

# OPERATIONAL RISK REGISTER

March 2016



Housing Landlord - Elliott Brooks					
HL_F01 Failure to closely monitor operational and financial factors affecting the delivery of the HRA Business Plan					
Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Financial			Elliott Brooks	Cllr Margaret Griffiths	Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	2 Medium	2 Green
Consequences		Current Controls		Assurance	
Delivery of the Business Plan would not be achieved if income and financial control is not closely managed		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 analysed and reflected into the Business Plan  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		HRA Business Plan  Signed off by Cabinet	
Sign Off and Comments					
Sign Off Complete					

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HL_F02 Failure to closely monitor operational and financial factors relating to the delivery of the Council's Homelessness Service					
<b>Category:</b> Financial	<b>Corporate Priority:</b> Affordable Housing		<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
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 & Safety risks for clients if not provided with TA and left to sleep rough. Increase in homeless presentations would have severe impact on budget.		Monthly financial monitoring with Group Manager and accountant, team leader monitors weekly B & B spend, and monthly reporting of stats including numbers of cases seeking Housing Advice and presentations as homeless.		Full Strategy Review to take place in 2016 and Peer Review	
<b>Sign Off and Comments</b>					
Sign Off Complete					

Failure of the Total Asset Management Contractor to deliver the five strategic objectives					
<b>Category:</b> Financial	<b>Corporate Priority:</b> Affordable Housing		<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Transferring
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Inability of the contractor to secure contract extensions		Regular contract review through a matrix of operational,		Strategic Core Group Minutes	

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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.	financial and strategic core group meetings, 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 upon the achievement of the key strategic indicators.	Key Performance Indicators
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**Sign Off and Comments**

Sign Off Complete

**HL\_I03 Failure to adopt a service specific best practice approach to Health and Safety (Housing Landlord**

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Safe and Clean Environment		<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
Death or injury to staff; residents or contractors' staff; reputation; litigation and charges of corporate manslaughter.		Service specific H & 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&S policy under review. Ongoing training for staff in key areas. Directorate Health & Safty Committee Quarterly at DMT Standing Items on Team Meeting Agendas		All Risk Assessments / Notes of meetings available for review	

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Quarterly Housing Fire Safety Group attended by Fire Service
<b>Sign Off and Comments</b>
Sign Off Complete

**HL\_R01 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**

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Affordable Housing	<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	1 Very Unlikely	4 Severe	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
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		Supported Housing Operational Procedures.  Partnership working with other agencies.  Effect use of SPRINT – sheltered housing IT system. This allows for more robust record keeping and management of visits and support plans  Line management structure within supported housing including performance management structure (1:1s and appraisals).		Supported Housing Officer Procedures	

**Sign Off and Comments**

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Sign Off Complete

## HL\_R03 Failure to Deliver the Council's New Build Programme

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Affordable Housing	<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
Reputational and financial impact with public and HCA regarding grant allocations and due to the high profile of the project		Monthly Financial meetings to monitor budgets, Fortnightly AD update, monthly project group, seconded team concentrating solely on development.  This allows full debate on key issues and involves legal, finance, procurement at the early stages of any discussions		All Schmes have project worksheets updated fortnightly	

### Sign Off and Comments

Sign Off Complete