

## Risk Register

Department/Service: ENVIRONMENTAL SERVICES - HOUSING AND PROPERTY

Date: 30 January 2022

BUSINESS PRIORITIES: (1) To increase the supply of affordable housing; (2) To tackle homelessness; (3) To manage our assets; (4) To improve service quality

No.	RISK <i>Threat to achievement of business objective</i>	Scope/potential consequences of risk	Initial Assessment of Risk (likelihood x impact) <i>Assume no controls in place</i>			Risk control measures in place	Are all controls operational?	Assessment of Residual Risk (likelihood x impact) <i>With controls in place</i>			Risk Control activity now proposed	Risk Owner	Review Date
			Likelihood	Impact	Risk Score			Likelihood	Impact	Risk Score			
1	Political Risks												
1.1	Increase the cost of living crisis.	Impact on:- <ul style="list-style-type: none"><li>homelessness</li><li>housing demand</li><li>income maximisation</li></ul>	3	4	12	Weekly monitoring of rent arrears in place. Referrals to housing support in place. Bad debt provision increased. Review of Business Plan (2022).	N	3	3	9	Evictions being scrutinised by senior management.	H&PMT	Mar-23
1.2	Change of policy regards 'in house' service provision	Maintenance Partnership with Housing & Property client externally tendered and outsourced	3	5	15	Partnership currently expired (2019). Performance & review arrangements in place.	Y	2	5	10	Partnership review to be carried out in 2022/23.	Hof S/BSM/AM/PR M/DM	Mar-23
1.3	Requirements to meet accommodation needs of Gypsy/Travellers is not addressed.	<ul style="list-style-type: none"><li>continued lack of stopping site provision</li><li>impact on human rights compliance</li></ul>	4	3	12	Unauthorised encampment protocol in place. Awareness of accommodation needs. Local Housing Strategy agreed.	Y	3	3	9	Political direction now supports a change in how the Council deals with Gypsy/Travellers. Budget pressures may however limit what can realistically be achieved .	HoS/CMT	Mar-23
2	Financial Risks												
2.1	Housing Revenue Account falls into deficit or cannot support planned investment.	<ul style="list-style-type: none"><li>Viability of Business Plan</li><li>ability of Council to maintain existing/ invest in new housing is restricted</li></ul>	3	4	12	Business Plan review completed in 2022. Three year projection for HRA. Monthly monitoring of HRA budget.	Y	2	3	6	Continue financial monitoring. Further review of Business Plan in 2023/24 to assess impact of Universal Credit and any other business risks.	HoS	Ongoing
2.2	Statutory/budget financial targets not achieved (DLO)	Annual surplus targets not met and impact on return to general services account	3	5	15	Monthly financial monitoring in place to closely track income and expenditure. Quarterly financial reports to service Committee.	Y	2	5	10	Closer scrutiny of financial performance now in place as a result of job management system.	Hof S/BSM	Ongoing
2.3	Homelessness demands increase, resulting in budgetary pressures.	<ul style="list-style-type: none"><li>Increase in B &amp; B use</li><li>Reconfiguration of Temporary Accommodation</li></ul>	4	4	16	Monitoring of performance and trends. Temporary accommodation charging policy in place. Review of our Rapid Rehousing Transition Plan	Y	3	3	9	Annual review of performance. Annual review of temporary accommodation requirements. Awareness of factors with potential to influence trends.	HoS/HNM	Mar-23

2.4	Sound resource management is not exercised.	• Pressure on budgets • Inefficient and ineffective use of resources;	3	4	12	Three year projection for HRS. Budget monitoring in place. Regular budget monitoring reports to Committee. Management Team strengthened.	Y	2	3	6	Continue budget monitoring. Annual meetings with budget managers.	H&PMT	Mar-23
2.5	Budget cuts within General Services in 2022/23 and beyond will impact on key services	Potential impacts across all service teams	4	5	20	Property Asset Management Appraisal/Depot Review/Office Review in progress.	Y	4	4	16	This remains a significant risk for the Council and the Housing and Property Service.	H&PMT	Mar-23
2.6	Future of the Community Safety Team to be determined.	ASB relating to Council tenants transferred (with resource) to CSU in October 2015. Future of CSU still to be determined.	4	4	16	The Housing Service has previously managed ASB. Resources can transfer back depending on the future of the CSU	Y	4	4	12	Decision on the future of CSU needs to be made by August 2019 to allow alternative service to be put in place.	HoS & HSDM	Mar-23
2.7	Increase in energy costs	Currently projected financial is £600k 2022/23	5	3	15	Monitor Scottish Procurement advice; implement processes to mitigate against price fluctuation, achieve best value. Set aside budgetary provision.	Y	4	3	12	Monitor Scottish Procurement advice.	HoS	Jul-22
2.8	Increase in material and labour costs for construction contracts	Increased tender costs.	4	4	16	Monitor tender returns and liaise with wider industry. Follow procurement processes. Make provision in project budgets.	Y	4	3	12	Adjust construction programmes.	H&PMT	Jun-22
<b>3</b>	<b>Human resources (People) Risks</b>												
3.1	Inadequate management of health and safety risks affecting employees, service users or members of the public.	• Injuries or death sustained by individuals • senior managers liable to prosecution • Council subject to litigation • Damage to Council's reputation.	4	4	16	Policies/procedures in place; heightened awareness for staff through briefings, team meetings etc; gas safety policy/procedures in place; appropriate risk assessment procedures in place.	Y	3	4	12	Departmental H & S Forum oversees all H & S within Housing and Property. Monitoring of incidents and remedial actions also in place.	H&PMT	Mar-23
3.2	Health and Work Policy is not effectively managed leading to shortage of resources and poor performance outcomes.	Increased stress and sickness/absence. Poor performance. Lower staff morale.	3	5	15	Each manager consistent about managing H+W implications.	Y	3	4	12	Staff sickness absence actively managed and closely monitored.	HPMT	Ongoing

3.3	Lack of staff resource to meet service demand as a result of staff absence/skill shortages	Failure to meet key operational targets. Increased staff absence, high staff turnover and low morale. Increase in complaints and confidence in service.	2	4	8	Health at Work policy implemented to reduce staff absence/absence monitored. Robust training plan in place and excellent apprenticeship scheme in place.	Y	1	4	4	Ensure HAW Policy is adhered to and review staffing/training needs on a regular basis.	HPMT	Ongoing
3.4	Management of staff mental health throughout the period of the pandemic and during the return to office working	Increased stress and sickness/absence. Poor performance. Lower staff morale. Reduction in staff productivity and enthusiasm	3	4	12	Managers continue to engage with all staff members and offer counsel.	Y	2	3	6	Continue to monitor our corporate and departmental absence stats. Also continue to use and refer to the Employee Assistance Programme (Time for Talking).	HPMT	Mar-23
3.5	Staff demographic in the Estates and Architectural group has a high proportion in 55 to 65 age range.	Staff retirements and difficulty in recruiting new staff	3	4	12	Succession planning to be developed within the service.	N	3	4	12	Succession planning to be developed within the service.	H&PMT	Jul-22
<b>4 Regulatory Risks</b>													
4.1	Service has to maintain current performance standards or face further scrutiny from the Scottish Housing Regulator and the Care Inspectorate	• Poor performance or inadequate self assessments might lead to increased regulatory intervention, requiring additional staff time to respond to inspections.	3	5	15	Awareness of requirements for proposed regulatory requirements. Self assessment processes in place. Clear understanding of service performance in place.	Y	2	3	6	Performance is generally good with ARC returns. Continue to monitor performance on a monthly basis. All Housing Support Services inspected by the Care Inspectorate are currently considered to be very good.	H&PMT	Mar-23
4.2	Service fails to comply with regulatory requirements (HSE, Gas Safe Register, NICEIC etc.)	Increased regulatory contact or potential inspection/prosecution	3	4	12	Health & Safety Advisor in place and Action Plan. Refresher training and review of procedures carried out to comply with regulatory requirements	Y	2	4	8	H& S procedures to continue to be reviewed regularly and training/ refresher training now in place to increase competency and comply with various regulatory bodies requirements	Hos,BSM	Ongoing
4.3	Failure to meet the EESSH/ESSH 2 Targets	This could result in further SHR scrutiny	4	4	16	Robust measures to track EESSH works and actual stock compliance in progress (stock condition database).	N	4	3	12	Further Validation Audit will be completed in April 2022 ahead of submission of Data to the SHR.	Asset Manager Property Resources Manager & Hos	Apr-23

5	Environmental Risks												
5.1	Disruption to business continuity due to pandemic flu, loss of workplace etc	Performance against targets reduced affecting potential for external inspection/outsourcing. Damage to the Council's reputation; service user dissatisfaction.	3	4	12	Service response completed for Business recovery following Covid pandemic and Covid Risk Assessments in place.	Y	3	2	6	Business Continuity Plan for H & P and Building Services to be updated in 2022/23. Covid procedures regularly updated.	H&PMT	Mar-23
6	Operational continuity and performance risk												
6.1	Service standards fall below that reasonably expected	Criticism from customers, Clients and Elected Members. Potential regulatory intervention	3	4	12	Performance monitoring in place. Regular reports to management teams and Committee. Improvement actions identified for areas where performance falls below targets agreed.	Y	2	4	8	Continue robust performance management procedures and focus groups to deal with poor performing areas.	HPMT	Mar-23
6.2	The introduction of significant changes in working practices adversely affects service delivery.	<ul style="list-style-type: none"><li>• new systems cause operational problems</li><li>• staffing pressures as result of changes</li><li>• reduction in staff morale</li></ul>	3	4	12	No major changes are implemented without proper modelling of impact/effect considered.	Y	2	3	6	Change Management Plan for DLO/CPT implemented in 2021/22. Property staffig review and Depot/Stores and Office Review to be completed in 2022/23.	H&PMT	Mar-23
7	IT Risks												
7.1	Major disruption in continuity of IT operations.	<ul style="list-style-type: none"><li>• loss of essential data</li><li>• inability to deliver service</li><li>• loss of income</li></ul>	4	5	20	ICT Action and Disaster Recovery Plans in place corporately.	Y	3	4	12	Work with Business Continuity Officer to develop sectional team plans to identify mitigating actions.	H&PMT	Mar-23
7.2	Data security is compromised	<ul style="list-style-type: none"><li>• inappropriate disclosure of personal data</li><li>• damage to reputation</li><li>• financial loss</li></ul>	3	5	15	Corporate guidance/training issued.	Y	3	4	12	GDPR training carried out to all relevant staff .	H&PMT	Mar-23
7.3	IT systems within the DLO need to be reviewed to improve efficiency.	<ul style="list-style-type: none"><li>• service delivery is disrupted</li><li>• service cannot respond to changed expectations eg regulatory</li></ul>	4	5	20	All ICT systems issues identified. Upgrade of systems ongoing but still issues with systems relating to response repairs.	N	3	4	12	Business Gateway request to be submitted to review DL ICT systems.	H&PMT	Mar-23