



Title	Review of Housing & Property Services Risk Register by Finance & Audit Scrutiny Committee	
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Wards of the District directly affected	Not applicable	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	16 th April 2013 – Finance & Audit Scrutiny Committee	
Background Papers	WDC risk management policy & guidelines	
Contrary to the policy framework:	No	
Contrary to the budgetary framework:	No	
Key Decision?	No	
Included within the Forward Plan? (If yes include reference number)	No	
Equality & Sustainability Impact Assessment Undertaken	N/A: no direct service implications	
Officer/Councillor Approval		
With regard to report approval all reports <i>must</i> be approved as follows		
Title	Date	Name
Chief Executive/Deputy Chief Executive	March 2015	Bill Hunt
Head of Service	Co-Author	Andy Thompson
CMT		
Section 151 Officer	March 2015	Mike Snow
Monitoring Officer	March 2015	Andrew Jones
Finance	March 2015	As per S151 Officer
Portfolio Holder(s)	March 2015	Norman Vincett
Consultation & Community Engagement		
None other than consultation with members and officers listed above.		
Final Decision?	Yes	
Suggested next steps (if not final decision please set out below)		

1 **SUMMARY**

- 1.1 This report sets out the process for the review by Finance & Audit Scrutiny Committee of the Housing & Property Services Risk Register.

2 **RECOMMENDATIONS**

- 2.1 That Finance & Audit Scrutiny Committee should review the Housing & Property Services Risk Register attached at Appendix 1 and make observations on it as appropriate.

3 **REASON FOR THE RECOMMENDATIONS**

- 3.1 To enable members to fulfil their role in managing risk (see section 8, below).

4 **POLICY FRAMEWORK**

- 4.1 The Housing & Property Services Risk Register is part of the Council's corporate risk management framework. The Register reflects the Council's corporate priorities and key strategic projects that are contained in Fit for the Future.

5 **BUDGETARY FRAMEWORK**

- 5.1 Although there are no direct budgetary implications arising from this report, risk management performs a key role in corporate governance including that of the Budgetary Framework. An effective control framework ensures that the Authority manages its resources and achieves its objectives economically, efficiently and effectively.
- 5.2 The risk register sets out when the realisation of risks might have financial consequences. One of the criteria for severity is based on the financial impact.

6 **RISKS**

- 6.1 The risks are contained in the Service's Risk Register, set out as Appendix 1.

7 **ALTERNATIVE OPTION(S) CONSIDERED**

- 7.1 This report is not concerned with recommending a particular option in preference to others so this section is not applicable.

8 **RESPONSIBILITY FOR RISK MANAGEMENT**

- 8.1 In its management paper "Worth the risk: improving risk management in local government", the Audit Commission sets out clearly the responsibilities of members and officers:

“Members need to determine within existing and new leadership structures how they will plan and monitor the council’s risk management arrangements. They should:

- decide on the structure through which risk management will be led and monitored;
- consider appointing a particular group or committee, such as an audit committee, to oversee risk management and to provide a focus for the process;
- agree an implementation strategy;
- approve the council’s policy on risk (including the degree to which the council is willing to accept risk);
- agree the list of most significant risks;
- receive reports on risk management and internal control – officers should report at least annually, with possibly interim reporting on a quarterly basis;
- commission and review an annual assessment of effectiveness: and
- approve the public disclosure of the outcome of this annual assessment, including publishing it in an appropriate manner.

The role of senior officers is to implement the risk management policy agreed by members.

It is important that the Chief Executive is the clear figurehead for implementing the risk management process by making a clear and public personal commitment to making it work. However, it is unlikely that the Chief Executive will have the time to lead in practice and, as part of the planning process, the person best placed to lead the risk management implementation and improvement process should be identified and appointed to carry out this task. Other people throughout the organisation should also be tasked with taking clear responsibility for appropriate aspects of risk management in their area of responsibility.”

9 **BACKGROUND**

9.1 Executive agreed on 11th January 2012 that:

- (a) Portfolio Holders should review their respective Service Risk Registers quarterly with their service area managers.
- (b) Portfolio Holder Statements should include each service’s top three risks.
- (c) Executive should note the process for the review by Finance & Audit Scrutiny Committee of service risk registers.
- (d) The relevant Portfolio Holders should attend the Finance & Audit Scrutiny Committee meetings at which their respective service risk registers are reviewed.

9.2 The full framework endorsed by Executive at that meeting is set out as Appendix 3.

9.3 Risk registers are in place for all significant risks facing service areas in the provision of their services. In addition to service risk registers for all service

areas there is the Significant Business Risk Register that contains the organisation's corporate and strategic risks (the latest version of this being presented to the January Executive meeting). Also, across the organisation, there are risk registers for specific projects such as the Clarendon Arcade.

10 **HOUSING & PROPERTY SERVICES RISK REGISTER**

10.1 **Introduction**

10.1.1 The latest version of the Housing & Property Services Risk Register is set out as Appendix 1 to this report.

10.1.2 The scoring criteria for the risk register are subjective and are based on an assessment of the likelihood of something occurring, and the impact that might have. Appendix 2 sets out the guidelines that are applied.

10.1.3 In line with the traditional risk matrix approach, greater concern should be focused on those risks plotted towards the top right corner of the matrix whilst the converse is true for those risks plotted towards the bottom left corner of the matrix. If viewed in colour, the former-described set of risks are within the area shaded red, whilst the latter-described set of risks are within the area shaded green; the mid-range are in the area seen as yellow.

10.2 **Overview of Housing & Property Services Risk Management**

10.2.1 The Housing & Property Services Risk Register is a live document that is reviewed on a regular basis, and updated at any point in time should a new risk be identified, or a current risk change.

10.2.2 Risk Register reviews take place as part of the Portfolio Holder meetings, Service Area meetings, team meetings and one-to-ones.

10.2.3 Housing & Property Services has carried out consultation with all of the service managers in order to raise awareness of risk management, and to better understand the process that is followed.

10.3 **Housing & Property Services Risks**

10.3.1 Housing & Property Services is responsible for:

- Managing and maintaining the Council's homes and garages
- Repairing and maintaining the Councils corporate property portfolio
- Delivering the homelessness and housing advice service
- Enabling and delivery of affordable housing
- Improving and enforcing standards of housing in the private sector
- The Warwick Response Lifeline service.

10.3.2 The Service Area has to continually adapt to meet both day-to-day service delivery requirements and longer term strategic issues, and is responsible for multi million pounds worth of expenditure and income.

10.3.3 The following major risks that have been identified at this point in time:

Failure to meet contractual obligations – Housing & property Services manages an extensive and complex range of contracts delivering works and services. These require careful planning, management and review to ensure that we are compliant with all obligations placed upon us and that they deliver to the expectations and requirements of the Council. A recent review of all contracts has been completed and actions identified in order to ensure that we are compliant. The most significant within Housing & Property Services are the repairs and maintenance contracts which deliver a range of repairs, maintenance and mechanical and electrical works to the Councils housing and corporate properties. These contracts will be reviewed during 2016 to ensure that they are delivering value for money.

Failure to comply with policy, statutory and normative standards by staff or WDC representatives – The service has been through a period of significant change and instability over the past 18 months. The three tiers of the service redesign have now been completed and as a result there has been extensive change in staff personnel and working practices. The new structure is now bedding in and a three year Priority Action Plan (PAP) has been devised to provide structure, clarity and guidance to the department in delivering its strategic objectives, measuring performance and managing key tasks and projects. The service will also be conducting a thorough review of all policies and procedures to ensure that they are relevant, up to date and kept under regular review. These measures will assist in ensuring that all Officers are clear, informed and supported to deliver their roles in accordance with required requirements and expectations.

Inability to meet Housing Strategy Objective Number 2 – to meet the need for housing across the district – This is a wide ranging, complex issue which is addressed within the Housing Strategy. The Housing Strategy contains a detailed delivery plan setting out what actions can be taken in order to meet this objective. The actions are focussed on addressing the need for more homes and making the best use of existing stock. The current Housing Strategy covers the period 2014 to 2017 and this will be renewed and refreshed during 2016 with a new strategy being implemented in 2017 for a longer period of 5 years. This will allow better opportunity for a longer term strategic view to be taken and more impact to be delivered with the period.

10.4 **Review of Risk Register by Members**

10.4.1 It is proposed that Members should review the risk register set out as Appendix 1, confirming that risks have been appropriately identified and assessed and that appropriate measures are in place to manage the risks effectively. Members may wish to challenge the Portfolio Holder and the Head of Housing & Property Services on these aspects and assure themselves that their risk register is a robust document for managing the risks facing the service.