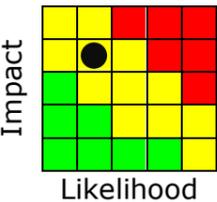
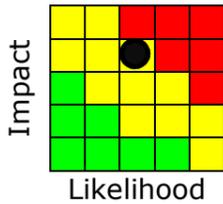


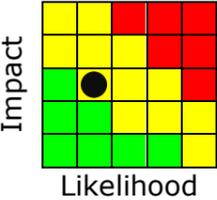
Housing & Property Services Risk Register

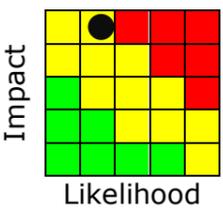
Updated: November 2016

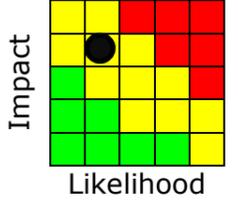
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<b>Housing &amp; Property Services - Generic Risks (all teams)</b>								
1. Inadequate staffing resources	<p>Inability to recruit/retain staff</p> <p>Uncompetitive salaries, terms and conditions</p> <p>Poor working environment</p> <p>Unsafe working practices</p> <p>Poor management of staff</p> <p>Increasing sickness levels</p> <p>Heavy workloads</p> <p>Low morale</p> <p>Accidents</p>	<p>Failure to meet statutory obligations</p> <p>Inability to provide services at normal levels</p> <p>Pressure on remaining staff leading to deterioration in staff morale</p> <p>Complaints/Legal action/strike action</p> <p>Additional costs to employ temporary staff</p> <p>Reputational damage</p> <p>Death or ill health</p>	<p>Terms &amp; conditions review</p> <p>The Service Area Crisis Plan has been updated to ensure sufficient plans are in place to maintain service in the event of significant loss of staff or systems</p> <p>Mobile (home) working practices in place</p> <p>Proactive assessment of upcoming events including reviewing Weather warnings sent by Community Protection and putting in place appropriate mitigations</p>	<p>HPMT (Ken Bruno, Russell Marsden, Simon Brooke plus Head of Housing and in their absence DCE (BH))</p>	<p>1.1 HPMT to feed into corporate review.</p> <p>1.2 HPMT to investigate the opportunity for implementing further mobile working arrangements so that we have a more flexible workforce and working arrangements</p> <p>1.3 HPMT to ensure all appraisals have been completed</p> <p>1.4 To investigate the opportunity for implementing further mobile working arrangements so that we have a more flexible workforce and working arrangements</p> <p>1.5 Ensure that home workers are adequately managed.</p>	Staff Time	March 2017	<p>Impact</p> <p>Likelihood</p>

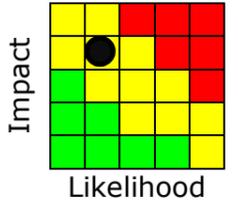
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
2. Insufficient financial resources to sustain the services (HRA and General Fund)	<p>Unexpected cuts in sources of finance</p> <p>Major uninsured or uninsurable incident</p> <p>Poor budget management</p> <p>Increasing costs</p> <p>Significant variances in the assumptions that underpin the Business Plan</p> <p>Housing association Right-to-Buy levy</p> <p>Mandatory rent reduction 2016 – 2020</p> <p>Changes to government regulations and legislation</p>	<p>Reduction in staffing levels</p> <p>Low morale among staff</p> <p>Inability to deliver services</p> <p>Increased complaints</p> <p>Reputational damage</p> <p>Reduction in Services</p> <p>Reduction in the delivery of new homes</p> <p>Inability to make capital repayments</p>	<p>Regular budget monitoring and early warning systems for any unexpected major expense or drop in income.</p> <p>Early contact with insurance Officer.</p> <p>Regular review of business plan performance which is reported to Finance and Audit Scrutiny Committee bi-annually</p> <p>Business Plan is updated annually and reported to Executive for approval</p> <p>All significant decisions are evaluated and impact on the business plan is considered</p> <p>Business Plan has its own risk register which is annually reviewed along with the Business Plan.</p> <p>Housing Futures project reviewing the HRA Business Plan</p> <p>Keep abreast of policy developments and changes in Government.</p> <p>Any change in the law would affect all stock-owning councils and in this case we would have collective bargaining power.</p>	HPMT	<p>2.1 Update the stock condition information to make sure that the business plan is based on robust data and future liabilities are fully understood</p> <p>2.2 Re-profile HRA Business Plan</p> <p>2.3 Introduce active Asset management Policy to generate income and reduce property-based liabilities</p>			 <p>Impact</p> <p>Likelihood</p>

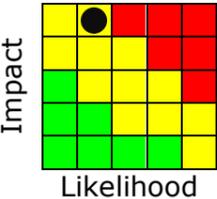
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
3. Failure to:- Respond to new legislation. Comply with new/existing legislation Take into account legal implications of decisions	Lack of adequate training or failure to comply with policies & procedures  Lack of appropriate performance management  Low staff morale  Inadequate supervision and management procedures  Fraud & corruption by staff, contractors or tenants (e.g. tampering with electric supply/meter)  Staff shortages	Failure to deliver statutory and contractual obligations  Deterioration in service delivery  Increase in number of complaints/compensation/negligence/liability/claims resulting in financial cost and/or reputational damage to Council  Poor service performance against PAP&SAP measures  Deterioration in staff morale  Not legally compliant  Breach of Data Protection Act	Effective supervision and management controls in place including; one to ones, team meetings, appraisals, training, recruitment & selection, capability etc.  New performance management framework is being developed and implemented and brought into use in April 2015  Corporate audit programme in place and service specific management audits in place  ELearning system in place and Promotion of corporate policies, including; Anti-Fraud & Corruption Strategy, Bribery Act 201, Internal Audit guidance notes, Whistleblowing Policy, Money laundering Policy, Employee Code of Conduct  Compliance with Code of Financial Practice & Authorisation limits supported by system based controls  Separation of duties and declarations of interests  Effective budgetary control  Electronic devices have integrated security systems so that systems cannot be accessed if they are stolen	HPMT	3.1 Complete a review of all policies to ensure that they are up to date, relevant and compliant and put in place a programme for updating and reviewing on a regular basis.  3.2 Assess the need for specific procedures to back up policies and prepare these as necessary.  3.3 Commission department wide document management system and processes to include recommendations for managing documents and implementation support.	Staff time  Staff time  Staff time	September 2017  To follow the above.  March 2017	 <p>Impact</p> <p>Likelihood</p>

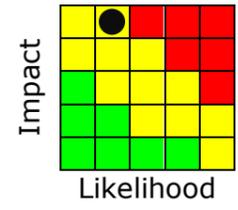
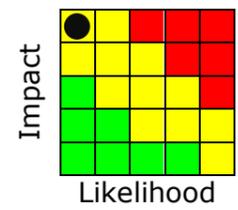
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
4. Loss of IT	<p>Failure of WDC system or support, Power failure, System problems, including hacking/ cyber security threats &amp; cyber crime</p> <p>Major incident at Riverside House</p>	<p>Failure to meet statutory obligations</p> <p>Inability to provide services at normal levels which could include an effect upon home working</p> <p>Pressure on staff leading to deterioration in staff morale</p> <p>Legal action</p> <p>Reputational damage</p>	The Service Area Crisis Plan has been updated to ensure sufficient plans are in place to maintain service in the event of significant loss of staff or systems	HPMT	4.1 Teams to document procedures for all critical tasks	Staff Time	March 2017	 <p>Impact</p> <p>Likelihood</p>

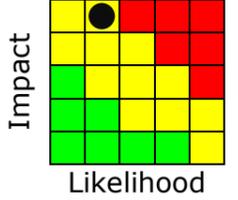
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
5. Accidents /health and safety of staff	Lone working Potential violent customers Hazardous premises Bad weather Heavy workloads Tiredness Driving Inadequate/faulty equipment	Death or ill health Increase in sickness absence Loss of confidence Deterioration in staff morale Increase in compensation claims from staff Reputational damage Impact on service delivery	Operate Staff Alert List Partnership links with MAPPA, Police and Social Services Issue of mobile phones to staff working out of the office Bespoke assessment of safe working practices where required Joint Consultative Group (management and unions) Accident/incident reporting and investigation DSE assessments WDC Health & Safety Advisor has reviewed the operation of the Tunstall Lone Worker system on our recommendation & reliability has improved as a result Corporate health & safety policy& risk assessments Adequate equipment including PPE COSSH, safe systems at work and permits to work compliance	HPMT	5.1 All HPMT managers to carry out lone worker risk assessments for their lone workers 5.2 All HPMT managers need to ensure that all lone workers are signed up and on the system. 5.3 Carry out a full Departmental review, section by section, to understand risks	Staff Time Staff Time Staff Time	31 <sup>st</sup> March 2017 31 <sup>st</sup> March 2017 31 <sup>st</sup> March 2017	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
6. Accidents /health and safety of contractors	<p>Not complying with procurement requirements</p> <p>Lack of appropriate performance &amp; contract management</p> <p>Inadequate risk management</p> <p>Poor communication with contractors</p>	<p>Injury/death</p> <p>Contractors refusing to work</p> <p>Increase in number of complaints/ compensation/ negligence/liability/ claims</p> <p>Damage to buildings</p> <p>Failure to deliver statutory and contractual obligations</p> <p>Deterioration in service delivery</p> <p>Poor service performance against Priority Action Plan (PAP) &amp; Service Area Plan (SAP) measures</p> <p>Deterioration in staff morale</p>	<p>Effective procurement and contract management procedures in place including regular contractor meetings</p> <p>Materials and installations are specified to meet relevant standards</p> <p>Monitoring of workmanship by WDC Clerk of Works, Surveyors &amp; Property Maintenance Officers</p>	HPMT	<p>6.1 Update stock condition information</p> <p>6.2 Review of Repairs and Maintenance contracts</p>	<p>Staff time</p> <p>Staff Time</p>	<p>December 2017</p> <p>March 2017</p>	 <p>Impact</p> <p>Likelihood</p>

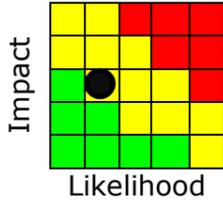
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
7. Failure of contractor to deliver service	<p>Lack of appropriate performance &amp; contract management</p> <p>Inadequate procurement</p> <p>Contractor dissatisfaction with client</p>	<p>Increase in number of complaints/compensation/negligence/liability/claims</p> <p>Damage to buildings</p> <p>Failure to deliver statutory and contractual obligations</p> <p>Deterioration in service delivery</p> <p>Poor service performance against Priority Action Plan (PAP) &amp; Service Area Plan (SAP) measures</p> <p>Deterioration in staff morale</p>	<p>Effective procurement and contract management procedures in place including regular contractor meetings</p> <p>Materials and installations are specified to meet relevant standards</p> <p>Monitoring of workmanship by WDC Clerk of Works, Surveyors &amp; Property Maintenance Officers</p>	HPMT	7.1 Review of Repairs and Maintenance contracts (see also Corporate Risk Register)	Staff time	March 2017	 <p>Impact</p> <p>Likelihood</p>

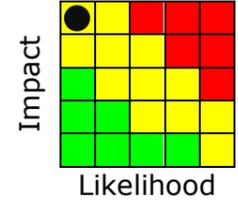
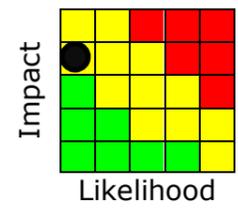
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<b>Housing &amp; Property Services Specific Risks-Asset Management</b>								
8. Poor asbestos management practices	<p>Failure to survey, monitor or manage asbestos containing materials in accordance with CAR 2012</p> <p>Untrained contractors</p> <p>Contractor fails to check the register</p> <p>Tenants not informed about asbestos</p>	<p>Loss of confidence and reputational damage</p> <p>Improvement notices</p> <p>Prohibition notices</p> <p>Fines, compensation and imprisonment</p> <p>Exposure of staff, tenants and third parties to asbestos containing materials</p> <p>Ill health and/or death</p>	<p>Asbestos Management Plan reviewed and in place</p> <p>Asbestos survey and re-inspection programme</p> <p>Asbestos removal programme</p> <p>Asbestos register is maintained and is shared with staff &amp; contractors</p> <p>Survey recommendations are followed up and executed where reasonably practicable</p> <p>Staff and contractor asbestos awareness training</p> <p>Training log maintained</p> <p>Regular asbestos information articles in tenants newsletters</p> <p>Asbestos awareness is a standard agenda item on both contractor &amp; team meeting agendas</p> <p>Regular meetings held with asbestos contractors</p> <p>Regular asbestos management meetings held with key H &amp; PS staff</p> <p>Appropriate contracts in place for the survey, management and removal of asbestos</p> <p>Appropriate staff in place to manage council processes and contractor performance</p>	Russell Marsden	<p>8.1 Asbestos awareness training to be provided for all relevant H &amp; PS staff</p> <p>8.2 Monitor training of staff and contractors to ensure it remains current and that it is cascaded down to, for example, sub-contractors</p>	<p>Staff time</p> <p>Staff time</p>	<p>On-going</p> <p>On-going</p>	 <p>Impact</p> <p>Likelihood</p>

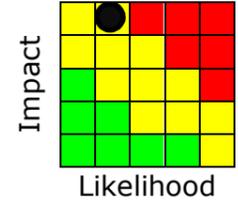
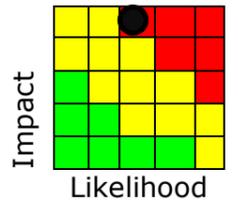
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
9. Inadequate gas appliance maintenance & certification	Failure to carry out repairs or annual servicing due to inability to gain access to properties or lack of knowledge about the existence of a gas supply	Loss of confidence and reputational damage Improvement notices Prohibition notices Fines, compensation and imprisonment Ill health and/or death Damage to property	Gas servicing programme in place Monthly review of programme progress and performance Robust process for gaining access to properties enforceable by Law Installation of gas restrictors at known properties subject to boiler type Appropriate contracts in place for gas servicing Appropriate staff in place to manage council processes and contractor performance Certification stored in MIS database	Tanya dawson	9.1 On-going monthly monitoring of gas servicing programme and progress  9.2 Gas awareness training sessions to be provided for all appropriate staff (these can be provided as & when needed i.e. for new starters)  9.3 Review & improve existing policy & procedures in relation to gas	Staff time  Staff time  Staff time	On-going  On-going  March 2017	 Impact Likelihood
10. Inadequate electrical testing of housing assets & corporate assets in accordance with industry best practice & council policy	Failure to undertake electrical tests due to no access Poor management and lack of expertise Failure of existing systems due to lack of regular inspection or testing	Loss of confidence and reputational damage Improvement notices Prohibition notices Fines, compensation and imprisonment Ill health and/or death Damage to property	Electrical Safety testing programme in place. Monthly review of programme progress and performance Electronic copies of ECRs stored on asset database	Tanya Dawson	10.1 Ensure all "no access" properties have an ECR in place  10.2 Review & update existing policy & procedures in respect of electrical testing	Staff time  Staff time	March 2017  March 2017	 Impact Likelihood

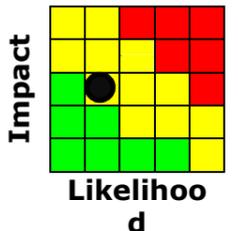
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
11. Service not compliant with Legionella procedure	Failure to maintain testing regime to all relevant properties	Loss of confidence and reputational damage Improvement notices Prohibition notices Fines, compensation and imprisonment Ill health and/or death	Legionella Awareness Group Legionella Management Policy & procedures Legionella testing programme in place Monthly review of programme progress and performance Training of premises managers of the actively managed sites in the weekly flushing of outlets & monthly temperature testing All high risk WDC buildings have schematic drawings to show possible Legionella risk areas Insurance in place	Mark Perkins	11.1 Review & update the Legionella Management Policy 11.2 Ensure that all WDC buildings have schematic drawings to show possible Legionella risk areas 11.3 Maintain training records for relevant H&PS staff 11.4 Ensure adequate records of statutory tests are maintained 11.5 Develop legionella element of MIS database and transfer testing records to MIS.	Staff time Staff time Staff time Staff time Staff time/ICT	March 2017 March 2017 On-going On-going March 2017	 <p>Impact</p> <p>Likelihood</p>

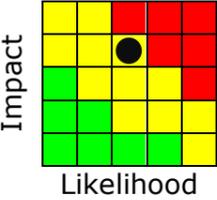
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
12. Risk of widespread fire in blocks of flats or corporate assets	<p>Fire in a communal area of a block of flats or individual flat which spreads to other parts of the building</p> <p>Damage by fire to a corporate property</p> <p>General acts or omissions by anyone</p> <p>Accidental or deliberate ignition of a fuel</p> <p>Electrical fault</p> <p>Gas explosion</p>	<p>Loss of confidence and reputational damage</p> <p>Improvement notices</p> <p>Prohibition notices</p> <p>Fines, compensation and imprisonment</p> <p>Ill health and/or death</p> <p>Damage to property</p> <p>Effect on staff</p> <p>Need to rehouse occupiers</p>	<p>Compliant services testing programmes (gas, electric, biomass, fire detection and fire fighting equipment)</p> <p>Fire risk assessment programmes</p> <p>Procedure for the inspection and removal of stored items from communal areas</p> <p>Tenants Newsletter articles advising of fire safety measures</p> <p>Procedure for leaseholder fire doors</p> <p>Compliance Register in place</p> <p>All repairs recommended in FRAs have been carried out</p>	Russell Marsden	<p>12.1 Continue to operate services testing programmes</p> <p>12.2 Automate FRA process in MIS including letters to tenants &amp; leaseholders</p>	<p>Staff time</p> <p>Staff time</p>	<p>Ongoing</p> <p>March 2017</p>	<p>Impact</p> <p>Likelihood</p>

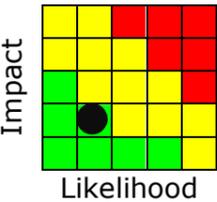
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
13. Housing and/or corporate building fabric falls into disrepair	<p>Unapproved tenant alterations</p> <p>Anti-social behaviour and vandalism</p> <p>Lifestyle</p> <p>Tenants choosing not to report repairs or refusing access</p> <p>Unlawful occupation</p> <p>Poor quality work and/or materials</p> <p>Repairs not undertaken on a timely basis</p> <p>Lack of resources</p> <p>Staff/management failure</p> <p>Repairs incorrectly identified &amp; allocated at point of report</p> <p>Inadequate levels of inspections</p>	<p>Loss of confidence and reputational damage</p> <p>Improvement notices</p> <p>Prohibition notices</p> <p>Fines, compensation and imprisonment</p> <p>Ill health and/or death</p> <p>Damage and deterioration to property</p> <p>Weakening of legal position for lease covenants</p> <p>Increased reactive repairs and reinstatement costs</p> <p>Loss of income</p> <p>Budget overspends</p> <p>Damage to adjoining properties</p>	<p>Maintenance and improvement works programmes the Council's operational Housing &amp; Corporate Property portfolio</p> <p>Accurate and properly maintained stock condition information</p> <p>Cyclical survey programmes</p> <p>Monthly inspections of operational corporate assets</p> <p>Clear escalation process to be available for Building Managers and tenants</p> <p>Performance management framework</p> <p>Awareness articles in home news</p> <p>Learning from complaints &amp; complaints monitoring</p> <p>Tenancy Agreement &amp; Tenants Handbook</p> <p>Adequate repair and maintenance covenants in corporate leases</p> <p>Regular inspections &amp; post inspections carried out by Housing &amp; Property Services teams &amp; by other teams outside the Service</p> <p>Sitexing properties</p> <p>Contract monitoring arrangements in place</p>	Russell Marsden	<p>13.1 Develop robust asset management database</p> <p>13.2 Complete 100% HRA stock condition survey</p> <p>13.3 Maintain and develop corporate property stock condition information</p> <p>13.4 Continue to monitor performance of maintenance and improvements works contracts</p>	<p>Staff time</p> <p>Staff time</p> <p>Staff time</p> <p>Staff time</p>	<p>March 2017</p> <p>September 2017</p> <p>On-going</p> <p>On-going</p>	

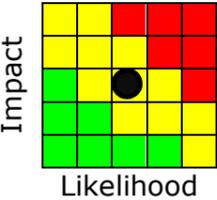
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
14. Deterioration of external areas – paths, greens trees	Failure to maintain Lack of awareness of ownership Vandalism Flytipping	Injury to members of the public Damage to buildings including subsidence due to trees  Damage to vehicles  Complaints/legal action/Compensation claims	All staff who regularly visit estates to inspect for problems	James Baker	14.1 Ensure Tenancy Officer visits cover communal areas	Staff time	March 2017	
15. Failure to maintain rural street and footway lighting	Anti-social behaviour i.e. tapping into street lighting electrical supply  Inefficient inspection regime	Death or ill health Unstable and dangerous footway lighting  Insurance claims & complaints  Reputational damage & loss of confidence  Fines and prosecution	Programme of EICR and periodical visual inspections in place  Responsive repairs service  Location of rural street lighting available on the GIS mapping system	Mark Perkins	15.1 Continue inspection programme	Staff time	On-going	
16. Failure to maintain existing or replace missing street nameplates	Supplier failure & delay due to a shortage of manufacturers  Unreported damage or removal	Death or ill health due to emergency services being unable to or delayed in locating address  Failure to meet the Statutory Duty  Injury to member of the public	Staff vigilance and communication	Neil Bridges	16.1 Continue to operate street nameplate replacement service	Staff time	On-going	

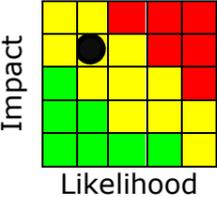
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<b>Housing &amp; Property Services Specific Risks-Sustaining Tenancies</b>								
17. Unable to respond to emergency calls from Lifeline users	IT system failure  Communications failure  Power Failure  Loss of Control Centre  Corporate recruitment and retention policies adversely affecting 24 hour services  Corporate standby policy	Death or ill health  Reputational damage  Litigation	Business Continuity arrangements with Tunstall  Corporate SLA with ICT  Business resilience reviews in respect of lifeline as part of TSA accreditation	Zoe Court	17.1 Continuously review call performance against targets	Staff time	On-going	
18. Failure of fire alarm system at sheltered schemes, sensors failing to detect fire. Or delay in detection of a fire	Failure of fire alarm system due age  Systems that are out of date and not repairable	Injury or death  Damage to property  Lack of confidence and reputation.	Compliant service testing programs, checks carried out weekly and quarterly  Where there is a technical problem with the system, then it is either repaired urgently, and /or temporary battery alarms are installed.  If the sensor does send a call to the Lifeline Monitoring Centre, and no staff are at the scheme, then 2 response officers will be sent to the scheme, and the appropriate emergency services will be summoned.  Replacement programme underway  Clear procedures and staff training	James Baker	18.1 Monitor performance of contract  18.2 Ensure any follow up works from inspections are carried out in a timely manner  18.3 Ensure sufficient Lifeline staff on duty to cover such eventualities, staff to be employed to cover standby rota	Staff time  Staff time  Staff time	Ongoing  Ongoing  Ongoing	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
19. Significant non-payment of rent leading to high rent arrears	<p>Ongoing welfare reform ( including Universal Credit)</p> <p>Ongoing economic uncertainty</p> <p>Supporting People Budget Cuts to floating support as a result of ongoing austerity measures.</p> <p>Pay-to-Stay</p> <p>LHA Caps for Social Housing</p> <p>Tenants withholding rent</p>	<p>Reduced rental income</p> <p>Increase in homelessness</p> <p>Reduced services</p> <p>Business plan revisions</p> <p>Negative publicity &amp; criticism from Members</p> <p>Reputational damage</p>	<p>Clear and effective rent arrears recovery procedures</p> <p>Financial inclusion strategy</p> <p>Financial inclusion initiatives</p> <p>Additional staff Resources</p> <p>Vulnerable groups identified and offered support</p> <p>Staff training</p> <p>Increase tenant awareness</p> <p>Closer working with other departments – especially Health and Community Protection</p> <p>Ensure money advice services in the district are fit for purpose</p> <p>Work in partnership with other Registered Providers to deliver local and national financially inclusive initiatives</p> <p>Financial risk assessments for new tenants</p> <p>Increase tenant access to Direct Debit</p>	John Gallagher	<p>19.1 Raise opportunities of financial inclusion initiatives within other council departments</p> <p>19.2 work with partners to explore the benefits of collaborative working such as The Breathing Space</p> <p>19.3 Explore the potential of local and national affordable credit initiatives such as the Rental Exchange and Credit Unions</p> <p>19.4 Undertake analysis to identify future risks as a result of ongoing austerity measures on the “working poor”</p>	<p>Staff time</p> <p>Budget</p> <p>Staff time</p> <p>Staff time</p>	<p>ongoing</p> <p>Ongoing</p> <p>March 2017</p> <p>March 2017</p>	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
20. Inadequate management of accommodating dangerous customers in the community-subject to Multi Agency Public Protection Arrangement (MAPPA) level 2 & 3 or Prolific and Priority Offender (PPO)	<p>Lack of adequate policies and procedures</p> <p>Inexperienced staff or staff not knowing triggers &amp; procedures</p> <p>Lack of partnership working and information sharing</p> <p>WDC not being aware that a customer is subject to MAPPA level 2 or PPO level 3</p> <p>WDC Staff not regularly attending MAPPA &amp; PPO meetings</p>	<p>Risk of harm to members of the public and WDC employees</p> <p>Potential impact on community cohesion</p> <p>Negative press coverage</p> <p>Failure to safeguard vulnerable adults</p> <p>Reputational damage</p> <p>Litigation</p> <p>Ineffective partnership working</p>	<p>County-wide protocol for safeguarding vulnerable adults. (Currently working jointly with other Housing Districts, Boroughs and WCC )</p> <p>Involvement with other agencies to manage risk &amp; regular attendance at MAPPA &amp; PPO Meetings</p> <p>MAPPA &amp; PPO flags on Active H</p> <p>Staff Alert List database</p> <p>Training on safeguarding adults</p>	HPMT	<p>20.1 To develop an internal procedure for accepting and allocating MAPPA and PPO customers, including a risk management plan template</p> <p>20.2 Develop an information sharing protocol for all interested parties</p>	<p>Staff Time</p> <p>Staff Time</p>	<p>March 2017</p> <p>March 2017</p>	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
21. Failure to understand and react to customer/client contributions	<p>Lack of staff support from the Service to facilitate involvement</p> <p>Not delivering the expectations of our customers</p> <p>Lack of interest by residents</p>	<p>Failure to meet tenant &amp; leaseholder expectations</p> <p>Failure to meet the HCA Regulatory Standard for Tenant Involvement &amp; Empowerment</p> <p>Negative press coverage</p> <p>Increase in corporate complaints</p> <p>Reduction in satisfaction levels</p> <p>Reputational damage</p>	<p>Housing Advisory Group has three tenants/leasehold representatives.</p> <p>The performance management framework is focussed on customer experience and includes a number of measures of customer satisfaction</p> <p>The publication of localised newsletters which are targeted to specific locations and/or customer base</p> <p>The Service Improvement Team is in place to support the service in developing its tenant contribution structures</p> <p>Programme of Estates Walkabouts are in place which enable residents to directly improve the area in which they live in</p>	HPMT				 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<b>Housing &amp; Property Services Specific Risks- Strategy &amp; Development</b>								
22. Inability to meet the Housing Strategy objective number 2 – to meet the need for housing across the district	<p>Worsening Housing Crisis</p> <p>Lack &amp; cost of land availability</p> <p>Failure to identify land available for new build</p> <p>Inadequate appraisal of full range of options</p> <p>Legislation changes e.g. Welfare Reform</p> <p>Poor partnership arrangements with Registered providers &amp; Developers</p> <p>Ineffective S.106 procedure</p> <p>Poor Housing Market Assessment data</p> <p>Inadequate information/records</p> <p>Not effectively using/spending commuted sums or other resources</p>	<p>Not meeting the Housing Need</p> <p>Increase in numbers on the waiting list</p> <p>Increase in homelessness &amp; demand for temporary accommodation</p> <p>Reputational damage</p> <p>Damage to RSL partnerships</p> <p>Criticism from politicians &amp; the Regulator</p> <p>Loss of opportunity to get Government funding</p> <p>Policy failure</p>	<p>The Housing Strategy has an action plan to address the strategic objective</p> <p>Housing Revenue Account Business Plan directs all available resources towards building new affordable homes</p> <p>The Council is exploring the potential to develop a Council Economic Development and Housing Company and other strategic opportunities to increase the delivery of affordable homes</p> <p>Build partnerships with Housing Associations e.g. W2</p> <p>Strategic market assessment</p> <p>Affordable Housing Supplementary Planning Document in place to ensure developments deliver a suitable amount of affordable housing</p> <p>Committed Sums policy in place and regular monitoring of funds</p>	Charlotte Rowan-Lancaster	22.1 A new housing strategy to be prepared for April 2017, with report to HAG in January and Executive in March 2017.	Staff Time	April 2017	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
23. Failure to meet statutory licensing scheme for homes in multiple occupation (HIMO)	<p>Inadequate staffing</p> <p>Inadequate systems</p> <p>Not being proactive in visiting and assessing properties</p> <p>Attitude of landlords</p>	<p>Failure to meet statutory requirements</p> <p>Reputational damage</p> <p>Legal challenge</p> <p>Complaints</p>	<p>Programme of inspections in place</p> <p>Regular performance reporting</p> <p>Maintain adequate staffing levels</p> <p>Continue to publicise &amp; highlight what the Council does to encourage decent management of HMOs</p>	Mark Lingard	<p>23.1 HMO Licencing programme kept under review.</p> <p>23.2 Consideration to be given to options for smoothing out the profile of application due dates</p>	<p>Staff Time</p> <p>Staff time</p>	<p>March 2017</p> <p>March 2017</p>	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
24. Failure to adequately manage residential leaseholds	<p>Lack of staff awareness of leasehold rights and responsibilities.</p> <p>Lack of leaseholder awareness of responsibilities</p> <p>Different lease agreements in place on different properties.</p> <p>Some leaseholders responsible for buildings insurance</p>	<p>Increased complaints potentially escalating to legal action.</p> <p>Inability to fully recover costs through service charges.</p> <p>Damage to adjoining council properties</p>	Current management arrangements.	HHPS	24.1 Establish a project to improve services to leaseholders.	Staff time	Start Dec 16. Recommendations Mar 17 Implementation dates TBC	
25. Increasing levels of homelessness	<p>Buoyant housing market pushing house prices out of reach of local people</p> <p>Recession causing increasing evictions</p>	<p>Increased workloads and pressure on staff</p> <p>Pressure on temporary accommodation leading to increased bed and breakfast use</p> <p>Pressure on budgets</p> <p>Reputational damage</p> <p>Complaints</p> <p>Increased rough sleeping</p>	Current management and monitoring arrangements	Elaine Wallace	25.1 Project to review temporary accommodation provision.	Staff time. Budget implications to be identified through the review.	Underway with completion expected by 31 <sup>st</sup> March 2017.	