

Risk No.	Risk Description	Cause	Consequence	Date Risk Identified / Changed	Risk Owner	Risk Status	Likelihood (1 = High and 1 = Low)	Impact (1 = High and 1 = Low)	Current Evaluation	Risk Proximity (Immediate = 5, Medium Term = 3 and Long Term = 1)	Controls recommended	Further Planned or ongoing action	Remobilisation Planning action	Action Owner	Risk Highlighter
1 STATUTORY & COMPLIANCE															
1.1 HOMELESSNESS															
1.1.1	Increase in homeless presentations from breakdown of family units or need for self-isolation during period of lockdown	COVID 19 restrictions and self-isolation	Street homeless increase and failure of statutory duty	24.03.2020 25.08.2020	NB	Open	2	5	10	3	Maintain a staff rota to ensure resilience of staff team. Monitor updates from HMOs and options for centralised accommodation provision	Identification of staff with transferable skills and potential for training being considered	Staff returned to the Forum on a rota basis to comply with social distancing and COVID secure workplace measures	NB	30
1.1.2	No TA available in DBC stock	Increased demand from homeless presentations	Street homeless increase and failure of statutory duty	24.03.2020 25.08.2020	NB	Open	3	3	9	3	Use of hotels and B&B if necessary	Contact has been made with hotels to assess if they are available to take residents. NB co-chairing the Herts wide accommodation call so directly involved in assessing any County wide opportunities. Other staff who can be redeployed who have worked in the homeless or advice teams to be redeployed if possible. Ongoing redeployment where feasible and assessment of other staff.	Ongoing liaison with B&B accommodation and applied for grant funding through NSRF	NB	27
1.1.3	Insufficient staff available to work with homeless applicants due to self-isolation or localised lockdown	COVID 19 restrictions and self-isolation	Increased pressure on limited staff numbers	24.03.2020 25.08.2020	NB	Open	3	4	12	5	Use of rota, maintenance of details about staff and self-isolation. Identification of home location for staff	Other staff who can be redeployed who have worked in the homeless or advice teams to be redeployed if possible. Ongoing redeployment where feasible and assessment of other staff.	Working with HCC and IMT to identify the proximity and outcome of any local outbreak	NB	60
1.1.4	Ending of temporary suspension of possession proceedings or mortgage repossession	Coronavirus temporary legislative changes, economic shock from impact of COVID 19	Increase in evictions from private rented sector and homelessness from mortgage repossessions	25-Aug-20	NB	Open	3	4	12	3	Monitoring of the legislative changes, proactive engagement with the PRS landlords	Applied for Next Steps Accommodation program Grant funding to secure additional temporary accommodation		NB	36
1.2 SUPPORTED HOUSING															
1.2.1	Inability to provide necessary support to the sheltered housing tenants due to staff self-isolation	COVID 19 restrictions and self-isolation	Social isolation or deterioration in health resulting from long periods alone or without basic provisions	24.03.2020 25.08.2020	CJ	Open	2	5	10	5	Daily review of staffing levels and options to redeploy. Telephone calls replacing face-to-face contact to reduce the risk of spread	Ongoing review of the situation to make sure that there is sufficient resource to cover the service and consider redeployment of other staff	SHO's returned to face to face visits for those tenants who have requested support on 10.08.2020	CJ	50
1.2.2	Tenants in self-isolation becoming withdrawn or distressed	COVID 19 restrictions and self-isolation	Deteriorating physical and mental health	24.03.2020 25.08.2020	CJ	Open	3	4	12	3	Regular contact with tenants and set up of befriending service with volunteers to keep in regular contact	Ongoing review of volunteering offers and the use of the food hub	SHO's returned to face to face visits for those tenants who have requested support on 10.08.2020	CJ	36
1.2.3	Clusters of COVID cases in single schemes	COVID 19 restrictions and self-isolation	Potential for increased spread from use of communal facilities	24.03.2020 25.08.2020	CJ	Open	3	4	12	5	Closure of communal lounges, increased frequency of cleaning in communal corridors and laundry. SHO's making telephone rather than face to face contact	Ongoing monitoring of the status in each scheme on a daily basis and removal of cushions and other soft furnishings in break out areas in communal corridors to discourage source of contact	Continue to monitor government guidance and assess risks associated with the management of communal areas within schemes		60
1.3 PRIVATE RENTED SECTOR															
1.3.1	Increase in complaints from tenants in HMO's or other premises with shared facilities, concerns over infection risk or HHSRS hazards within the properties	COVID 19 restrictions and self-isolation	Concerns over the condition of properties and the Health and safety of residents in HMO's or other private sector properties	24.03.2020 25.08.2020	LH	Open	3	5	15	3	Telephone contact with tenants and use of photographs or video clips to assess the condition of properties whilst enforcement visits remain a high risk within HMO's	Identification of properties which will require inspection as soon as restrictions are relaxed to enable identification of properties requiring works or enforcement activity.	Recommence site visits and enforcement action with appropriate PPE and COVID risk assessments		45
1.3.2	Inability to make verification visits to confirm if works have been completed or licence conditions have been satisfied, resulting in some properties being unlicensed	COVID 19 restrictions and self-isolation	A number of properties will remain unlicensed during the lockdown and may require works to make them compliant.	24.03.2020 25.08.2020	LH	Open	2	4	8	3	Identification and management of licensing cases to ensure that inspections are carried out at the earliest opportunity.	Review of staffing levels to make sure that these are appropriate for an increased demand after the lockdown period.	Recommence site visits and enforcement action with appropriate PPE and COVID risk assessments		24
1.4 REPAIRS															
1.4.1	Inability to access properties due to self-isolation of symptomatic tenants	COVID 19 restrictions and self-isolation	Increased damage to property, potential H&S implications	24.03.2020 25.08.2020	JG	Open	3	4	12	5	Triage all works before any undertaken and check on the health of operatives	Ongoing daily review of issues or change in circumstances	Task and finish group set up to address the backlog of repairs in the system		60
1.4.2	Large backlog of work will need to have a priority system once works resume and agreed delivery dates	COVID 19 restrictions and self-isolation	Long delays in getting works completed and managing tenant expectations	24.03.2020 25.08.2020	AMOPSL	Open	5	4	20	3	OPSL and DBC to agree how this will be managed and staff communications to send to residents when restrictions lifted.		Task and finish group set up to address the backlog of repairs in the system		60
1.5 LEGIONELLA															
1.5.1	Inability to carry out pending flushing of central outlets, external hoses or descale shower heads	COVID 19 restrictions and self-isolation	Increased risk of legionella	24.03.2020 25.08.2020	RL	Open	3	4	12	5	Communication with residents to keep using their showers - continued flushing of central outlets and check any external hoses are disconnected where possible	Replacement shower heads to be sourced for switchover if necessary	Any outlets which have not been accessed for flushing, to be undertaken under controlled conditions and with use of face masks		60
1.6 FIRE SAFETY															
1.6.1	Clear Landings patrols suspended to all but high risk high rise blocks during lockdown	COVID 19 restrictions and self-isolation	Potential for build up of items on the landings and increased risk of fire or compromising the means of escape	24.03.2020 25.08.2020	AM	Open	3	4	12	3	Additional signage and phone calling to residents to advise them to observe the clear landing policy	Patrols suspended but under constant review on government advice	Recommencement of clear landings patrols and enforcement activity		36
1.6.2	Electrical testing to individual properties has been suspended	COVID 19 restrictions and self-isolation	Potential issues with overloading unauthorised alterations to electrical installations in properties with all family members staying at home.	24.03.2020 25.08.2020	RL	Open	3	5	15	5	Issue tenant guidance for staying safe in the home during period of lockdown	Ensure the database is updated and make contact with those tenants who have not allowed entry to date, so these can be arranged as soon as restrictions lifted	Electrical testing being programmed to complete the periodic tests.		75
1.7 ASBESTOS MANAGEMENT															
1.7.1	Only essential repairs to be carried out and follow survey procedure to establish if ACM's present.	COVID 19 restrictions and self-isolation	Potential for asbestos exposure incident, or prosecution from non-compliance	24.03.2020 25.08.2020	RL	Open	3	5	15	5	All requests to come through the in-house asbestos team	Various contractors have undertaken work historically and the information provided in differing formats and not collated onto a single database	Task and finish group set up to address the backlog of repairs in the system, including prioritising of any asbestos removals		75
1.8 GAS SERVICING															
1.8.1	Inability to access properties due to self-isolation and gas services going overdue	COVID 19 restrictions and self-isolation	Increased risks of CO release or other failure associated with gas appliances	24.03.2020 25.08.2020	RL	Open	3	4	12	5	Following gas safety controlled breaking and proactive recording of self-isolation cases and other failure associated with gas appliances working in separate room to tenants and additional cleaning and hand sanitising after each service.	Continue to proactively manage those tenants in 14 day self-quarantine and arrange new appointments. Self-referral to Regulator for social housing if compliance percentage continues not to improve	Access sites improving with lifting of restrictions, but plans in place to address any issues arising from a localised lockdown.		60
2 FINANCIAL															
2.1 GRANTS															
2.1.1	Evidence for cost reimbursement will require good record keeping needs to be robust to identify expenditure relating to the COVID 19 outbreak	COVID 19 restrictions and self-isolation	Inability to recover full costs incurred	24.03.2020 25.08.2020	FW	Open	3	3	9	5	Work with finance to agree how to maintain records	Process developed to collate information required to evidence costs	COVID costs continue to be logged, grants applied for where available, identification of impact is being monitored on an ongoing basis	FW	45
2.1.2	Expenditure higher than any reserves available and cash flow pressure	COVID 19 restrictions and self-isolation	Risk of s114 notice	24.03.2020 25.08.2020	FW	Open	5	5	25	1	Determine procedure for reimbursement of costs from HCC's rough sleeper and homeless fund	Ongoing engagement with other Herts HMO and MHLG	Reductions in expenditure have been identified to offset any reduced income or budget pressures resulting from COVID measures or reduced workability		25
2.2 PPN 20-20															
2.2.1	Development of contractors who go into administration during the period of shutdown	Rules on the management of PPN 20-20 allow for prepayment of work in advance up to 20% of the contract value.	Money paid out but work not completed	24.03.2020 25.08.2020	FW	Open	3	5	15	3	Work with finance to agree a methodology for assessing payment and ensure all evidence provided by contractors to support invoices	Dunn and Bradstreet reports on all contractors are being reviewed	Need to identify any delays in contractors remobilising and impact on contract extensions and claims	FW/FJ	45
2.3 RENT/INCOME															
2.3.1	Increase in tenants requiring benefits and processing times for LC	COVID 19 restrictions and self-isolation	Decrease in the rental income received in year and possible cash flow issues.	24.03.2020 25.08.2020	LW/SM	Open	3	5	15	3	Support from the income team to provide advice for claimants and how best to ensure they pay their rent as a priority and the impact of not so doing.	Continue to liaise with DWP/LC and housing benefits and the tenants to get them to set up a fixed monthly direct payment for rent	Ongoing support and advice being provided to tenants to assist with budgeting and payment of rent		45
2.3.2	Net rental income for the new build will now be achieved later in the year and have an impact on the projected income levels throughout the year	COVID 19 restrictions and self-isolation	Reduction in forecast income against budget	24.03.2020 25.08.2020	DB/LW/FW	Open	3	3	9	3	Monitoring the financial impact and profile of rental income across the year, to adjust output position accordingly				27
2.4 DEVELOPMENT															
2.4.1	Impact of localised outbreak or lockdown on workforce	COVID 19 restrictions and self-isolation	Reduced or no productivity on site	24.03.2020 25.08.2020	DB	Open	3	5	15	3	Early ordering to accommodate increased lead times for materials	Horizon scanning to assess which materials may be in short supply			45
2.4.2	Shortage of materials due to suspension in production during initial lockdown	COVID 19 restrictions and self-isolation	Impact on program and delay in completion and generation of rental income	24.03.2020 25.08.2020	DB	Open	2	4	8	3					24
3 LEGAL															
3.1 CONTRACTUAL DISPUTES															
3.1.1	Claims from contractors for frustration	COVID 19 restrictions and self-isolation	Costs and resource to defend cases	24.03.2020 25.08.2020	FW	Open	2	4	8	5	Use of PPN20-20 to work with contractors to assess what work is permitted under the lockdown restrictions using the partnering approach	Ongoing updates and regular meetings with contractors to enable issues to be identified prior to any work being undertaken			40
3.1.2	Disrepair claims or failure to comply with timescales for repairs	COVID 19 restrictions and self-isolation	Costs and resource to defend cases	24.03.2020 25.08.2020	FW	Open	3	3	9	5	Communications to tenants on-line and by social media so that expectations are managed in respect of what is being delivered during and after restrictions lifted	Agree a RCUV rating for those backlogged repairs so that the contractors are aware of the approach and can schedule accordingly	Backlog of repairs and need to remobilise supply chain - possible material shortages.		45
3.1.3	Performance Bonds becoming invalid	Market unable to support inflow of claims	Contractor insolvency, reprocurement costs will need to be covered by the authority	24.03.2020 25.08.2020	FW	Open	2	3	6	3	Check with contractors that Bond providers are covering COVID as an event	Ensure risk exposure minimised and identify options in case of contractor insolvency	Liaison with framework providers and local suppliers		18
4 STAFF MANAGEMENT & HEALTH & SAFETY															
4.1 STAFF															
4.1.1	Staff levels drop below levels to be able to deliver the statutory service functions due to self-isolation or childcare responsibilities	COVID 19 restrictions and self-isolation	Inability to deliver statutory functions and provide the necessary levels of support to vulnerable individuals	24.03.2020 25.08.2020	FW	Open	2	5	10	3	Staff skills and experience in other areas of the service has been reviewed for potential redeployment into other areas of the service if required.	Ongoing monitoring of staff levels at daily update meeting and use of agency staff to provide support for front line officers where appropriate	If run capacity 30% of staff, which provides some resilience in terms of risks associated with localised outbreaks and need to self-isolate. Re-opening of schools will reduce pressure on daily childcare responsibilities.		30
4.2 H&S - SAFEGUARDING															
4.2.1	Limited PPE available for front line services.	Lock down restrictions or insufficient supply available	Increased risk of infection for staff working in areas where there could be a risk of cross contamination	24.03.2020 25.08.2020	FW	Open	2	4	8	3	Provide details for centralised supply and distribution. Make sure staff aware of when PPE appropriate, so as not to stockpile reserves unnecessarily	Ongoing monitoring of appropriate use of PPE	Monitor use of PPE to ensure supplies available. Respond to any changes in government guidance in respect of face coverings or other measures		24
4.2.2	Staff unable to distance due to working patterns or space restrictions	COVID 19 restrictions and distancing	Failure to comply with government restrictions	24.03.2020 25.08.2020	FW	Open	2	5	10	5	All cleaning staff and surveying staff to travel to site individually and maintain social distancing whilst on site.	Ongoing monitoring of appropriate use of PPE			50
4.2.3	Vulnerable tenants not receiving appropriate food and medical supplies	COVID 19 restrictions and self-isolation due to high risk pre-existing medical conditions	Tenants requiring urgent medical supplies or food	24.03.2020 25.08.2020	LW/MP	Open	2	5	10	3	Identification of those tenants who have no support network and are self-isolating or shielded. Cross reference these with the HCC list	Identify improved ways of recording and collating information so that food parcels can be distributed to those most in need.	Face to face visits recommenced, so any welfare issues are being identified and interventions put in place		