

## SERVICE DELIVERY RISK REGISTER (AS AT Q4 2018/19)

Appendix D

Risk	Corporate theme/aim	Rating and current position	Risk treatment	Mitigating actions	Change since last quarter (Q3)
SD1 - Loss of income to the Housing Revenue Account	<b>Outcomes</b> Maintain Financial Health	On-going potential reduction in income through 1% rent reduction for general needs tenancies until 2020/21. Performance on rent collection still in top quartile in quarter one.  Likelihood is low and impact is significant.	Treat the risk through continuous action and review.	Income policies/processes are being revised.  The Council has invested in I.T. solutions to maximise opportunities to collect income and support those in financial difficulty.  Increased focus on collection of rent and other housing debt.  New dwellings mitigate revenue lost through Right to Buy (RTB)  Implementation of Universal Credit has slowed, although pressure from other benefit changes remains.	No change to rating or treatment.
SD2 - Failure to collect financial contributions or to enforce the delivery of obligations within Section 106 Agreements.	<b>Outcomes</b> Maintain Financial Health	Failure to collect financial contributions or to enforce obligations within Section 106 Agreements.  Likelihood is unlikely but the impact is significant.	Treat the risk through continuous action and review.	Implementation of new software is now complete.  New team leader now in post and in control of the process  The service has been recently audited and has put in place actions to address the minor recommendations	No change to likelihood or impact but the risk has changed from amber to green following a review of the Council's risk matrix

SD3 – Safety standards	<p><b>People</b> Protect and help support the most vulnerable, including those affected by financial changes.</p>	<p>Failure to comply with basic safety standards in flats/blocks with communal areas.</p> <p>Work has been undertaken to put specialist fire and asbestos contracts in place.</p> <p>Likelihood is medium and impact has potential to be significant.</p>	<p>Treat the risk through continuous action and review.</p>	<p>Process underway to update safety procedures for fire, gas, electricity, legionella and asbestos to ensure the Council has appropriate controls in place to manage risks. Progress made so far includes:</p> <ul style="list-style-type: none"> <li>• Fire safety contractor appointed</li> <li>• Gas servicing 100% compliant</li> <li>• Electrical testing contractor appointed</li> <li>• Legionella - sheltered schemes testing in place, void properties shower heads/deadlegs removed</li> <li>• Asbestos testing contractor appointed</li> <li>• Asbestos removal contractor appointed</li> </ul> <p>Whilst the likelihood reduces as contracts are in place, works programmes to the value of £250,000 pa are required for the next two years to achieve full compliance, so the overall likelihood remains medium.</p>	<p>No change to likelihood or impact but the risk has changed from red to amber following a review of the Council's risk matrix.</p>
SD4 – Universal Credit	<p><b>People</b> Protect and help support the most vulnerable, including those affected by financial changes.</p>	<p>Loss of income to the Housing Revenue Account through full roll out of Universal Credit (UC) from November 2018.</p> <p>There is still uncertainty as to the financial impact of this but the Council has plans in place working with internal/ external stakeholders to manage this process.</p> <p>Likelihood is medium and the impact is moderate.</p>	<p>Treat the risk through continuous action and review.</p>	<p>Welfare Reform Group, including key internal/external partners, meets on a monthly basis to manage roll-out against an agreed action plan.</p> <p>Invested in I.T. solutions to maximise opportunities to collect income and support those in financial difficulty.</p> <p>Allocations Policy review underway and will be completed in 2019.</p> <p>The changes to the 'roll out 'of 'UC' may</p>	<p>No change to rating or treatment.</p>

				<p>delay the full impact. 2018/19 performance demonstrates that actions have assisted in mitigating the impact of Welfare Reform changes.</p> <p>Potential likelihood is reducing but remains medium and impact remain.</p>	
SD5 – Reduction in funding for Culture and Communities	<p><b>People</b></p> <p>Increase levels of participation in sport, health, environmental and physical activities.</p>	<p>Reduction of Council funding into Culture and Communities Service. Unable to source external funding to service.</p> <p>Likelihood is low and the impact is moderate.</p>	<p>Treat the risk through continuous action and review.</p>	<p>Forward budget planning over a number of years. Approvals for reserve spend to secure staffing positions up to March 2020 initially for Active Communities.</p> <p>Lobby to maintain current funding contribution that the Council makes towards the Active Communities service and for an increased contribution if current levels of service are to be maintained post-March 2020.</p> <p>The Council is in the final year of a three-year funding agreement with the Police and Crime Commissioner (PCC) for £25,000 per year Community Safety Funding.</p> <p>The Council receives £35,000 per year Basic Command Unit funding from the Chief Superintendent. This is received annually with no long-term commitment.</p> <p>Ongoing dialogue with Rolls Royce to secure continued sponsorship of the Environmental Education Project.</p> <p>Continually seek external funding opportunities to support service delivery.</p>	<p>SD5 and SD11 are now combined as risk on the impact of external funding on the Culture and Communities service.</p>

SD8 - Failing infrastructure at Rosliston Forestry Centre.	<b>Place</b> Support provision of cultural facilities and activities.	<p>Failing Infrastructure at Rosliston Forestry Centre.</p> <p>Rosliston Forestry Centre project team meets on a fortnightly basis to manage ongoing issues at the facility. Regular meetings held with the Forestry Commission.</p> <p>Likelihood is low but the impact would be moderate</p>	Treat the risk through continuous action and review.	<p>Condition survey updated as part of procurement exercise for new contractor.</p> <p>Focus on implementing infrastructure requirements identified in consultant's report.</p> <p>Make invest to save business cases.</p> <p>Collaboration with Public Building Officer on improvements to the Planned Preventative Maintenance (PPM).</p> <p>Engage tenants and keep senior management team informed.</p>	No change to rating or treatment.
SD9 - Failure to meet housing delivery targets set out in the five year supply.	<b>Place</b> Facilitate and deliver a range of integrated and sustainable housing and community infrastructure.	<p>Failure to meet housing delivery targets.</p> <p>Local Plan is in place which sets out the five year supply. Latest monitoring for 18/19 indicates the Council was performing above target with an upward trajectory.</p> <p>Likelihood is low but the impact would be significant.</p>	Treat the risk through continuous action and review.	<p>Monitoring/review of performance ongoing.</p> <p>Active pursuit of schemes and opportunities.</p> <p>Develop action plan(s) where necessary.</p>	No change to rating or treatment.
SD10 - Failure of IT infrastructure that supports Planning Systems, LLPG and Land Charges.	<b>Place</b> Facilitate and deliver a range of integrated and sustainable	<p>Ongoing issues with IT infrastructure that supports Planning systems.</p> <p>Likelihood is medium and the impact would be significant.</p>	Treat the risk through continuous action and review.	<p>A new solution has been selected and contract awarded.</p> <p>An accelerated project plan has been formulated and is underway. Work is on track to ensure that the new solution goes live over the next two quarters.</p>	No change to likelihood or impact but the risk has changed from red to amber following a review of the Council's risk matrix

	housing and community infrastructure.				
SD11 – Community Safety Partnership funding	<p><b>People</b></p> <p>Protect and help support the most vulnerable, including those affected by financial changes.</p>	<p>Potential funding shortfall for the Community Safety Partnership. The Safer South Derbyshire Partnership currently obtains annual funding totalling £60,000 from the Derbyshire Police and Crime Commissioner and Derbyshire Police.</p> <p>Likelihood is medium but the impact would be moderate.</p>	Tolerate the current situation and keep under review.	<p>There is no long-term commitment to continue this funding. However, there are Partnership reserves in place which would assist in a gradual decrease in budget rather than a major cut to all initiatives.</p> <p>The Council is in the final year of a three-year funding agreement with the Police and Crime Commissioner (PCC) for £25,000 per year Community Safety Funding.</p> <p>The Council receives £35,000 per year Basic Command Unit funding from the Chief Superintendent. This is received annually with no long-term commitment.</p>	This risk will be removed and issues have been incorporated into SD5.
SD12 – Melbourne Sports Park	<p><b>Place</b></p> <p>Support provision of cultural facilities and activities throughout the District.</p> <p><b>People</b></p> <p>Increase levels of participation in sport, health, environmental and physical activities.</p>	<p>Failure to deliver against external funder requirements at the Melbourne Sports Park (MSP). Ongoing discussions with national funders.</p> <p>Likelihood is low but the impact would be significant.</p>	Treat the risk through continuous action and review.	<p>Regular Artificial Grass Pitch (AGP) Steering Group meetings.</p> <p>Matter under regular review at MSP Board meetings. Key funder in attendance at AGP steering group meetings.</p> <p>Specialist consultants, MSP representatives and SDDC officers progressing site drainage solutions. Planning permission sought and procurement plans advanced.</p> <p>Engagement with landowner on site permissions progressed.</p>	No change to rating or treatment.

SD13 – Sinfin Waste Plant	<b>People</b> Reduce the amount of waste sent to landfill.	Impact on delivery rounds of diverting all residual waste to Sinfin Waste Plant.  Move to Sinfin now to be phased over three years, giving time to minimise impact on delivery rounds.  Likelihood is low the impact would be moderate.	Treat the risk through continuous action and review.	Derbyshire County Council and Derby City Council have issued a formal notice to their long-term waste management project's funders (the banks) to take action under the contract to secure the future of the delayed Waste Treatment Facility at Sinfin.  Both councils continue to be committed to completing the facility; the banks funding the project now have the opportunity to step in and resolve these issues under the contract. If the banks decide against taking action then the councils will bring their long-term waste management contract with Resource Recovery Solutions (Derbyshire) RRS to an end and put measures in place to fix problems at the site so that the facility can be made fully operational.  For the time being it is business as usual and there should be no change to the District Council's nominated delivery points.  If the contract with RRS comes to an end, contingency plans will be put in place to make sure recycling centres continue to operate.	Likelihood increased to low and impact remains at moderate.
SD14 – Tree Management	<b>Outcomes</b> Enhance Environmental Standards	Failure to manage the Council's tree stock in line with adopted Tree Management policy.  Likelihood is low but the impact would be significant.	Treat the risk through continuous action and review.	Review of approved Tree Management Policy underway.  The Council has engaged additional temporary support from outside the organisation to undertake essential inspections of tree stock.	No change to rating or treatment.