

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"> ensure project is well resourced from the outset with appropriate contingency arrangements to respond to inaccurate information 	✓
					<ul style="list-style-type: none"> refer to Advertising Standards Agency any material that is false and/or misleading 	
					<ul style="list-style-type: none"> review means of tenant engagement to ensure that the Council's balanced message is getting across 	✓
					<ul style="list-style-type: none"> respond immediately to inaccurate or misleading material ie in press or sent to tenants 	✓
					<ul style="list-style-type: none"> agree a communications protocol to enable timely and appropriate responses to inaccurate or misleading material 	✓
					<ul style="list-style-type: none"> learn from others who have experienced dissemination of inaccurate or misleading material and their responses/experiences 	✓
					<ul style="list-style-type: none"> provide consistent and factual messages at all times 	✓
					<ul style="list-style-type: none"> regular and ad hoc briefings with staff to advise on agreed response to inaccurate or misleading material 	✓
04	Lack of effective Member engagement	B3	→	SMT	<ul style="list-style-type: none"> involve and/or brief all members in a new landlord selection process 	✓
					<ul style="list-style-type: none"> include members on a new landlord selection panel 	✓
					<ul style="list-style-type: none"> set up shadow Board with Member representation 	✓
					<ul style="list-style-type: none"> organise member briefings/workshops 	✓
					<ul style="list-style-type: none"> individual meetings with Members to discuss issues 	✓
					<ul style="list-style-type: none"> regular info/updates provided through Weekly Bulletin 	✓
					<ul style="list-style-type: none"> proactively manage press coverage 	✓
					<ul style="list-style-type: none"> strong leadership to be provided from Leader of Council and Housing Futures PFH and SMT 	✓
					<ul style="list-style-type: none"> project to be given high corporate profile 	✓
					<ul style="list-style-type: none"> reports to Cabinet and Scrutiny at key stages in the process 	✓
<ul style="list-style-type: none"> if requested attend meetings of political groups 	✓					

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

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

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

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

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

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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 rd 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
• ensure that the Housing Corporation and CLG/GO-East are consulted	✓					

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

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

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

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