

Risk Register Summary Table

| Risk Name   |                  | 31 Dec 2021           |                      | Status |   |
|---|------------------|-----------------------|----------------------|--------|---|
|   |                  | RM01 Risk Consequence | RM02 Risk Likelihood |        |   |
|   |                  | Actual                | Actual               | Actual | Update  |
| Failure of the Total Asset Management Contractor to deliver the five strategic objectives             | Fiona Williamson | 3                     | 2                    | 6.00   | Regular contract review through a matrix of operational, financial and strategic controls with early warning mechanisms and agreed actions to address any areas of poor performance. Monthly monitoring of key performance indicators to identify any trends which could impact achievement of the key strategic indicators. Review of contract against peer organizations at end of year 5 of the contract. Pressures within the construction sector have resulted in material and labour shortages. Price framework and approach to costs to ensure that statutory repairs and improvements continue to be delivered and provide value for money. Corporate working group established to monitor and provide additional resources where necessary. Apply additional controls and pressure to Osborne. |
| Failure to adopt a service specific best practice approach to Health and Safety                       | Fiona Williamson | 4                     | 1                    | 4.00   |   |
| Failure to closely monitor operational & financial factors affecting the HRA Business Plan            | Fiona Williamson | 2                     | 2                    | 4.00   |   |
| Failure to closely monitor operational and financial factors relating to the delivery of Homelessness | Fiona Williamson | 3                     | 3                    | 9.00   |   |
| Failure to Deliver the Council's New Build Programme  | Fiona Williamson | 4                     | 1                    | 4.00   |   |
| Failure to identify & manage Private Sector Landlords, House in Multiple Occupation & Empty Homes     | Fiona Williamson | 3                     | 2                    | 6.00   | Risk based method statements created for all work activities throughout the pandemic made in response to changing guidance or mandates during lockdowns<br>Agency staff employed to backfill seconded staff<br>Increased use of internal intelligence and notification from residents and Councilors to identify potential unlicensed HMO's   |
| Failure to identify the needs & risks of residents of sheltered housing & ensure appropriate support  | Fiona Williamson | 4                     | 1                    | 4.00   |   |
| Failure to recruit & retain appropriately skilled, experienced or professionally qualified staff      | Fiona Williamson | 4                     | 3                    | 12.00  |   |

Risk Register Details Table

| Risk Name  | Detail   | 31 Dec 2021 Status  |  |
|--|--|---|--|
| <p>Failure of the Total Asset Management Contractor to deliver the five strategic objectives</p> | Risk Owner   | Fiona Williamson  |  |
|  | Portfolio  | Housing   |  |
|  | Risk Description   | Failure of the Total Asset Management Contractor to deliver the five strategic objectives   |  |
|  | Comments   | <p>Regular contract review through a matrix of operational, financial and strategic core group meetings, with early warning mechanisms and agreed actions to address any areas of poor performance.</p> <p>Monthly monitoring of key performance indicators to identify any trends which could impact upon the achievement of the key strategic indicators.</p> <p>Review of contract against peer organizations at end of year 5 of the contract.</p> <p>Pressures within the construction sector have resulted in material and labour shortages - review of the price framework and approach to costs to ensure that statutory repairs and improvement works can continue to be delivered and provide value for money.</p> <p>Corporate working group established to monitor and provide additional resources and knowledge to apply additional controls and pressure to Osborne.</p> |  |
|  | Controls & Assurances  | <p>Regular contract review through a matrix of operational, financial and strategic core group meetings, with early warning mechanisms and agreed actions to address any areas of poor performance.</p> <p>Monthly monitoring of key performance indicators to identify any trends which could impact upon the achievement of the key strategic indicators.</p> <p>Review of contract against peer organizations at end of year 5 of the contract.</p> <p>Pressures within the construction sector have resulted in material and labour shortages - review of the price framework and approach to costs to ensure that statutory repairs and improvement works can continue to be delivered and provide value for money.</p> <p>Corporate working group established to monitor and provide additional resources and knowledge to apply additional controls and pressure to Osborne.</p> |  |
|  | Evidence Risk is being managed   | <p>Strategic Core Group Minutes</p> <p>Key Performance Indicators</p> <p>On-going scrutiny by the Property and Place surveyors</p> <p>Year five benchmark review</p> <p>Tenant and leaseholder feedback</p> <p>StarT transactional surveys being undertaken</p> <p>Corporate Working group established to provide additional resource and knowledge</p>   |  |
| Consequences / Impacts   | <p>Inability of the contractor to secure contract extensions and associated costs of managing the collation and interrogation of repairs data and stock condition information. Reputational issues in respect of the anticipated benefits to stakeholders not being realised. Operational consequences if the gas servicing and installation contract secures contract extensions due to the co-location of the operational teams. Additional costs and time to procure a new contract. Delays and reduced service to vulnerable residents</p> |   |  |

| Risk Name   | Detail   | 31 Dec 2021   |
|---|--|---|
|   |  | Status  |
| Failure to adopt a service specific best practice approach to Health and Safety | Risk Owner   | Fiona Williamson  |
|   | Portfolio  | Housing   |
|   | Risk Description   | Failure to adopt a service specific best practice approach to Health and Safety (Housing Landlord)  |
|   | Comments   |   |
|   | Controls & Assurances  | <p>Service specific H &amp; S procedures applied to sheltered housing service covering service users and staff eg. fire safety and lone working; clear landings policy and procedures; estate inspections schedule. Corporate H&amp;S policy under review. Ongoing training for staff in key areas.</p> <p>Directorate Health &amp; Safety Committee Quarterly at DMT.</p> <p>Standing Items on Team Meeting Agendas.</p> <p>Quarterly Housing Fire Safety Group attended by Fire Service and Fire Risk assessors.</p> <p>Information provided to tenants at sign up and through News and Views</p> <p>Risk based method statements created for all work activities throughout the pandemic and revisions made in response to changing guidance or mandates during lockdowns</p>                                |
|   | Evidence Risk is being managed   | <p>All Risk Assessments / Notes of meetings available for review.</p> <p>Audit scheduled for Q2 for Asbestos and Legionella.</p> <p>Reporting to Corporate H&amp;S committee and Housing senior management team</p> <p>Risks managed on Geometra database and dashboard reports generated</p> <p>Escalation of any no access that impacts on compliance in place and tenancy or enforcement action undertaken</p> <p>External consultants commissioned to provide additional expertise and resource to manage the compliance risks</p> <p>Lone worker devices issued to all staff with training on use</p> <p>Corporate H&amp;S provide input into workplace risks and oversee risk based method statements for work activities, including pandemic infection controls and additional measures as required.</p> |
| Consequences / Impacts  | <p>Death or injury to staff; residents or contractors' staff; reputation; litigation and charges of corporate manslaughter.</p> <p>Exposure to asbestos, risk of electrocution or fire, gas explosion or Carbon monoxide poisoning, risk of contracting legionnaires disease, construction related risk activities, workplace risks, lone working risks, mental health or well being risks. Infection control during the pandemic in respect of appropriate use of method statements and PPE where necessary or mandated</p> |   |

| Risk Name  | Detail  | 31 Dec 2021<br>Status   |
|--|---|---|
| Failure to closely monitor operational & financial factors affecting the HRA Business Plan | Risk Owner  | Fiona Williamson  |
|  | Portfolio   | Housing   |
|  | Risk Description  | Failure to closely monitor operational and financial factors affecting the delivery of the HRA Business Plan  |
|  | Comments  |   |
|  | Controls & Assurances   | <p>Regular and then formal end of year review of Business Plan in partnership with Finance. Any policy changes or govt announcements that may impact the plan or its assumptions are quickly analyzed and reflected into the Business Plan.</p> <p>This enables for long term financial viability to always be visible and if there are foreseen issues in certain years programmes can be altered as needed or issues taken to mitigate.</p> <p>Stock condition survey has been procured to update the stock information and improve the asset management data for investment programmes</p> <p>Full review of the business plan will be undertaken to model the CPI +1% increase.</p> |
|  | Evidence Risk is being managed  | <p>HRA Business Plan reviewed annually and all variable checked for changes and accuracy to reflect any changing market conditions or corporate priorities or legislative changes.</p> <p>Stock condition survey is being undertaken to update the information and provide a higher level of current investment requirements</p> <p>EPC - C target of 2030 and net carbon zero by 2050 modelled through energy savings trust data and costed in the Business plan</p> <p>Finance control the Business plan model with sector specific input from the Housing service professionals</p> <p>Signed off by Cabinet</p>   |
| Consequences / Impacts   | <p>Delivery of the Business Plan would not be achieved if income and financial control is not closely managed.</p> <p>Financial risks if 5% reserves not maintained in HRA.</p> |   |

| Risk Name   | Detail   | 31 Dec 2021  |
|---|--|--|
|   |  | Status   |
| Failure to closely monitor operational and financial factors relating to the delivery of Homelessness | Risk Owner   | Fiona Williamson   |
|   | Portfolio  | Housing  |
|   | Risk Description   | Failure to closely monitor operational and financial factors relating to the delivery of the Council's Homelessness Service  |
|   | Comments   |  |
|   | Controls & Assurances  | <p>Monthly financial monitoring with Group Manager and accountant, team leader monitors weekly B &amp; B spend, and monthly reporting of stats including numbers of cases seeking Housing Advice and presentations as homeless.</p> <p>Monitor impact of demand and the ending of the moratorium on evictions<br/>Secured RSAP grant funding to increase supply of move on accommodation.</p> <p>Consideration of continued use of some HRA properties</p> <p>Conclude refurbishments of vacant estates properties to provide a better range of property types for larger households.</p>  |
|   | Evidence Risk is being managed   | <p>Regular reports to HCOSC and Cabinet.</p> <p>Project commissioned to establish the strategic approach required to maximize the use of Council owned stock and to align this with the demand needs of homeless families. Additional evidence is required to establish the impact of the pandemic and the likely ongoing profile and volume of demand through homeless presentations.</p> <p>Grant funding obtained and being directed to homeless prevention and the creation of additional self contained units to supplement the existing supply of units.</p> <p>Performance monitored on a weekly basis and reported through in-phase on a monthly basis. Monthly finance meetings held to review the income and costs of provision.</p> |
| Consequences / Impacts  | <p>DBC Could be open to legal challenge if the service is not fit for purpose due to lack of resources for this statutory service. Health &amp; Safety risks for clients if not provided with TA and left to sleep rough. Increase in homeless presentations would have severe impact on budget.</p> <p>Failure to comply with any interim Government measures such as Everyone in or Protect could result in reputational damage and create difficulties accessing future funding streams</p> |  |

| Risk Name  |  | 31 Dec 2021  |  |
|--|--|--|--|
| Detail   |  | Status   |  |
| Failure to Deliver the Council's New Build Programme | Risk Owner   | Fiona Williamson   |  |
|  | Portfolio  | Housing  |  |
|  | Risk Description   | Failure to Deliver the Council's New Build Programme   |  |
|  | Comments   |  |  |
|  | Controls & Assurances  | <p>Monthly Financial meetings to monitor budgets, Fortnightly AD update, monthly project group, seconded team concentrating solely on development.</p> <p>This allows full debate on key issues and involves legal, finance, procurement at the early stages of any discussions.</p> <p>Pressure in the construction market on material and labour supplies could impact the timescale for delivery and increase costs.</p> <p>Delays with statutory consultees, especially the flood authority and HCC have incurred some delays in the planning process. We are working closely with these consultees to try and reduce any impact on the delivery timescales.</p> |  |
|  | Evidence Risk is being managed   | <p>All Schemes have project worksheets updated fortnightly</p> <p>All schemes are delivered with strong project management controls and oversight by the Place Director and Assistant Director of Finance.</p>   |  |
| Consequences / Impacts                               | Reputational and financial impact with public and Home England regarding grant allocations and due to the high profile of the project. |  |  |

| Risk Name   | Detail                         | 31 Dec 2021  |
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| Failure to identify & manage Private Sector Landlords, House in Multiple Occupation & Empty Homes | Risk Owner                     | Fiona Williamson   |
|   | Portfolio                      | Housing  |
|   | Risk Description               | Failure to identify & manage Private Sector Landlords, House in Multiple Occupation & Empty Homes  |
|   | Comments                       | Risk based method statements created for all work activities throughout the pandemic and revisions made in response to changing guidance or mandates during lockdowns<br>Agency staff employed to backfill seconded staff<br>Increased use of internal intelligence and notification from residents and Councillor's to identify potential unlicensed HMO's  |
|   | Controls & Assurances          | Additional resources employed to assist with the anticipated increase in workload following changes to the legislation.<br><br>Training for all staff in HHSRS and fire safety has been undertaken and updated to include Fitness for Human Habitation Act requirements.<br><br>New procedures have been developed to align with the changes in legislation.<br><br>Volumes to be monitored to assess the level of demand upon the service.<br><br>Working with other teams to capture all information relating to the possibility of unlicensed HMO's being operated and undertaking investigative work to address. |
|   | Evidence Risk is being managed | Team Leader oversees the workload of the PRS officers and escalates any cases where enforcement actions are required.<br>All reports of HMO's and PRS landlords that are reported to the Council are investigated to establish compliance with legislation including the Landlord and Tenant Act 1985 Homes (Fitness for Human Habitation) Act 2018 standards and that no HHSRS hazards exists in the properties.  |
|   | Consequences / Impacts         | Private sector tenants living in poor conditions that could be prejudicial to their health.<br><br>Reduction in projected income from licence fees and enforcement action.<br><br>Statutory function so reputational and financial risks for the Council.  |

| Risk Name  |   | 31 Dec 2021  |  |
|--|---|--|--|
| Detail   |   | Status   |  |
| Failure to identify the needs & risks of residents of sheltered housing & ensure appropriate support | Risk Owner  | Fiona Williamson   |  |
|  | Portfolio   | Housing  |  |
|  | Risk Description  | Failure to identify the needs and risks of residents living in sheltered housing and ensure that they have access to support appropriate to their needs  |  |
|  | Comments  |  |  |
|  | Controls & Assurances   | <p>Supported Housing Operational Procedures.</p> <p>Partnership working with other agencies.</p> <p>Effect use of INFORM – sheltered housing IT system. This allows for more robust record keeping and management of visits and support plans.</p> <p>Line management structure within supported housing including performance management structure (1:1s and appraisals).</p> |  |
|  | Evidence Risk is being managed  | <p>Supported Housing Officer Procedures and audits of these including EROSH accreditation</p> <p>Use of Inform software to record details of Supported Housing Officer visits</p> <p>Use of telephone visits during the pandemic</p> <p>monitoring of the performance of the community alarm contract performance</p>  |  |
| Consequences / Impacts   | Appropriate Support to individuals living in sheltered accommodation and if not given there is risk to health and wellbeing of some of our most vulnerable residents. |  |  |

| Risk Name  | Detail                         | 31 Dec 2021  |
|--|--------------------------------|--|
|  |                                | Status   |
| Failure to recruit & retain appropriately skilled, experienced or professionally qualified staff | Risk Owner                     | Fiona Williamson   |
|  | Portfolio                      | Housing  |
|  | Risk Description               | Failure to recruit and retain appropriately skilled, experienced or professionally qualified members of staff.   |
|  | Comments                       |  |
|  | Controls & Assurances          | <p>Identified all roles that have difficulties in terms of recruitment and retention by area to supplement the workforce planning review.</p> <p>Corporate project to improve the recruitment approach and graduate programme to supplement in house skills base</p> <p>Ongoing training for all staff in HHSRS and fire safety has been undertaken to supplement the knowledge and improve awareness.</p> <p>Use of Apprenticeship levy to support professional training and qualifications</p> <p>Upskilling managers with Coaching qualifications to enable them to provide additional support to members of their team and embed a coaching approach to assisting staff to develop additional workplace skills.</p> <p>Benchmark salaries with other employers to determine if a market supplement should be considered.</p> <p>Ensure cross training and knowledge transfer /shadowing of the single point of failure</p> |
|  | Evidence Risk is being managed | <p>Workforce planning considered as part of the overall service planning process and growth items submitted where additional skills or resourcing levels are required.</p> <p>Exit interview and recruitment monitored especially in technical roles, which are more difficult to attract and retain.</p> <p>Noted there is a single point of failure in respect of some of the technical ICT systems with a single individual trained and experienced in the use and development of Orchard the Housing management system</p>   |
|  | Consequences / Impacts         | <p>Reliance on external consultants and agency staff and the additional cost implications and pressure if the budgets.</p> <p>Risk of incorrect decisions being made by inadequately qualified or trained staff.</p> <p>Risk of legal action increase in disrepair claims, Environmental Protection Act claims or personal injury claims.</p> <p>Any issues arising as a result of Statutory functions, risk of prosecution and the associated reputational and financial risks for the Council.</p>   |