

Quarter 3, 2023-2024 Service Delivery Risk Register

| REF | RISK TITLE & DESCRIPTION | RISK CAUSE | RISK IMPACT | RISK CATEGORY Strategic, Resource Operational Financial Knowledge management Compliance, Partnership | Current Risk Rating (See table below for guidance) | | | CONTROLS IN PLACE TO MITIGATE THE RISK | Risk Rating after mitigations (See table below for guidance) | | | FURTHER ACTION REQUIRED | SUMMARY OF CHANGE SINCE LAST QUARTER | RISK OWNER |
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| SD1 | Loss of income to the Housing Revenue Account (HRA) | Reduction of income through the Impact of: Universal Credit (UC) (increase rent arrears) Void Properties (rent loss) Right to buy properties (rent loss) | Loss of income into the (HRA) | Financial | 4 | 3 | 12 | <ul style="list-style-type: none"> A revised Income Management Policy has been approved by Housing and Community Services Committee and new operational/ IT procedures implemented. New dwellings mitigate revenue lost through Right to Buy (RTB). New Builds can still be purchased under (RTB) after three years for Secure Tenancies. Daily monitoring of UC, and income management. The Housing Service has made operational changes to deal with this increase which have been subject to a successful audit review. Programme in place to reduce the void rent loss. Council House Development Group is in place. Rent arrears of current tenants as a % of the annual rent due have increased slightly in quarter 3 from 2.77% to 2.91% due to the Christmas period. The void rent loss as a % of the rent debit has reduced from 3.25% to 2.99% in quarter 3. Void Property work plan presented to Overview and Scrutiny Committee 4/1/23 with a further update presented to Housing and Community Services Committee on 25th April 2023 An additional contractor has been employed to increase capacity. Survey of small HRA development sites completed with options for redevelopment. Surveys of Smallthorn Place have been completed which include redevelopment and refurbishment options. Derbyshire County Council have now commenced the tender process for Careline and independent living services contracts which are currently delivered by the Council. A reduced service has been retendered for commencement in March 2024. The Council will unlikely to be in a position to bid for these contracts as either a sole or consortium provider. This will reduce the funding into the HRA from DCC by up to £300k from March 2024. | 4 | 3 | 12 | <ul style="list-style-type: none"> Increased focus on collection of rent and other housing debt. Monitoring and review of arrears, evictions and rent loss due to voids. Council House development group to develop a pipeline of development schemes. Government Rent Increase Cap confirmed at 7%. Council members have agreed a rent increase limited to 3%. The Housing Service review currently being undertaken includes the Careline and ILS service and will make proposals for the future shape and scope of the services which take account of the new contractual arrangements and associated loss of income from DCC effective from 1st April 2024. Skilled and unskilled labour issues in addition to fluctuation in labour rates have affected progress towards targets | <p>Rent arrears of current tenants as a % of the annual rent due are at 2.91%.</p> <p>Void rent loss profit is currently up by £55k as the number of voids reduce and the void rent loss as a % of the rent debit has reduced from 3.25% to 2.99%.</p> <p>We continue to see more major voids and a higher cost per void. Spend limits for contractors to determine major and minor voids is currently under review.</p> <p>Single utilities supplier has been delayed, now expected March 2024 (delayed from January 2024.)</p> | Head of Housing Services |

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| | | | | | | | | | | | <p>in Q3. In particular this has affected.</p> <ul style="list-style-type: none"> Plastering Floor laying Damp works <p>Novus is still actively working with local contractors however this does fluctuate due demand on labourers.</p> <ul style="list-style-type: none"> Further additional contractor capacity is being sought through procurement frameworks. A new method for the management of surveys is being considered with contractors. Options for the Construction Design Management (CDM) of the inhouse team are being pursued to allow void and other works to be done "in house". A single supplier of energy utility services (gas and electric) will be in place from March 2024 to reduce time taken to resolve meter debt and installation issues. Area based surveys and work plans are in place. | <p>Labour issues are impacting on the delivery of works in particular around damp proofing, floor laying and plastering, we have seen a significant rise in damp and roofing jobs in the last month.</p> | | |

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| | | | | | | | | | | | | <ul style="list-style-type: none"> Spend limits for contractors to determine major and minor voids is currently under review. | | |
| SD3 | Safety standards | Failure to comply with basic safety standards in flats/blocks with communal areas. | Risk to property and life | Compliance | 2 | 4 | 8 | <p>Housing Safety policies are now in place for:</p> <ul style="list-style-type: none"> Fire Lift Electrical Gas Asbestos Legionella A recent Internal Audit of Housing Safety has confirmed that the systems in place provide “reasonable assurance” in this area. Contracts are in place to deliver property improvements for all aspects of property safety. Recruited an Asset and Compliance post. Agency staff in permanent place to cover Heating, Electrical, Fire safety Project Officer roles. Fire safety checks in sheltered and communal schemes being completed by Careline Support Coordinators. Successful recruitment to Gas, Building and Electrical Project Officer roles. The Electrical Project Officer commenced the role on the 11th December 2023. Interim Repairs, Asset and Improvement Manager has been recruited until May 2024. New Tenant Satisfaction Measures include specific property safety indicators. The Council will be required to respond to forthcoming consultation with the Regulator of | 2 | 4 | 8 | <ul style="list-style-type: none"> Monitoring and carrying out safety checks as per the Housing Safety Policies. Reconfiguring software (lifespan) to manage this. Full review required into software systems. Current structure is not suitable to meet the demand/workload. Full review as part of the wider Housing Services review. | <p>Mitigating actions have been updated to advise the Electrical Project Officer post started on the 11th December 2023 and an interim Repairs, Asset and Improvement Manager has been recruited until the end of May 2024.</p> | Head of Housing Services |

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| | | | | | | | | <p>Social Housing on a new suite of “consumer standards” for housing. Current Performance against these indicators is:</p> <p>Fire – 100% - 82/82 Fire Risk Assessments to communal block and community rooms complete.</p> <p>Legionella – Risk Assessment to 74 high risk properties complete and remedial actions completed.</p> <p>Electric – 94.68% (2792/2949) have an up to date EICR, orders for remaining properties placed and in progress with contractor.</p> <p>Gas – 99.93% (2777/2779) properties have valid gas certificate. Two properties out of time currently with legal seeking an injunction to gain entry.</p> <p>Asbestos – 100% (76/76), annual asbestos management surveys carried out to communal blocks and community rooms where required.</p> <p>Lifts – 100% 3/3, Lifts at Unity Close, Pear Tree Court, and Coniston Court with service completed. (106 passenger stair lifts at domestic properties all on service programme and within time).</p> | | | | | | |

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| SD5 | Reduction in funding for Cultural and Community Services | Reduction of Council funding into Cultural and Community Services. Unable to source external funding to service. | There is likely to be additional funding needed to replace income lost through Covid-19. | Financial | 3 | 3 | 9 | <ul style="list-style-type: none"> Forward budget planning over several years, to cover the medium-term- up to and including 2023/24. Approvals received for reserve spend to secure staffing initially for Active Communities. The Council receives an annual Community Safety funding allocation from the Police and Crime Commissioner (PCC) of £25,000. In December 2021, the new PCC confirmed that this level of funding will continue for a further three years. The Council receives an annual Basic Command Unit funding allocation of £35,000 from the Chief Superintendent. This annual allocation, currently with no long-term commitment. A new three-year sponsorship of the Environmental Education Project with Rolls Royce has been confirmed. Government Funding via the National leisure Recovery Fund (NLRF) for the Leisure Centres has been received. No more post covid support for leisure – working with Max associates to look at soft market testing for potential future delivery and/or negotiate potential contract extension. Active Derbyshire Partnership may help to open up other funding potentials related to Physical Activity. | 3 | 3 | 9 | <ul style="list-style-type: none"> Maintain current funding contribution that the Council makes towards the Active Communities service. Continue to seek and secure relevant external funding opportunities to continued support service delivery. Monthly assessment of income and expenditure. Review reserves and potentially use to fund projects if needed. | No change in Q3 | Head of Cultural and Community Services |
| SD6 | Ageing infrastructure at Rosliston Forestry Centre | Need to upgrade infrastructure at Rosliston Forestry Centre | Unable to deliver services at Rosliston. | Strategic | 2 | 3 | 6 | <ul style="list-style-type: none"> Condition survey updated as part of future procurement exercise for new contractor, informed by a wider strategic review. Focus on implementing infrastructure requirements identified in external consultant's report. Capital Programme bid successful with most projects supported. Engage tenants and keep Senior Leadership Team informed. Covid-19 pandemic has enabled an opportunity to do some minor health and safety works whilst the site was closed to the public. Vision for site to be reviewed considering the pandemic, informed by the wider climate emergency debate. New lease is now signed for 30 years with Forestry England | 2 | 3 | 6 | <ul style="list-style-type: none"> Work commenced on the delivery of capital projects. Collaboration with Head of Corporate Property on improvements to the Planned Preventative Maintenance (PPM). Regular meetings held at operational and strategic levels with Forestry England. Continue working with National Forest Company and Forestry | The mitigating actions have been updated to confirm the findings from the RFC consultation will go to H&CS Committee on the 1 st February. | Head of Cultural and Community Services |

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| | | | | | | | | <ul style="list-style-type: none"> The RFC consultation is now complete – collating findings report to go to H&CS committee to show results in on 1st February 2024. | | | | England to help shape vision in collaboration. | | |
| SD7 | Failure to meet housing delivery targets set out in the five-year supply | Economic slowdown, material or labour shortages, supply chain issues. | A loss of control of new developments and reduced likelihood of achieving the necessary section 106 contributions and the potential for developments to the approved in unsustainable locations | Strategic | 4 | 3 | 12 | <ul style="list-style-type: none"> Local Plan is in place which sets out the five-year supply and this is now under review. Active pursuit of schemes and opportunities. Increased focus on facilitating prompt commencement of development. Current five-year housing land supply rate at 5.76 years- most sites started are building at a rate above that originally anticipated such that 1118 builds were completed in 2022/23. Despite a small reduction in the five-year supply from the previous year the council has maintained its five-year housing land supply. A consultation has been completed on the Issues and Options for the Local Plan Review with several sites put forward to enable a five-year housing land supply to be maintained. | 2 | 3 | 6 | <ul style="list-style-type: none"> Develop action plan(s) where necessary. Monitoring/review of performance ongoing. | Mitigating actions updated to confirm the Local Plan is now under review. Current five-year housing land supply rate amended from 6.29 years to 5.76 years. 1,118 builds were completed in 2022/23. Risk Cause updated to remove reference to Covid-19. | Head of Planning and Strategic Housing |
| SD9 | Melbourne Sports Park | Failure to deliver against external funder requirements at the Melbourne Sports Park (MSP). Ongoing discussions with external funders. | Future grant applications could be declined which will impact on development projects at site. | Financial | 2 | 3 | 6 | <ul style="list-style-type: none"> Scheme to deliver additional car parking on site completed. Drainage scheme on MSP site and adjacent landowners complete. Improved rugby pitches playability should increase income generation from bar and catering. Work on three new tennis courts completed. Improvements to third rugby pitch and training area underway. These projects will aid future viability. | 2 | 3 | 6 | <ul style="list-style-type: none"> Regular Artificial Grass Pitch (AGP) Steering Group meetings. Matter under regular review at MSP Board meetings. Key funder in attendance at AGP steering group meetings. | The risk impact has been updated to remove reference to Covid-19 and replaced with 'Future grant applications | Head of Cultural and Community Services |

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| | | | | | | | 12 | <ul style="list-style-type: none"> Development sub-committee to be re-established to look at future works/developments at the site. Council representative on the Sub-Committee. | | | 9 | <ul style="list-style-type: none"> MSP Board meeting business plan income targets, however close monitoring is required. | could be declined which will impact on development projects at site.' | |
| SD11 | Tree Management | Failure to manage the Council's tree stock in line with adopted Tree Management policy. | Breach of tree policy and/or accident/incident involving trees. | Strategic | 4 | 3 | 12 | <ul style="list-style-type: none"> Review of approved Tree Management Policy completed. Zurich Municipal has provided support to assess the Council's risk on its Tree Policy and Strategy. A new tree policy and management plan has been agreed by committee on 17 March 2022. Unable to recruit an assistant tree officer so have gained approval to revise the structure of the Parks and Green Spaces to facilitate the flexible retirement of the current post holder and the creation of an additional tree officer (at a more senior level) to enable the sharing of knowledge and experience. Additional tree officer and tree budget added in budget review process for 2023/24. | 3 | 3 | 9 | <ul style="list-style-type: none"> The new Policy requires implementing and backlog of work procured and prioritised. A budget has been agreed. External support for tree inspections is being procured. Assistant tree officer appointed and is being mentored by Tree Officer Temporary support from agency to help with volume of tree work related to planning. Due to volume of workload reviewing staffing structure to ensure resourced adequately going forward. | <ul style="list-style-type: none"> Mitigating actions updated to confirm an additional Tree Officer and tree budget added in budget review process for 2023/24. | Head of Cultural and Community Services |

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| SD12 | Ageing Infrastructure at Greenbank Leisure Centre | Infrastructure at Greenbank Leisure Centre including pipework to pool and roof structure needs investment. | Unable to deliver services at Greenbank Leisure Centre | Strategic | 3 | 3 | 9 | <ul style="list-style-type: none"> Building condition survey is being updated and a planned preventative maintenance (PPM) programme put in place by Head of Corporate Property. Complete the necessary works identified in external consultant's report, informed by a wider strategic review (SOPM). Improvements made to pool pipework and roof. Ensure that there is sufficient capital funding to complete the necessary works and revenue funding for on-going PPM. Facility Planning Model (FPM) being undertaken to assess strategic need of leisure stock through to 2038. The FPM work above is now complete and will inform the Local Plan. Further work is being undertaken on the SOPM. Beginning work to look at future leisure provision including a replacement site for Green Bank. | 3 | 3 | 9 | <ul style="list-style-type: none"> Review of the operational management and deliverability of PPM Options presented by FPM to be assessed and presented to Members in the future. Also Built Facility Strategy to be commissioned to support FPM. Working project group looking at long term options for leisure provision. Created a project working group to look at long term options for leisure centre. All strategy work will be done as part of wider future of leisure project. | Further actions updated to confirm all strategy work will be completed as part of the wider future of the leisure project. | Head of Cultural and Community Services |
| SD16 | Voluntary and Community Sector | A reduction in resources for partners who deliver services for or on behalf of the Council. | Evidence that this is occurring with CVS and Citizens Advice having core funding reduced in recent years | Strategic Financial | 2 | 3 | 6 | <ul style="list-style-type: none"> It is considered that the Council is undertaking as much action as is reasonably possible at this stage to mitigate the risk. The Council's current grant funding has been increased in 2023/24. The Council employs a dedicated Community Partnership Officer to support the voluntary sector and local organisations. | 2 | 3 | 6 | <ul style="list-style-type: none"> The Council continues to work with the Voluntary and Community sector to ensure its funding delivers the Council's Corporate Plan objectives. | No change in Q3 | Head of Community and Cultural Services |

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| SD17 | Sustainable Urban Drainage features (Suds) | Failure to manage the Suds in line with national guidance. | Serious accident at a Suds feature, and / or failure of feature to prevent flooding | Operational Strategic Financial | 3 | 4 | 12 | <ul style="list-style-type: none"> A recent report by Alliance Consulting has highlighted risks associated with SUDs features that the Council has adopted / is due to adopt. There are potentially nine sites. The Council has a capital budget to implement the findings of the Alliance report on Council-owned sites. The Council no longer adopts SUDs as part of new developments. These are transferred to Severn Trent Water subject to them meeting appropriate standards. | 2 | 3 | 6 | <ul style="list-style-type: none"> The Council has reviewed the independent SUDs report and is undertaking all reasonable and practicable actions to mitigate any risks. | No change in Q3 | Head of Community and Cultural Services |
| SD18 | Fluctuations in recycle prices | Failure to monitor and report fluctuations in recycle prices | An escalation in the cost of delivering the recycling service. | Operational Financial | 2 | 3 | 6 | <ul style="list-style-type: none"> At the time of awarding new recycling contracts in July 2021, an assessment of material prices over the last 30 months was undertaken. This showed that prices fluctuate from month to month. In assessing the bids, using the lowest material prices from the last 30 months was considered the most prudent way to budget for the service through the Medium-Term Financial Plan (MTFP), with a reserve established to bank any income over that budgeted to cover any periods where income falls below that budgeted. A quarterly update within the Revenue Monitoring Report is presented by the Head of Finance to Finance and Management Committee to allow Members to keep this under review. This position should be fully reviewed following the initial two-year period. | 2 | 3 | 6 | <ul style="list-style-type: none"> Continue to report quarterly on recycle income | No change in Q3. | Head of Operational Services |
| SD19 | Animal welfare costs | Significant increase in dog ownership, illegal dog breeding, stray dogs and poor animal welfare. Recent government ban on XL bullies introduced which could increase stray dog numbers | Substantial costs from stray dogs collected or animals taken into possession on animal welfare grounds. | Financial, Compliance, Partnership | 4 | 3 | 12 | <ul style="list-style-type: none"> Powers under s20 of the Animal Welfare Act. Mutual support agreement with RSPCA. Dog fostering scheme agreed with a dog fostering charity. No win no fee agreement with a third-party Financial Investigator to enable the Council to pursue Proceeds of Crime Act action against offenders to recover costs. | 2 | 3 | 6 | <ul style="list-style-type: none"> Ongoing monitoring of the CEH00 R4400 budget to review the effects of the existing mitigations and the XL bully ban. Draft Animal in Distress Policy discussed with Leadership Team. Three legal cases are progressing and unlikely to go to full trial before summer 2024. | The risk cause and risk impact have been updated to reflect the new national ban on XL bully dogs. Further actions have been updated to confirm a draft Animal in Distress Policy has been discussed with the Leadership Team. | Head of Environmental Services |

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| SD20 | Green Homes Grant Project | Failure to deliver the volume of Green Homes Grants agreed with the project sponsors | Repayment of grant allocation to the project sponsors Loss of reputation | Strategic, Financial, Operational, Partnership | 4 | 2 | 8 | <ul style="list-style-type: none"> An existing project management framework is in place in accordance with the agreed Memorandum of Understanding with the project sponsors (DESNZ and Midland Net Zero Hub) New contractors were procured in 2023 to increase the contractor capacity to deliver the target number of Green Homes Grants. | 2 | 2 | 4 | <ul style="list-style-type: none"> Review volume and quality of delivery of newly appointed contractors. Communicate with stakeholders. Review project governance in the light of experience from the LAD3 scheme. | The LAD3 project closed in quarter 3, further actions have been updated to confirm a review of the project governance will be undertaken. | Head of Environmental Services |

Risk Matrix Template

The table below outlines how the impact and likelihood of the risk is scored using the threshold and description as guidance.

1.1

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| Impact | Very High (4) | 4 | 8 | 12 | 16 | <div style="display: flex; align-items: center; gap: 10px;"> <div style="border: 1px solid black; background-color: red; padding: 2px;">12-16</div> <div style="border: 1px solid black; background-color: orange; padding: 2px;">6-9</div> <div style="border: 1px solid black; background-color: green; padding: 2px;">1 - 4</div> </div> <p> Significant Risk Medium Risk Low Risk </p> |
| | High (3) | 3 | 6 | 9 | 12 | |
| | Medium (2) | 2 | 4 | 6 | 8 | |
| | Low (1) | 1 | 2 | 3 | 4 | |
| | | Remote (1) | Possible (2) | Probable (3) | Highly Probable (4) | |
| | | Likelihood | | | | |

| Impact | Thresholds and Description |
|------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 – Low | Limited impact on service objectives if any, section objectives unlikely to be met, financial loss less than £10,000, no media attention. |
| 2 – Medium | Slight delay in achievement of service objectives, minor injuries, financial loss over £50,000k, adverse local media attention, breaches of local procedures |
| 3 – High | Significant threat to Council objectives. Non-statutory duties not achieved, permanent injury, financial loss over £100,000, negative national media attention, litigation expected, serious issues raised through inspection, breakdown of confidence of partners. |
| 4 – Very high | Objectives cannot be delivered. Statutory duties not achieved, death, financial loss over £500,000 adverse national media attention, litigation almost certain, prosecutions, breaches of law, inspection highlights inadequate service, Council unable to work with partner organisation. |
| | |
| Likelihood | Thresholds and Description |
| 1 – Remote | May occur only in exceptional circumstances (e.g. once in 10 years) |
| 2 – Possible | Unlikely to occur but could at some time (e.g. once in three years) |
| 3 – Probable (in two years) | Fairly likely to occur at some time or under certain circumstances (e.g. once in two years) |
| 4 – Highly probable (in 12 months) | Will probably occur at some time or in most circumstances (e.g. once in 12 months) |
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Service Delivery Risk Matrix

The below table summarises the risk likelihood and impact for risks after controls have been put in place to mitigate the risk.

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| Impact | Very High (4) | | SD3, SD9 | | |
| | High (3) | | SD6, SD7, SD16, SD17, SD18, SD19 | SD5, SD12 | SD1, SD11 |
| | Medium (2) | | SD20 | | |
| | Low (1) | | | | |

| | | Remote (1) | Possible (2) | Probable (3) | Highly Probable (4) |
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| | | Likelihood | | | |
| SD1 | Loss of income to the Housing Revenue Account (HRA) | | | | Reduction of income through the Impact of: Universal Credit (UC) (increase rent arrears) Void Properties (rent loss) and right to buy properties (rent loss). |
| SD3 | Safety standards | | | | Failure to comply with basic safety standards in flats/blocks with communal areas. |
| SD5 | Reduction in funding for Cultural and Community Services | | | | Reduction of Council funding into Cultural and Community Services. Unable to source external funding to service. |
| SD6 | Ageing infrastructure at Rosliston Forestry Centre | | | | Need to upgrade Infrastructure at Rosliston Forestry Centre. |
| SD7 | Failure to meet housing delivery targets set out in the five-year supply | | | | Economic slowdown, material or labour shortages, supply chain issues. There has been a small decrease in housing completions during the COVID pandemic. |
| SD9 | Melbourne Sports Park | | | | Failure to deliver against external funder requirements at the Melbourne Sports Park (MSP). Ongoing discussions with national funders. |
| SD11 | Tree Management | | | | Failure to manage the Council's tree stock in line with adopted Tree Management policy. |
| SD12 | Ageing Infrastructure at Greenbank Leisure Centre | | | | Infrastructure at Greenbank Leisure Centre including pipework to pool and roof structure needs investment. |
| SD16 | Voluntary and Community Sector | | | | A reduction in resources for partners who deliver services for or on behalf of the Council. |
| SD 17 | Sustainable Urban Drainage features (Suds) | | | | Failure to manage the Suds in line with national guidance. |
| SD18 | Monitor fluctuations in recycle prices | | | | Failure to monitor and report fluctuations in recycle prices. |
| SD19 | Animal Welfare Costs | | | | Significant increase in dog ownership, illegal dog breeding and poor animal welfare. |
| SD20 | Green Homes Grant | | | | Failure to deliver the volume of Green Homes Grants agreed with the project sponsors. |