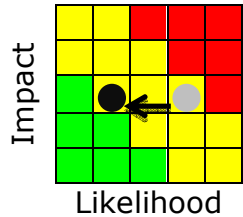


### Housing & Property Services Risk Register

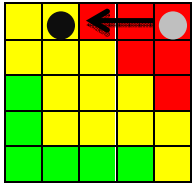
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
<b>Warwick District Council Generic Risks</b>								
1. Staff personal safety	Lone working Potential violent customers Hazardous premises	Death or ill health Increase in sickness absence Staff health deteriorates 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	HPMT	1.1 Our Housing Manager has worked with the WDC Health & Safety Advisor to revise our assessment of lone workers  1.2 Risk assessments of all new applicants are carried out at the point of letting  1.3 WDC Health & Safety Advisor has reviewed the operation of the Tunstall Lone Worker system on our recommendation & reliability has improved as a result  1.4 Our Housing Manager initiated a risk- based Health & Safety Audit which was carried by the WDC Health & Safety Advisor  1.5 Alan Richardson has been commissioned to audit the Health & Safety practices & risk assessments for Housing & Property Services  1.6 Carry out a full Departmental review, section by section, to formalise all individual risks	Alan Richards on's time	Complete  Complete  Complete  Complete  Complete	<p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
2. Inadequate performance by staff or by WDC representatives	<p>Lack of adequate training</p> <p>Absence of policies &amp; procedures</p> <p>Staff not understanding expectations</p> <p>Staff fail to follow policy</p> <p>Failure to recruit right staff to right post</p> <p>Lack of appropriate performance &amp; contract management</p> <p>Low morale</p> <p>Acts, omissions or faulty installations by contractors</p> <p>Lack of appropriate supervision</p> <p>Fraud &amp; corruption by staff, contractors or tenants (eg tampering with electric supply/meter)</p> <p>Actions outside agreed Council procedures eg appointment of staff, procurement etc</p> <p>Legal Challenge on staff decision i.e. interpretation of law</p> <p>Inadequate management procedures</p> <p>Breach of Data Protection Act</p> <p>Contractor leaving &amp; losing personal details</p>	<p>Reputational damage</p> <p>Failure to deliver statutory obligations</p> <p>Deterioration in service delivery</p> <p>Contractors not being paid on time for works done</p> <p>Negligence and liability claims</p> <p>Increase in number of complaints</p> <p>Poor service performance against SAP measures</p> <p>Deterioration in staff morale</p> <p>Increase in compensation claims from staff</p> <p>Accidents/damage caused by lack of or poor health and safety practice of contractors</p> <p>Litigation</p> <p>Not legally compliant</p> <p>Financial cost to Council</p>	<p>Customer Management Framework (CMF)-stages 1 &amp; 2</p> <p>Regular reviews of performance data</p> <p>Robust systems in place to manage performance in gas servicing &amp; complaints</p> <p>Monthly Service Improvement Groups</p> <p>Challenging under performance &amp; staff inefficiency leading to staff change</p> <p>Contribute to Housemark Benchmarking Club</p> <p>Regular contractor meetings</p> <p>Regular 1 to 1s -this will be measured in the employee survey</p> <p>Appraisals (annual cycle between April &amp; June)</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> <p>Procedures in place &amp; regular audits carried out with trails in place</p> <p>Recommendations from Internal Audits are actioned</p> <p>Anti-Fraud &amp; Corruption Strategy</p> <p>Bribery Act 2010-Internal Audit guidance notes</p> <p>Whistleblowing Policy</p> <p>Money laundering Policy</p> <p>Employee Code of Conduct</p> <p>Authorisation levels on Total Separation of duties</p> <p>Effective supervision</p> <p>Effective budgetary control</p> <p>Staff training</p>	HPMT	<p>2.1 Business Support Manager to include the following into the Service Redesign proposals:-</p> <ul style="list-style-type: none"> <li>Complete, develop &amp; maintain the CMF</li> <li>Seek to extend the existing post of Performance Improvement Officer from fixed term to permanent</li> <li>Manage &amp; develop the Risk Register</li> <li>Seek to extend the existing post of Service Improvement Officer from fixed term to permanent</li> <li>Recruit a Policy Officer to develop policy &amp; procedures for all areas</li> </ul> <p>2.2 Complete Phase 1 of the Housing &amp; Property Services full redesign Improvement programme</p> <p>Tier 1</p> <p>Tier 2</p> <p>2.3 Hold staff conference after redesign</p> <p>2.4 Regular employee survey to include the question "when was your last 1 to 1?"</p> <p>2.5 Complete asset database</p> <p>2.6 Hold monthly 2- way communication briefings with staff</p> <p>2.7 To agree robust contracts to include Quality Assurance framework, KPIs &amp; pricing structure</p> <p>2.8 Hold regular contractor meetings to include performance &amp; Health &amp; Safety compliance</p>	<p>Staff time</p> <p>£30,000 pa</p> <p>Staff time</p> <p>Staff time</p> <p>Staff time</p> <p>Staff time</p> <p>Staff time</p> <p>Staff time</p> <p>Staff time</p> <p>Staff time</p>	<p>30/6/13</p> <p>30/6/13</p> <p>31/12/13</p> <p>31/7/13</p> <p>31/7/13</p> <p>31/10/13</p> <p>On-going</p> <p>On-going from 1/4/13</p> <p>On-going from 1/4/13</p>	<p>Impact</p> <p>Likelihood</p>

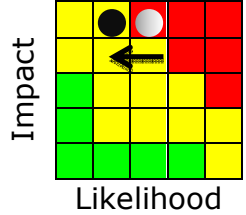
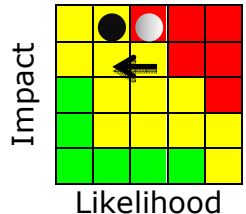
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
	<p>Cont... Staff disclosing personal information about a customer Electronic devices or hard copies being misplaced or stolen</p>		<p>Cont... Awareness by managers to be alerted to any suspicious behaviour Ensure that annual leave is managed effectively to help to reduce the occurred As we are a small local authority it is easier for staff to be aware of suspicious behaviour Electronic devices contain passwords so that systems cannot be accessed if they are stolen Managers are aware that they need to seek permission to disclose information about 3rd parties Data Protection training</p>		<p>Cont... 2.9 Obtain training records from contractors to ensure that their staff have received Data Protection training  2.10 Update all staff on an annual basis on:-  <ul style="list-style-type: none"> <li>• Employee Code of Conduct</li> <li>• Anti-Fraud &amp; Corruption Strategy</li> <li>• Bribery Act 2010</li> <li>• Money Laundering Policy</li> <li>• Whistleblowing Policy</li> </ul>  2.11 All staff to attend Data Protection training</p>	<p>Staff time  Staff time  Staff time</p>	<p>30/06/13  31/12/13  31/12/13</p>	

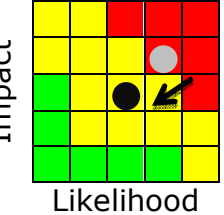
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
3. Significant loss of staff & systems	Short or long term causes eg climate change, strike, pandemic, adverse weather conditions, petrol strike, sickness Acts of god e.g. fire, hurricane, flood or theft Unpredictability of severe weather e.g. drought, heat wave or natural flooding due to excessive rain, surface water flooding, river overflowing, breakage of canal banks Failure of WDC system or support Pressures on WDC and their resources Power failure System problems, including hacking Increased cyber security threats & cyber crime	Failure to meet statutory requirements Inability to provide services at current levels ICT systems not able to support current service delivery & future improvements Pressure on remaining staff leading to deterioration in staff morale Legal action Additional costs to employ temporary staff No access to building & ICT Loss of key services: -Rents, Repairs, Lettings Poor vfm Service Reputational damage Death or ill health Disruption to services because of reduced staff availability Damage to property by subsidence, flooding etc Economic impact ie cost of reparations Increased demands on services from users	The District Business Continuity Plan which has identified critical tasks, posts & people would be invoked and service provision restricted to emergency cover only Back-ups available for the rents process Review of external supported systems with ICT Department (eg MIS) The IT Transformation Board (ITTB) meets quarterly to prioritise ICT projects for the Service. The Board comprises officers from key Service Areas & the ICT Business Analyst Corporate ICT Board Attendance at MIS User Group MIS demonstrations Mobile (home) working practices in place Flood alleviation schemes in partnership with Planning STW sewer works for flood alleviation eg Lansdowne Crescent & Newbold Terrace in partnership with Planning Checks are made on potential pressure points eg Gog brook Weather warnings sent by Community Protection to all appropriate staff including those on call & these warnings include pressure points Correct current contact information for tenants & leaseholders is held in case of a building emergency Ensure temporary housing procedures are in place	HPMT	3.1 Visit other MIS users to maximise the use of the software  3.2 Review Business Continuity Plan (BCP)  3.3 Review & reduce the number of critical persons in the BCP & instigate full review of policy & procedures  3.4 Move any remaining systems eg asbestos, energy, leasehold & fire risk to MIS  3.5 Recruit a Policy Officer to develop policy & procedure manuals for all areas  3.6 Ensure one of the drivers for the redesign of Housing & Property Services is based on enabling opportunities for us to "grow our own"  3.7 Review of mobile working & investment into tablet technology to reduce waste  3.8 Update Service Area Crisis Plan  3.9 Continued investigation into how other providers use MIS  3.10 More regular attendance of the MIS User Group  3.11 More effective use of the ITTB to prioritise projects  3.12 Continued exploration of best practice	Staff time  Staff time  Staff time  Staff time  £30,000 pa  Staff time  Staff time  Staff time  Staff time  Staff time  Staff time  Staff time	Complete  30/9/13  30/9/13  30/9/13  31/12/13  31/12/13  31/12/13  31/03/14  On-going  On-going  On-going	 <p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
			<p>Cont...</p> <p>Continuous monitoring by Community Protection of any "at risk" weather conditions including heat wave &amp; drought and river levels known to be at risk &amp; warnings are cascaded to appropriate Officers</p> <p>In case of severe circumstances Community Protection will activate the WDC 'Major Emergency Plan' and / or the WDC 'Flood Response Plan' depending on the incident to activate a full council response</p> <p>WDC Climate Change Group is a standing group of staff from each service area who discuss climate change issues</p>		<p>Cont...</p> <p>3.13 More effective project planning</p>	<p>Staff time</p>	<p>On-going</p>	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
<b>Housing &amp; Property Services Specific Risks-Property</b>								
4. Inadequate asbestos maintenance & survey	Asbestos disturbance by anyone carrying out works  Evidence of & exposure to existing asbestos	Death or ill health Litigation Compensation Reputational damage	Asbestos Manager in place to manage the asbestos process Asbestos Management Plan & action plan Framework for asbestos removal works Asbestos survey programme Independent 3rd party audit of our processes carried out in May 2012 by Life Environmental Asbestos information held on an external database (Envacs) which can be accessed by staff & contractors Asbestos information leaflet Asbestos awareness information available on WDC website Regular articles in Home News Asbestos awareness is a standard agenda item on both contractor & team meeting agendas Asbestos awareness training for all existing contractors & training log maintained 24hour/365 day call out service provided by Asbestos Manager Asbestos warning stickers to identify live asbestos available for contractors use only Regular meetings held with asbestos contractors Regular asbestos management meetings held with key H & PS staff Asbestos database has been cleansed to remove all erroneous data. Asbestos asset list is now complete Performance on asbestos surveys is monitored by the Tenant Panel at the monthly Repairs & Maintenance Service Improvement Group	Steve Williams	4.1 Commission Alan Richardson to audit the Asbestos Management Plan  4.2 Asbestos awareness training to be provided for all relevant H & PS staff  4.3 All new contractors to provide evidence of asbestos training  4.4 Retender asbestos survey contract to be in place for 30/6/13  4.5 Publish follow up asbestos articles in Summer 2013 Home News & on the WDC website  4.6 Envacs database to be transferred to MIS	Staff time  Staff time  Staff time  Staff time  Staff time	30/4/13  30/6/13  30/6/13  30/6/13  31/8/13  31/12/13	 <p>Impact</p> <p>Likelihood</p>



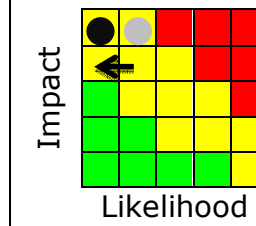
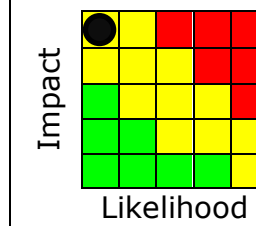
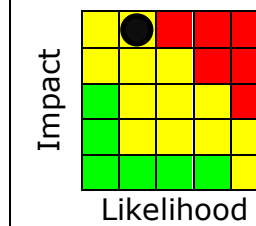
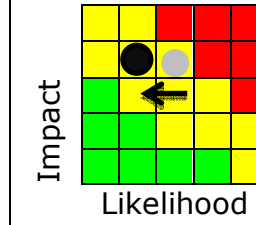
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
5. Inadequate gas appliance maintenance & certification	Failure to carry out repairs or annual servicing due to inability to gain access to properties or lack of knowledge about the existence of a gas supply	Death or ill health Litigation Compensation Reputational damage	Gas servicing programme in place Regular monthly review of performance data 99% gas compliance achieved throughout the year	Mark Perkins	5.1 Review gas servicing programme to maintain 100% compliance over a longer period & to smooth the servicing profile  5.2 Gas awareness training sessions to be provided by new gas contractor for all appropriate staff (these can be provided as & when needed ie for new starters)  5.3 Review & improve existing policy & procedures in relation to gas	Staff time  Staff time  Staff time	30/6/13  31/7/13  31/3/14	
6. Inadequate electrical testing of Housing assets& operational 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	Death or ill health Fire due to electrical faults Damage to property Litigation Compensation Reputational damage Failure of existing systems due to lack of regular inspection or testing Loss of business	Regular ECRs carried out Programme in place for ECRs which is dictated by the anniversary date All properties have an ECR where access has been gained Contractors are actively working on gaining access through a door knocking exercise Electronic copies of ECRs stored on asset database Regular reference made to industry best practice We are recognised by the NICEIC as a reputable landlord	Mark Perkins	6.1 Ensure all "no access" properties have an ECR in place  6.2 Review & update improve existing policy & procedures in respect of electrical testing& ensure that both housing & corporate assets are included	Staff time  Staff time	30/6/13  31/3/14	

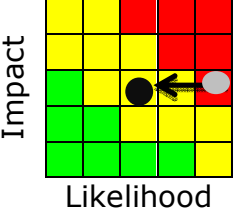
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
7. Service not compliant with Legionella procedure	Failure to maintain testing regime to all relevant properties Lack of schematic drawings for some WDC buildings to show possible Legionella risk areas	Death or ill health Litigation Compensation Reputational damage	Legionella Awareness Group has been set up to raise awareness & monitor frequency of testing Legionella Management Policy & procedures Training of premises managers of the actively managed sites in the weekly flushing of outlets & monthly temperature testing We currently operate a compliant Legionella testing programme	Mark Perkins	<p>7.1 Review operational property leases to clarify responsibility for the maintenance &amp; testing of water systems</p> <p>7.2 Review &amp; enhance the Legionella Management Policy with the new Legionella contractor who is due to start in May 2013</p> <p>7.3 Ensure that all WDC buildings have schematic drawings to show possible Legionella risk areas</p> <p>7.4 Update training for premises managers &amp; set up Performance Framework to monitor training</p> <p>7.5 Consider holding a Legionella awareness training day for relevant staff</p> <p>7.6 Include Legionella data in ActiveH</p>	Staff time  Staff time  Staff time  Staff time  Staff time	30/4/13  30/6/13  30/6/13  31/12/13  28/2/14  28/2/14	 <p>Impact</p> <p>Likelihood</p>

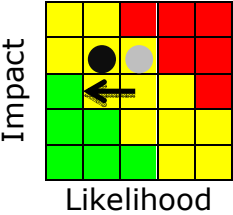


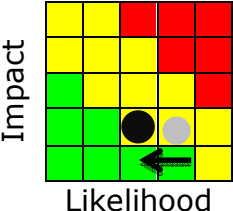
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
8. Risk of widespread fire in blocks of flats or corporate assets	<p>Fire in a communal area of a block of flats or individual flat which spreads to other parts of the 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>Death or ill health</p> <p>Litigation</p> <p>Compensation</p> <p>Reputational damage</p> <p>Damage to WDC stock</p> <p>May need to rehouse tenants</p> <p>Demolition</p> <p>Loss of business</p>	<p>Fire Risk Management Plan</p> <p>Appointment of temporary Building Surveyor to deliver actions from FRAs</p> <p>99% of FRAs carried out</p> <p>Procedure for the removal of stored items from communal areas</p> <p>Home News article</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>	Asset Manager	<p>8.1 Carry out FRA additional works</p> <p>8.2 Review &amp; update Fire Risk Management Plan for all WDC assets (Housing &amp; Corporate) to include compliance data, Quality Assurance framework, improved FRA report</p> <p>8.3 Automate FRA process in MIS including letters to tenants &amp; leaseholders</p> <p>8.4 Review procedure for leaseholder fire doors</p>	<p>Staff time</p> <p>Staff time</p> <p>Staff time</p> <p>Staff time</p>	<p>30/6/13</p> <p>31/12/13</p> <p>31/12/13</p> <p>31/12/13</p>	<p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
9. Poor /dangerous state of repair of Housing & Corporate assets	<u>Tenant triggers</u> Unapproved alterations Anti-social behaviour Vandalism Lifestyle Choosing not to report repairs Unlawful occupation  <u>Contractor triggers</u> Poor quality work Repairs not undertaken on a timely basis Contractor in liquidation  <u>Staff triggers</u> Lack of resources Staff/management failure Repairs incorrectly identified & allocated at point of report Inadequate levels of inspections	Death or ill health Deterioration in asset condition Reputational damage Increase in number of Corporate complaints  <u>Financial consequences</u> Increased reactive repairs costs Cost of reinstatement Loss of income Budget overspends Increase in claims for compensation /rebates	Maintain and improve the Council's operational Housing & Corporate Property portfolio Clear escalation process to be available for Building Managers Performance management framework Publicise awareness in Home News Learning from complaints & complaints monitoring Tenancy Agreement & Tenants Handbook Regular inspections & post inspections carried out by Housing & Property Services teams & by other teams outside the Service Sitexing properties Contract monitoring arrangements in place	Asset Manager	9.1 Finalise asset database  9.2 Complete 100% stock condition survey  9.3 Ensure that performance targets for emergency repairs are being met	Staff time  Staff time  Staff time	31/10/13  31/3/14  On-going	<p>Impact</p> <p>Likelihood</p>

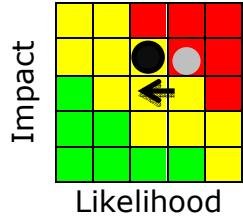
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
10. Failure to maintain Rural Footway Lighting	Anti-social behaviour i.e. tapping into street lighting electrical supply  Inefficient inspection regime	Death or ill health Unstable and dangerous footway lighting Possible structural concrete lighting column failure Increase in number of insurance claims & complaints Reputational damage Failure to meet Statutory Duty of Care	Programme of 3 yearly planned & responsive visual inspections Regular budget monitoring Good contract management Programme in place to replace 10 concrete lighting columns with steel each year Committee approval obtained to seek tenders to replace all remaining concrete lighting columns Location of rural street lighting available on the GIS mapping system	John Haughton	10.1 Finalise programme to replace all remaining concrete lighting columns  10.2 Record numbers of inspections in Customer Management Framework	Staff time  Staff time	31/3/13  31/3/14	
11. Failure to maintain existing or replace missing street nameplates	Supplier failure & delay due to a shortage of manufacturers	Death or ill health due to emergency services being unable to or delayed in locating address  Failure to meet the Statutory Duty	Various Departments within WDC report back to the Engineering Team about damaged or missing street nameplates	John Haughton	11.1 Work with the Procurement Team to source additional suppliers of street nameplates	Staff time	31/12/13	
<b>Housing &amp; Property Services Specific Risks-Supporting People Services</b>								
12. Unable to respond to emergency calls from Lifeline users	IT system failure Power Failure Loss of Control Centre Corporate recruitment and retention policies adversely affecting 24 hour services	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 (October 2012)	Joan Hicks	12.1 Continuously review call performance against targets	Staff time	On-going	
13. Using sheltered accommodation to temporarily house homeless people	Lack of alternative temporary accommodation	Risk to tenants safety Customer dissatisfaction Failure to meet statutory duty to provide accommodation to homeless households	Sheltered Scheme staff inform Housing Strategy staff asap of any potential issues Interim policy in place which incorporates Risk Assessments & the current tick list system	Satnam Kaur/ Joan Hicks	13.1 Policy to be reviewed as part of Tier 2 Service Redesign	Staff time	31/12/13	

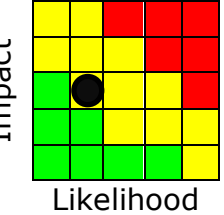
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
<b>Housing &amp; Property Services Specific Risks-Rents &amp; Finance</b>								
14. Significant non-payment of rent leading to high rent arrears	Welfare Reform including Universal Credit Economic downturn Customers inability to pay rent (either financially, physically or because of vulnerability)	Loss of income Increase in number of homeless & loss of sustaining tenancies & communities Inability to deliver Business Plan/services Negative publicity & criticism from Members Reputational damage	Financial inclusion Additional Income Recovery Resource All customers who will be negatively impacted by the changes in Welfare Reform have been identified & contacted to establish any support needs Lean systems review Staff training Tenant awareness Debt & Welfare services Financial risk assessments for new tenants Increased payment methods & easier, more flexible ways to pay	Jacky Oughton	14.1 Co-ordinate strategic policy to address the risk of arrears increasing arising from changes in Welfare Policy  14.2 Complete Service Redesign	Staff time  Staff time	30/6/13  31/12/13	 <p>Impact</p> <p>Likelihood</p>

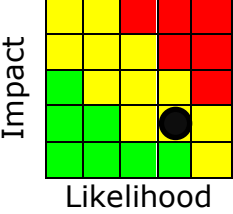
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
<b>Housing &amp; Property Services Specific Risks-Housing Management</b>								
15. Inadequate management of accommodating dangerous customers in the community- subject to MAPPA level 2 & 3 or PPO	Inexperienced staff or staff not knowing triggers & procedures Inexperienced staff or staff not knowing triggers & procedures Lack of partnership working and information sharing Staff not CRB checked	Death or ill health Failure to meet statutory duty & responsibilities under MAPPA Potential impact on community cohesion Possible local civil unrest Negative press coverage Failure to safeguard vulnerable adults Reputational damage Adverse publicity Litigation Strained partnership working	County-wide protocol for safeguarding vulnerable adults. (Currently working jointly with other Housing Districts, Boroughs and WCC ) Involvement with other agencies to manage risk MAPPA flags on ActiveH Staff Alert List database Maintain controls and reporting of incidents to Staff Alert Group Regular reviews of systems and procedures Information Sharing Protocols in place with the police, internal departments & other external agencies Safeguarding Vulnerable Adults Policy in place Risk assessments carried out as part of the allocations procedure CRB checks of appropriate staff every 3 years Training on safeguarding adults Awareness of reporting procedures Staff induction training	Jameel Malik	15.2 Sufficient lead time to be given by MAPPA for appropriate discussions to be held  15.3 Ensure appropriate support services are in place  15.4 Ensure thatRisk management plans including a tick list of risks are in place	Staff time  Staff time  Staff time	30/6/13  30/6/13  On-going	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
16. Failure to involve & sustain involvement from tenants & leaseholders in service delivery	Lack of staff support from the Service to facilitate involvement Not delivering the expectations of the Tenant Panel or the Leaseholders Action Group (LAG)	Failure to meet tenant & leaseholder expectations Failure to meet the HCA Regulatory Standard for Tenant Involvement & Empowerment Tenant Panel or LAG could disband if we are not meeting their expectations Negative press coverage Increase in corporate complaints Deterioration in performance ie non-tenant engagement & reduction in satisfaction levels Reputational damage	Strategy for Customer Involvement and Empowerment Tenant Panel established Leaseholders Action Group established Tenants Participation Policy & formal structures for participation Dedicated staffing resources eg Tenant Participation Officer in post Publicise the work of the Tenant Participation Officer in Home News Raise awareness about engaging customers Carry out STAR survey	HPMT	16.1 Produce action plan from the STAR survey results  16.2 Appointment of Senior Tenant Participation Officer  16.3 Agree clear short term milestones with the Tenant Panel & report against them  16.4 Raise awareness of Tenant Panel with staff & other tenants	Staff time  Staff time  Staff time  Staff time	30/6/13  31/12/13  On-going  On-going	

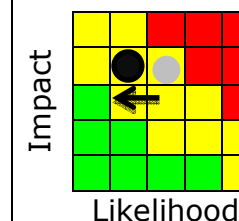


RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
<b>Housing &amp; Property Services Specific Risks- Housing Strategy</b>								
17. Inability to meet the Housing Strategy Objectives	<p>Worsening Housing Crisis</p> <p>Poorly co-ordinated strategic housing priorities</p> <p>Lack of land or failure to identify land available for new build</p> <p>Increase in land costs</p> <p>Increase in homelessness</p> <p>Legislation changes eg 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>Poor performance by staff</p> <p>Inadequate information/records</p> <p>No supply of authorised gypsy and traveller sites in the District</p> <p>Lack of suitable or available publicly owned land</p> <p>Cost and duration of process of compulsory purchasing land in private ownership</p> <p>Inadequate appraisal of full range of options</p>	<p>Not meeting the Housing Need</p> <p>Increase in numbers on the waiting list</p> <p>Increase in demand for temporary accommodation</p> <p>Failure to meet corporate targets</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>Not effectively using/spending commuted sums or other resources</p> <p>Not understanding the needs of Gypsies &amp; Travellers</p> <p>Policy failure</p> <p>Unauthorised encampments and associated legal costs</p> <p>Police less willing to use their powers to move on unauthorised occupants</p>	<p>Business Plan</p> <p>Build partnerships with Housing Associations eg W2</p> <p>Regular performance monitoring meetings</p> <p>Interim Housing &amp; Property Services Board</p> <p>Housing Stakeholder Forum</p> <p>Strategic market assessment</p> <p>Seek tenders for the provision of advisory services to improve the value for money of existing housing &amp; property services &amp; maximise the number of new affordable homes funded through the HRA Business Plan- PWC appointed</p> <p>Committed Sums Policy</p> <p>S106 agreements in place (sets out when &amp; how much for commuted sums)</p> <p>Demonstrate vfm for individual projects &amp; compare to other projects</p> <p>Effective liaison with Finance and ensuring investment meets strategic housing priorities</p> <p>Strict monitoring and audit trail in place</p> <p>Joint partnerships with Registered Providers to deliver affordable housing</p> <p>Gypsy &amp; Travellers Accommodation Assessments (GTAA) refreshed 2012/13</p> <p>Warwickshire Protocol for dealing with unauthorised encampments</p> <p>Local Plan process to be used to identify possible further G&amp;T sites</p> <p>Potential site identified for transit provision and feasibility study underway</p>	Satnam Kaur	<p>17.1 Revised Housing Strategy awaiting Committee approval</p> <p>17.2 Seek Committee approval for recommendations from PWC report</p> <p>17.3 Adoption of Local Plan</p> <p>17.4 Continue to review Development Appraisals re proposed commuted sums</p> <p>17.5 Ensure all commuted sums are spent</p> <p>17.6 Continue to review any financial contribution for value for money</p>	Staff time	31/5/13	 <p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
		Cont.. Reputational risk of not being able to meet statutory rehousing duty for those gypsy and travellers assessed as statutory homeless Sub Optimal outcome from land & property partnership arrangements Poor Vfm Breach of procurement law Breach of internal rules Additional gap funding provided to deliver	Cont.. Ensure a full competitive appraisal process is carried out to achieve Best value (specification is key)					
18. Failure to meet statutory licensing scheme for homes in multiple occupation (HIMO)	Inadequate staffing Inadequate systems Not being proactive in going out to assess properties	Failure to meet statutory requirements Reputational damage Legal challenge	Programme of inspections in place Regular performance reporting Maintain adequate staffing levels Continue to publicise & highlight what we do in respect of HIMOs	Satnam Kaur				 <p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
<b>Housing &amp; Property Services - Business Plan Risks</b>								
19. Government changing the laws on Self-Financing	Unable to deliver agreed Business Plan commitments	Business Plan becomes unsustainable	Keep abreast of policy developments and changes in Government. Any change in the law would affect all councils and in this case we would have collective bargaining power.	Abigail Hay	19.1 Ensure that properties are maintained to sufficient standards to mitigate the risk of failing if the Government changes the rules on Self-Financing	Staff time	On-going	 <p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
20. Unable to meet the Business Plan targets	Significant changes in Business Plan assumptions Changes in income assumptions Significant changes in Welfare Reform Policy (Housing Benefit) Economic downturn Less than effective income collection processes and systems Increase in void rates due to higher turnover Government change in rent policy Stagnant growth and low productivity resulting in a downward pressure on prices and therefore a lowering of inflation compared to projections in the Business Plan and risks of deflation Recent amendments to the Right to Buy Policy such as discounts, eligibility, pooling of receipts	Sub-Optimal Debt Structure Breaching loan covenants Likely to increase the amount of rent arrears and the cost of collection ergo increasing bad debt provision More properties Taking longer to re-let therefore increasing void rent loss Rental income not sufficient to cover the costs of the Business Plan Unsustainable Business Plan following higher than projected Right to Buy Sales Likely to result in An increased loss of stock and insufficient resources to repay associated debt Unsustainable Business Plan due to higher than projected increase in capital expenditure Increases cost and therefore reduces Business Plan viability Reduction in service	Updated stock condition survey and validation by an independent body- Michael Dyson Associates carried out in October 2011 to provide an accurate forecast of required investment in stock, based on existing service standards Evaluation of options to the debt structure leading to the selection of the most optimal financing strategy in consultation with Sector Increasing investment in income collection service at a cost of £60,000 per year The annual contribution to the bad debt provision has been increased to 1.2% from 2013/14 in line with the estimated effect of these changes Sensitivity analysis shows that the Business Plan would still be sustainable if there was a significant increase in the necessary bad debt provision Reduce costs in the Business Plan Lobby Government with other stock-retained Local Authorities If inflation is less than forecast the rent setting process would therefore need to consider the following options: <ul style="list-style-type: none"> <li>o Rent increases above inflation (within limits)</li> <li>o Reduction in capital and revenue costs</li> <li>o Sale of homes</li> <li>o Ring fencing and recycling of right to buy receipts into the Business Plan</li> </ul>	HPMT	20.1 Complete the Service Redesign  20.2 Continuous performance monitoring of the Business Plan  20.3 Review the Business Plan assumptions  20.4 Keep abreast of developments and changes in Government  20.5 To ensure future stock condition surveys are commissioned for the full duration of the Business Plan	Staff time  Staff time  Staff time  Staff time  Staff time	31/12/13  On-going  On-going  On-going  On-going	



RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
	<p>Cont..</p> <p>Increasing availability of Mortgage finance and strong house price inflation resulting in greater market confidence.</p> <p>The assumptions made in the Business Plan regarding the condition of stock and the forecast capital expenditure Differ from actual costs incurred For the following reasons:</p> <ul style="list-style-type: none"> <li>• Costs increase following survey of all properties</li> <li>• Building &amp; contractor costs higher than forecast</li> <li>• Inefficient asset management</li> <li>• Significant increase in the repairs standard.</li> </ul> <p>The Government has eradicated the ring fence for Supporting People funding, as a result of which the County Council has made the decision to reduce SP allocations as part of its budget-setting process. Member decision not to increase rents in line with rent restructuring forecasts in the Business Plan.</p>	<p>Cont..</p> <p>Services provided which are currently funded from SP budget will either have to be funded by the HRA, via service charges or services cannot be provided.</p> <p>The impact of the latter is a significant increase in dissatisfaction amongst the district's most vulnerable tenants</p> <p>Rental Income lower than Projections in the Business Plan</p> <p>Rental income not sufficient to cover the costs of the Business Plan</p>	<p>Cont..</p> <p>The Business Plan projections are based on central Government forecasts</p> <p>All current Business Plan projections for RTB sales do not assume receipts are retained to repay the debt linked to the properties sold</p> <p>The Business Plan also retains 100% of capital expenditure associated with any RTB property and 50% of revenue</p> <p>Business Plan cost projections have been independently validated by the Chartered Institute of Housing</p> <p>There is a contingency built into the Plan for capital costs</p> <p>The Business Plan will be reviewed on a regular basis</p> <p>The current asset management strategy, the Housing Investment Board and business practice assist in efficient decisions on asset management</p> <p>Michael Dyson Associates have carried out a stock condition survey and have independently validated capital and revenue repairs and maintenance projections.</p> <p>We have assumed in the business plan that SP grant will reduce.</p> <p>A full option appraisal on the impact of the funding reduction and recommendations will be presented for Executive approval in 2014.</p> <p>Funding to 31/3/14 &amp; the contracts will be extended to that date</p>					

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
			Cont.. The Business Plan assumes a rent & restructuring policy & it will be presented to Members during the rent-setting process to enable Full Council to make informed assessments					

Key to acronyms

CMF - Customer Management Framework

ECR - Electrical Condition Reports

FRA - Fire Risk Assessments

H & PS - Housing & Property Services

HPMT- Housing & Property Management Team

MAPPA - Multi Agency Public Protection Arrangement

NICEIC - National Inspection Council for Electrical Installation Contracting

PPO - Prolific Priority Offenders