE development funds		2	2	9		2	1	2		Support BCLT HUB	TS/KT	AS										
3	Self Builder does not build their home following land disposal	Lack of funds or resources	Land left undeveloped, Self-builder not housed	Open		HDS	Robust selection process to ensure site is sold to a self builder who has sufficient funds and resources.		2	1	2		1	1	1		Robust procedures to be developed and adopted	TS/KT	AS										
4	The land is not developed as the Self Builders main home but for some other use	Poor intentions, site acquired under false claims or circumstances of Self Builder change	Site disposal does not assist in the Council's aims to enable Self Build delivery and assist in the provision of homes on a needs basis.	Open		HDS	Robust selection process to ensure the buyer intends to build their main home to live in.		2	1	2		1	1	1		Robust procedures to be developed and adopted	TS/KT	AS										
5	Self Builders and CLH organisations who are not successful in securing sites express discontent	Council are not clear and robust of the opportunity and selections processes are not transparent	Trust and fairness of process in question	Open		HDS	Robust and transparent processes to ensure fair opportunity for all and accountability of selections		2	2	4		1	1	1														

Positive Risks that offer opportunities to CLH groups and Self Builders, and their Aims (Aim - Increase Level of Risk / Opportunity)

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk £k	Risk Tolerance				Actions to be undertaken (Include dates as appropriate)	Escalated to: DRR/CRR	Escalation			Portfolio Flag	Audit Trail						
									Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date			Escalated by:	Date	Date risk identified		Directorate Flag	Date Risk Closed	Closed by:	Amends / Updates Completed Date:	By:		
	CLH group build out scheme within 24 months	Adequate staff and development finance to progress development	Houses let or sold to identified local people in need	Open		HDS	BCC transfer contracts, funding agreements in place and local letting are signed off ahead of SOS to enable delivery within 24 months		2	3	6		3	3	9		BCC transfer contracts, funding agreements in place and local letting are signed off ahead of SOS to enable delivery within 24 months	TS/KT	AS										
	CLH group takes transfer from RP	Adequate staff and development finance to progress development	Empowered community	Open		HDS	BCC transfer contracts, funding agreements in place and local letting amt signed off ahead of SOS to enable transfers to be planned ahead of PC		2	3	6		3	3	9		BCC transfer contracts, funding agreements in place and local letting are signed off ahead of SOS to enable transfers to be planned ahead of PC	TS/KT	AS										
	Self Builder builds their home within 24 months	Determination, need and motivation coupled with adequate funding and resources	Citizen empowered and housed in affordable accommodation	Open		HDS	BCC enable land disposal to suitable buyer and provide suitable contract terms to enable the Self Builder to obtain planning consent and raise development funds		2	3	6		3	3	9		BCC to ensure HoT and contracts are enabling rather than restrictive and onerous	TS/KT	AS										
											0				0														

Extract from Risk Mangement Policy

Appendix B

Risk Matrix

Level of Strategic Risk

Likelihood	4	4	12	20	28
	3	3	9	15	21
	2	2	6	10	14
	1	1	3	5	7
Likelihood x Impact = Overall Risk level		1	3	5	7
		Impact			

Likelihood Guidance

Likelihood	Likelihood Ratings			
	1	2	3	4
Description	Might happen on rare occasions	Will possibly happen, possibly on several occasions	Will probably happen, possibly at regular intervals	Likely to happen, possibly frequently
Numerical Likelihood	Less than 10%	Less than 50%	50% or more	75% or more

Severity of Impact Guidance

N.B. Risk to be assessed against all of the Categories, and the highest score used in the matrix.

Impact Category	Impact Levels			
	1	3	5	7
		Noticeable and significant effect	Severe effect on service provision or a Corporate Strategic Plan priority area.	Extremely severe service disruption. Significant customer opposition. Legal action.

Service provision	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements	(positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame.	Effect may require considerable additional resource but will not require a major strategy change.	Effect could not be managed within a reasonable time frame or by a short term allocation of resources, and may require major strategy changes. The Council risks 'special measures' Officer / Member forced to resign.
Communities	Minimal impact on community	Noticeable (positive or negative) impact on the community or a more manageable impact on a smaller number of vulnerable groups / individuals which is not likely to last more than six months.	A more severe but manageable impact (positive or negative) on a significant number of vulnerable groups / individuals which is not likely to last more than twelve months.	A lasting and noticeable impact on a significant number of vulnerable groups / individuals.
Environmental	No effect (positive or negative) on the natural and built environment.	Short term effect (positive or negative) on the natural and or built environment.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Lasting effect on the natural and or built environment.
Financial Loss / Gain	Under £0.5m	Between £0.5m - £3m	Between £3m - £5m	More than £5m
Fraud & Corruption Loss	Under £50k	Between £50k - £100k	Between £100k - £1m	More than £1m
Legal	No significant legal implications or action is anticipated	Tribunal / BCC legal team involvement required (potential for claim)	Criminal prosecution anticipated and / or civil litigation.	Criminal prosecution anticipated and or civil litigation (> 1 person)
Personal Safety	Minor injury to citizens or colleagues.	Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work.	Major injury or ill health of citizens or colleagues may result in. long term disability / absence from work.	Death of citizen(s) or colleague(s). Significant long-term disability / absence from work.
Programme / Project Management	Minor delays and/or budget overspend, but can be brought back on schedule with this project stage.	Slippage causes significant delay to delivery of key project milestones, and/or budget overspends.	Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends.	Significant issues threaten delivery of the entire project.

(Including developing commercial enterprises)	No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.	No threat to overall delivery of the project and the identified benefits / outcomes.	Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes.	Could lead to project being cancelled or put on hold.
Reputation	Minimal and transient loss of public or partner trust. Contained within the individual service.	Significant public or partner interest although limited potential for enhancement of, or damage to, reputation. Dissatisfaction reported through Council Complaints procedure but contained within the Council. Local MP involvement. Some local media/social media interest.	Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Dissatisfaction regularly reported through Council Complaints procedure. Higher levels of local or national interest. Higher levels of local media / social media interest.	Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Intense local, national and potentially international media attention. Viral social media or online pick-up. Public enquiry or poor external assessor report.

Risk Scores – Required Action and Escalation:

Negative Risks (Threats)	
Level	Actions Required
1 - 5	Low: May not need any further action / monitor at the service level.
6 - 12	Medium: Action required, manage and monitor at the Directorate level.
14-21	High: Must be addressed – if Directorate level consider escalating to the Corporate Risk Register, if Corporate consider escalating to the Cabinet Lead.
28	Critical: Action required - escalate (if a Directorate level risk, escalate to the Corporate Level, if Corporate bring to the attention of the Cabinet Lead to confirm action to be taken).
Positive Risks (Opportunities)	Where the risk is an opportunity, a cost benefit analysis is required to determine whether the opportunity is worth pursuing, guided by the score for the matrix, e.g. an opportunity with a score of 28 would be pursued as it would offer considerable benefits for little risk.

Impact Category
Service provision
Communities
Environmental
Financial Loss / Gain
Fraud & Corruption Loss
Legal
Personal Safety
Programme / Project Management
Reputation

Direction
Decreased
Stable

Likelihood
1
2
3
4

Impact
1
3
5
7

Status
Open
Closed

Portfolios
Finance, Governance and Performance
Communities (Public Health, Public Transport, Libraries, Parks), Events
Children and Young People
Energy, Waste and Regulatory Services
Education and Skills
Adult Social Care
Housing
Transport and Connectivity
Strategic Planning and City Design