

Risk No	Risk Description	Impact/ Likelihood	Direction of Travel	Owner	Countermeasures	Action ✓
07	Inaccurate information is disseminated to tenants	B1	→	HFMT	<ul style="list-style-type: none"> <li>ensure project is well resourced from the outset with appropriate contingency arrangements to respond to inaccurate information</li> </ul>	✓
					<ul style="list-style-type: none"> <li>refer to Advertising Standards Agency any material that is false and/or misleading</li> </ul>	
					<ul style="list-style-type: none"> <li>review means of tenant engagement to ensure that the Council's balanced message is getting across</li> </ul>	✓
					<ul style="list-style-type: none"> <li>respond immediately to inaccurate or misleading material ie in press or sent to tenants</li> </ul>	✓
					<ul style="list-style-type: none"> <li>agree a communications protocol to enable timely and appropriate responses to inaccurate or misleading material</li> </ul>	✓
					<ul style="list-style-type: none"> <li>learn from others who have experienced dissemination of inaccurate or misleading material and their responses/experiences</li> </ul>	✓
					<ul style="list-style-type: none"> <li>provide consistent and factual messages at all times</li> </ul>	✓
					<ul style="list-style-type: none"> <li>regular and ad hoc briefings with staff to advise on agreed response to inaccurate or misleading material</li> </ul>	✓
04	Lack of effective Member engagement	B3	→	SMT	<ul style="list-style-type: none"> <li>involve and/or brief all members in a new landlord selection process</li> </ul>	✓
					<ul style="list-style-type: none"> <li>include members on a new landlord selection panel</li> </ul>	✓
					<ul style="list-style-type: none"> <li>set up shadow Board with Member representation</li> </ul>	✓
					<ul style="list-style-type: none"> <li>organise member briefings/workshops</li> </ul>	✓
					<ul style="list-style-type: none"> <li>individual meetings with Members to discuss issues</li> </ul>	✓
					<ul style="list-style-type: none"> <li>regular info/updates provided through Weekly Bulletin</li> </ul>	✓
					<ul style="list-style-type: none"> <li>proactively manage press coverage</li> </ul>	✓
					<ul style="list-style-type: none"> <li>strong leadership to be provided from Leader of Council and Housing Futures PFH and SMT</li> </ul>	✓
					<ul style="list-style-type: none"> <li>project to be given high corporate profile</li> </ul>	✓
					<ul style="list-style-type: none"> <li>reports to Cabinet and Scrutiny at key stages in the process</li> </ul>	✓
<ul style="list-style-type: none"> <li>if requested attend meetings of political groups</li> </ul>	✓					

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					<ul style="list-style-type: none"> <li>improve the level of understanding of the implications of a retention option for homes and housing services</li> </ul>	<ul style="list-style-type: none"> <li>✓ Sept 08</li> </ul>
02	Lack of or inadequate resources: Staffing Financial HR Legal	B3	→	SMT	<ul style="list-style-type: none"> <li>a core project support team of 6 FTE staff to be established with appropriate contingency monies to enable the level of resources to be reviewed as necessary within a budget set aside to meet the indicative costs to deliver the project.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Mar 08</li> </ul>
					<ul style="list-style-type: none"> <li>the project manager to be the nominated budget holder</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> </ul>
					<ul style="list-style-type: none"> <li>review capacity within HR, legal and other corporate service areas to assess ability to manage any significant implications for service delivery and ability to support project</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> </ul>
					<ul style="list-style-type: none"> <li>identify any additional resource requirements and engage consultants/temp staff early on in project</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> </ul>
					<ul style="list-style-type: none"> <li>review project management arrangements at regular intervals</li> </ul>	<ul style="list-style-type: none"> <li>✓ July 08</li> </ul>
					<ul style="list-style-type: none"> <li>project plan progress report and budget position statement to be regularly reviewed with Housing PFH</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> </ul>
					<ul style="list-style-type: none"> <li>project plan progress report and budget position statement to be regularly reviewed with SMT</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> </ul>
20	Lack of effective, open and transparent tenant participation arrangements	B3	→	AG	<ul style="list-style-type: none"> <li>invite all tenants to get involved in next phase through 'menu of involvement options' within new TPA.</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> </ul>
					<ul style="list-style-type: none"> <li>options also to include being part of Transfer Advisory Group(s) (TAG) who will help develop the 'offer'</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> </ul>
					<ul style="list-style-type: none"> <li>tenant representatives for new landlord selection panel to be drawn from TAG – process to be seen to be open, inclusive, democratic, and fair</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> </ul>
					<ul style="list-style-type: none"> <li>an open. Inclusive and appropriate process to be agreed for selection of tenant members of a shadow board that complies with Housing Corporation requirements</li> </ul>	<ul style="list-style-type: none"> <li>✓ Aug 08</li> </ul>
					<ul style="list-style-type: none"> <li>ensure tenants on panel can represent interests of key groups of tenants eg sheltered, leaseholders, general needs</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> </ul>

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					<ul style="list-style-type: none"> <li>implement and review the new TPA alongside the Housing Futures process</li> </ul>	✓
					<ul style="list-style-type: none"> <li>appoint an ITA and dedicated resident involvement team in order to reach more tenants</li> </ul>	✓
					<ul style="list-style-type: none"> <li>involve TPG and linked groups and the TAG in identification of new ways of engaging tenants more effectively for inclusion in the 'offer' to tenants</li> </ul>	✓
03	Lack of effective tenant engagement and/or poor relationship management	A5	↓ (from A4)	LIT	<ul style="list-style-type: none"> <li>build on relationships established in phase one of Housing Futures</li> <li>identify and understand the needs of all tenants to ensure that a housing transfer proposal addresses these</li> <li>investigate market research techniques as an option for identifying the needs of and for reaching tenants</li> <li>analyse information from tenant surveys on how they want to get more involved which can be used to target engagement methods</li> <li>progress implementation of the new Tenant Participation Agreement so that tenants can see how they can influence decisions/get involved</li> <li>involve tenants in the selection of the prospective new landlord</li> <li>set up a shadow Board with tenant representation</li> <li>support the TPG and local residents groups to get involved</li> <li>improve the level of understanding of the implications of a retention option for homes and housing services</li> <li>involve tenants in development of the Council's offer</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> <li>Aug/Sept</li> <li>✓</li> </ul>
11	The 'offer' does not meet the aspirations of tenants (and leaseholders)	A5	→	LIT	<ul style="list-style-type: none"> <li>review ITA survey from the first phase of Housing Futures to help understand the priorities and aspirations of tenants and leaseholders</li> <li>consider 'door knocking' consultation early on in the process to find out more about what tenants want</li> <li>ensure tenants and leaseholders are fully involved in developing the offer document</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> <li>Starts 21/07</li> <li>✓</li> <li>TAGs in place</li> </ul>

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					<ul style="list-style-type: none"> <li>the offer should include something for all eg sheltered housing as well as general needs tenants and leaseholders</li> </ul>	✓
					<ul style="list-style-type: none"> <li>informal consultation stage to seek feedback from tenants on support for proposals to be included within the offer before proceeding to the formal consultation stage</li> </ul>	✓
					<ul style="list-style-type: none"> <li>identify areas where there is most concern from feedback/comments and try to address these more fully</li> </ul>	✓ Visits July/Aug
					<ul style="list-style-type: none"> <li>invest more front line officer time in working with tenants to answer questions and provide more information on both housing transfer and retention options</li> </ul>	✓ Visits July/Aug
					<ul style="list-style-type: none"> <li>review consultation methods to ensure that all tenants are being reached and are engaged in the process</li> </ul>	✓ Visits July/Aug
15	Failure to secure funding for a new housing association landlord	<b>B4</b>	↑ (from B5)	SHi	<ul style="list-style-type: none"> <li>appoint suitably qualified and experienced Lead Consultant to advise on issues and areas that needs to be focussed on</li> </ul>	✓
					<ul style="list-style-type: none"> <li>appoint suitably qualified and experienced funding advisors</li> </ul>	✓
					<ul style="list-style-type: none"> <li>prepare an outline robust and deliverable business plan for the new landlord</li> </ul>	✓
					<ul style="list-style-type: none"> <li>ensure that financial implications of any 'offer' to tenants are deliverable within the business plan for the new landlord</li> </ul>	✓
					<ul style="list-style-type: none"> <li>use sensitivity testing to understand implications of any changes in assumptions or inputs</li> </ul>	✓
					<ul style="list-style-type: none"> <li>review stock condition survey data</li> </ul>	✓
					<ul style="list-style-type: none"> <li>investigate position on warranties at an early stage</li> </ul>	
08	Inaccurate or unbalanced media coverage	C3	→	GH	<ul style="list-style-type: none"> <li>regular press briefings/statements</li> </ul>	✓
					<ul style="list-style-type: none"> <li>proactively manage media relationships</li> </ul>	✓
					<ul style="list-style-type: none"> <li>develop, monitor and review a Communications Strategy</li> </ul>	✓
					<ul style="list-style-type: none"> <li>agree a communications protocol to enable timely and appropriate responses to the media</li> </ul>	✓
					<ul style="list-style-type: none"> <li>ensure adequate resources/skills/capacity to respond to media coverage/issues</li> </ul>	✓

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					<ul style="list-style-type: none"> <li>key Members to have a high profile with local media and be accessible in order to help manage communications generally</li> </ul>	✓
					<ul style="list-style-type: none"> <li>collective ownership of project by Cabinet</li> </ul>	✓
					<ul style="list-style-type: none"> <li>corporate commitment to project including regular articles/features in South Cambs News</li> </ul>	✓
17	Negative perceptions of housing associations by key stakeholders	C3	→	LIT/DL	<ul style="list-style-type: none"> <li>provide more information on housing associations</li> </ul>	
					<ul style="list-style-type: none"> <li>increase understanding of transfer housing associations versus traditional models and what they have been able to achieve</li> </ul>	✓
					<ul style="list-style-type: none"> <li>involve as many tenants as possible in the new landlord selection process</li> </ul>	✓
					<ul style="list-style-type: none"> <li>provide more information through newsletters, visits to and/or presentations by housing associations eg at tenant open days</li> </ul>	✓
					<ul style="list-style-type: none"> <li>clarify the options for the model of new housing association landlord</li> </ul>	✓
					<ul style="list-style-type: none"> <li>demonstrate what a new housing association could look like, who would run it and work for it and why it could do more than the council can in the future</li> </ul>	✓ Sept 08
					<ul style="list-style-type: none"> <li>raise awareness of membership of the Shadow Board and their backgrounds and expertise</li> </ul>	✓ Feb 09
					<ul style="list-style-type: none"> <li>Shadow Board members to attend consultation events to raise their profile and provide more information on SCVH</li> </ul>	✓
05	Lack of effective staff engagement and/or low staff morale	B5	→	HFPT	<ul style="list-style-type: none"> <li>invest time with staff to gain their understanding of the issues and potential benefits of a housing transfer from a service and personal perspective in terms of future role/career development</li> </ul>	✓
					<ul style="list-style-type: none"> <li>address future employment issues early on through involving/consulting staff and unions</li> </ul>	✓
					<ul style="list-style-type: none"> <li>discuss with individuals their concerns and aspirations and take these into account in organisational design of new housing association landlord</li> </ul>	✓

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					<ul style="list-style-type: none"> <li>provide advice and support to staff outside housing whose roles may be 'at risk' (there may be opportunities within a new housing association landlord over and above roles for transferring staff)</li> </ul>	✓
					<ul style="list-style-type: none"> <li>identify those staff/roles where TUPE will apply asap</li> </ul>	✓ July 08
					<ul style="list-style-type: none"> <li>involve staff in the selection of the prospective new landlord eg terms and conditions including occupational pension options</li> </ul>	✓
					<ul style="list-style-type: none"> <li>regular staff briefings</li> </ul>	✓
					<ul style="list-style-type: none"> <li>project manager to attend team meetings upon request</li> </ul>	✓
					<ul style="list-style-type: none"> <li>FAQs and bulletins</li> </ul>	✓
					<ul style="list-style-type: none"> <li>work with management of contracting organisations and their staff to ensure a consistent message to tenants eg City Services</li> </ul>	✓
					<ul style="list-style-type: none"> <li>develop a 'staff pledge' in consultation with staff that will make commitments around terms and conditions with SCVH</li> </ul>	✓ Mar 09
					<ul style="list-style-type: none"> <li>121's and appraisals to provide opportunities for discussion on the housing transfer proposal</li> </ul>	✓
					<ul style="list-style-type: none"> <li>consider an employment protocol as a demonstration of commitment to staff interests</li> </ul>	✓ Mar 09
12	Legal challenge	B5	→	DL	<ul style="list-style-type: none"> <li>attention to detail in meeting the legal and other requirements leading up to and after the ballot</li> </ul>	✓
					<ul style="list-style-type: none"> <li>share consultation material with the CLG and HC (as necessary)</li> </ul>	✓
					<ul style="list-style-type: none"> <li>learn from other housing transfers that have taken place in the locality/region</li> </ul>	✓
					<ul style="list-style-type: none"> <li>note outcomes from other legal challenges in order to learn any lessons</li> </ul>	✓
					<ul style="list-style-type: none"> <li>robust database management and information sharing procedures across the Council</li> </ul>	✓

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13	Failure to meet Housing Corporation registration requirements for a proposed new housing association landlord	B5	→	LIT	• ensure early engagement with the Housing Corporation in order to be aware of requirements/criteria	✓
					• allow adequate time to complete any requirements within project plan	✓
					• follow all relevant guidance	✓
					• appoint suitably qualified and experienced Lead Consultant to advise on process and issues	✓
					• appoint suitably qualified and experienced legal and funding advisors	✓
					• seek advice from Lead Consultant and Legal Advisor on local actions required to meet requirements	✓
					• seek out and learn from the experiences of others	✓
14	Change in Government policy: - direct investment in Council housing and/or - changes to the HRA subsidy system - new criteria for inclusion on housing transfer programmes	B5	→	DL	• keep abreast of latest developments in govt policy	✓ Ongoing
					• liaise with GO-east on a regular basis	✓ Meeting held on 3 <sup>rd</sup> July
					• liaise with CLG (HCA) on a regular basis	✓ Meeting held Feb 09
					• ensure a housing transfer will deliver in current and likely policy/legislative framework	✓
					• ensure that the preferred option will link to and contribute to delivery of key central govt agendas eg sustainable communities, LAAs	✓ Presentation to LSP Feb 09
					• model any potential changes to housing finance system to understand implications for retention scenario	✓ Report on Consultation Paper Feb 09
09	Failure to gain support from key stakeholders for the model of new	B5	→	DL	• address selection criteria, process and preferred model early on with involvement of tenants and staff as well as Members	✓
					• ensure that the Housing Corporation and CLG/GO-East are consulted	✓

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	landlord				<ul style="list-style-type: none"> <li>consider experience of other recent housing transfer local authorities in terms of options and likely levels of interest</li> <li>follow CLG best practice guidance on choosing a new landlord</li> <li>involve tenants, staff and Members in development of selection criteria and the design of a selection process</li> <li>incorporate site visits and open days in selection process</li> <li>invite views/comments from Independent Tenant Advisor on process</li> <li>seek advice from Lead Consultant on how process has worked elsewhere</li> <li>ensure the process captures the optimum future service benefits for tenants and other stakeholders</li> </ul>	✓
10	Failure to secure a place on the 2008 CLG housing transfer programme	B5	→	DL	<ul style="list-style-type: none"> <li>early and ongoing discussions/liaison with GO-East and CLG to identify requirements</li> <li>establish key criteria and actions required to meet these</li> <li>refer to and follow current guidance – Housing Transfer Manual 2005</li> <li>focus on deliverability aspects at earliest stage</li> <li>if necessary, revise project timelines to accommodate requirements</li> <li>build in some contingency planning for HRA revenue and capital estimates for future years from 2008/09 onwards</li> <li>explore new community gateway models to see if principles could be applied to any new housing association landlord created for South Cambs</li> </ul>	✓      Sept 08
16	Unable to sustain or improve levels of performance within affected service areas	D3	→	HFPT	<ul style="list-style-type: none"> <li>ensure service plans complement rather than conflict with the development of a housing transfer proposal</li> <li>Managers and their teams to review priorities and objectives for individuals as well as teams with regard to the work required to take forward the housing transfer proposal</li> <li>targets for PIs to be realistic given demands of Housing Futures project</li> </ul>	✓  ✓



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					<ul style="list-style-type: none"> <li>performance assessments to take into account impact of Housing Futures process</li> </ul>	✓
					<ul style="list-style-type: none"> <li>identify resource requirements to sustain current performance and consider overtime and/or backfilling posts during peak periods eg formal consultation stage</li> </ul>	✓
					<ul style="list-style-type: none"> <li>corporate recognition of competing demands on staff within housing and other affected services of the Housing Futures process</li> </ul>	✓
19	Loss of key staff and/or increased staff turnover	C5	↓ (from C4)	HSMT	<ul style="list-style-type: none"> <li>promote project as an opportunity</li> </ul>	✓
					<ul style="list-style-type: none"> <li>improve staff morale through valuing work and achievements</li> </ul>	✓
					<ul style="list-style-type: none"> <li>regular and effective communications with staff</li> </ul>	✓
					<ul style="list-style-type: none"> <li>encourage staff to discuss issues both individually and as teams</li> </ul>	✓
					<ul style="list-style-type: none"> <li>provide opportunities for as many people as possible to get involved with the project</li> </ul>	✓
					<ul style="list-style-type: none"> <li>encourage ideas and contributions from all staff</li> </ul>	✓
					<ul style="list-style-type: none"> <li>provide feedback on contributions and suggestions</li> </ul>	✓
					<ul style="list-style-type: none"> <li>develop and implement a change management plan</li> </ul>	✓
01	Project management arrangements are inadequate	C5	→	SMT	<ul style="list-style-type: none"> <li>identify senior non-TUPE officer to lead project from outset</li> </ul>	✓
					<ul style="list-style-type: none"> <li>provide adequate funding for the role and supporting project team</li> </ul>	✓
					<ul style="list-style-type: none"> <li>ensure appropriate level of seniority for the post-holder and clear reporting lines</li> </ul>	✓
					<ul style="list-style-type: none"> <li>identify and procure consultancy support at a very early stage</li> </ul>	✓
					<ul style="list-style-type: none"> <li>review project management structure to ensure it is 'fit for purpose'</li> </ul>	✓

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					<ul style="list-style-type: none"> <li>review membership and TOR for corporate project team and other groups within new project management structure</li> </ul>	✓
06	Lack of other stakeholder engagement and/or support for developing a housing transfer proposal	D5	→	HFMT	<ul style="list-style-type: none"> <li>regular briefings for the LSP and potentially also the LAA Board on the housing transfer proposal</li> </ul>	✓
					<ul style="list-style-type: none"> <li>improve understanding of the implications of a retention option</li> </ul>	✓
					<ul style="list-style-type: none"> <li>produce bulletins/FAQs that can be disseminated to staff within partner organisations</li> </ul>	✓
					<ul style="list-style-type: none"> <li>briefings for staff within partner organisations (particularly those in contact with tenants) eg Contact Centre, City Services</li> </ul>	✓
					<ul style="list-style-type: none"> <li>consult with Parish Councils as to how they wish to get involved/find out more</li> </ul>	✓
					<ul style="list-style-type: none"> <li>hold stakeholder forums to discuss issues with wider stakeholders including voluntary sector</li> </ul>	
					<ul style="list-style-type: none"> <li>invite independent representatives from the local community with relevant skills to come forward to become members of the Shadow Board</li> </ul>	✓ July 08
18	Conflicts of interest	D5	→	HFMT	<ul style="list-style-type: none"> <li>promote 'one team' approach</li> </ul>	✓
					<ul style="list-style-type: none"> <li>aims and objectives should be those that can be shared</li> </ul>	✓
					<ul style="list-style-type: none"> <li>no separation of council and new landlord roles pre ballot</li> </ul>	✓
					<ul style="list-style-type: none"> <li>project management structure to be flexible to enable a separation to be easily achieved at the appropriate stage in the project</li> </ul>	✓
					<ul style="list-style-type: none"> <li>project team to provide support for all work streams within the project</li> </ul>	✓
					<ul style="list-style-type: none"> <li>ensure the interests of both transferring and non-transferring staff are fully taken into account</li> </ul>	✓
					<ul style="list-style-type: none"> <li>ensure that the council's interests as well as those of new landlord are protected</li> </ul>	✓

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					<ul style="list-style-type: none"> <li>ensure that the new landlord is able to deliver on any promises made in the offer</li> </ul>	✓
					<ul style="list-style-type: none"> <li>consider early the terms of any contract and relationships that will need to exist between the council and new landlord post transfer</li> </ul>	✓ Mar 09
					<ul style="list-style-type: none"> <li>consider and agree a protocol to avoid or help minimise conflicts of interest</li> </ul>	✓ July 08

Notes:

1. Risks that are “greyed out” have been closed; all other risks remain open.
2. The dotted line shows the Council’s risk tolerance line.

<u>Impact</u>	<u>Likelihood</u>	<u>Direction of Travel</u>	
A Extreme	1 Almost certain	↓	Priority reduced from last review (bracket indicates previous priority)
B High	2 Likely	→	Priority equal to last review
C Medium	3 Possible	↑	Priority increased from last review (bracket indicates previous priority)
D Low	4 Unlikely		
	5 Seldom		
	6 Rare		