

## SERVICE DELIVERY RISK REGISTER (AS AT Q2 2020/21)

Appendix C

Risk	Rating and current position	Risk treatment	Mitigating actions	Change since last quarter	Risk Owner
SD1 - Loss of income to the Housing Revenue Account	Rent reduction controls relaxed and rent increase now in place. Reduction of income through the Impact of COVID19 on Universal Credit (UC) claims is now greater.  Likelihood is high and impact is now moderate	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). New Builds can still be purchased under (RTB) after three years for Secure Tenancies.  The uptake of UC has risen sharply through the impact of COVID19 on Council tenants, the rate of increase slowed as lockdown was eased.  The Housing Service and DWP have made operational changes to deal with this increase in the short-term	No change to rating. Mitigating actions updated	Housing Services
SD2 - Failure to collect financial contributions or to enforce the delivery of obligations within Section 106 Agreements.	Failure to collect financial contributions or to enforce obligations within Section 106 Agreements. Slight increase in likelihood of requests to defer payments or review viability of development schemes in response to COVID-19 impacts.  Likelihood is unlikely but the impact is significant.	Treat the risk through continuous action and review.	Implementation of new software is now complete.  Team Leader overseeing the process with dedicated officer monitoring and reviewing progress of agreements relating to 'live' sites.  The Service has been recently audited and has put in place actions to address the minor recommendations.  Continued use of District Valuer in vetting additional requests for viability review. Discretion over enforcement or payment plans can ensure collection of fees over longer period if cashflow a problem for developers.	No change to rating or mitigating actions	Planning and Strategic Housing

			Once S106 funds are received, Planning Policy team send regular reminders to colleagues including external bodies to minimise the risk of S106 money going unspent.		
SD3 – Safety standards	<p>Failure to comply with basic safety standards in flats/blocks with communal areas.</p> <p>Work has been undertaken to put specialist fire asbestos, legionella contracts in place.</p> <p>Likelihood is medium and impact has potential to be significant.</p>	Treat the risk through continuous action and review.	<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/dead legs removed</li> <li>• Asbestos testing contractor appointed</li> <li>• Asbestos removal contractor appointed</li> <li>• Successful completion of an asbestos audit by the Health and Safety Executive</li> </ul> <p>Whilst the likelihood reduces as contracts are in place, works programmes to the value of £250,000 per annum are required for the next two years to achieve full compliance, so the overall likelihood remains medium. Fire safety work is now underway in communal blocks, including consultation with tenants affected by the work. Additional contractor capacity is being negotiated in order to increase volume of programme.</p> <p>Revised and updated Housing Safety policies are to be presented to Housing and Community Services Committee in November 2020.</p>	No change to rating, mitigating actions updated	Housing Services

SD4 – Universal Credit	<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 high and the impact is moderate.</p>	Treat the risk through continuous action and review.	<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>The Impact of COVID19 on Council tenants has seen a sharp rise in the number of UC Claimants although the rate of increase slowed as lockdown was eased</p> <p>Delays in UC payments have led to a rise in rent arrears. The Housing Service, in partnership with DWP, has have made operational changes to mitigate this risk.</p>	No change to rating. Mitigating actions updated	Housing Services
SD5 – Reduction in funding for Cultural and Community Services	<p>Reduction of Council funding into Cultural and Community Services. Unable to source external funding to service.</p> <p>There is likely to be additional funding needed to replace income lost through Covid-19</p> <p>Likelihood is moderate and the impact is moderate</p>	Treat the risk through continuous action and review of funding streams and Cultural and Community Services Restructure.	<p>Forward budget planning over a number of years. Approvals for reserve spend to secure staffing positions up to March 2021 initially for Active Communities.</p> <p>Maintain current funding contribution that the Council makes towards the Active Communities service.</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>Rolls Royce new three-year sponsorship of the Environmental Education Project confirmed.</p> <p>Continually seek external funding opportunities to support service delivery. This will extend to Covid-19 new funding pots.</p> <p>Monthly assessment of income lost through Covid-19 restrictions on service</p>	No change to rating or mitigating actions	Cultural and Community Services

SD6 - Ageing infrastructure at Rosliston Forestry Centre	<p>Need to upgrade Infrastructure at Rosliston Forestry Centre.</p> <p>Regular meetings held at operational and strategic levels with the Forestry Commission.</p> <p>Likelihood is moderate 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 external consultant's report.</p> <p>Capital Programme bid successful with the majority of the projects needed supported.</p> <p>Project plans for the delivery of the capital projects being prepared</p> <p>Collaboration with Head of Corporate Property on improvements to the Planned Preventative Maintenance (PPM).</p> <p>Engage tenants and keep Senior Leadership Team informed</p> <p>Covid-19 pandemic has enabled an opportunity to do some minor health and safety works whilst the site was closed to the public.</p>	Rating changed to green. Mitigating actions updated to include health and safety works	Cultural and Community Services
SD7 - Failure to meet housing delivery targets set out in the five-year supply.	<p>Failure to meet housing delivery targets.</p> <p>Local Plan is in place which sets out the five-year supply. Latest monitoring for 19/20 indicates the Council was performing above target.</p> <p>Likelihood is low but could move to moderate in light of COVID-19 impacts pushing delivery back in the Plan period, 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. Increased focus on facilitating prompt commencement of development.</p> <p>Develop action plan(s) where necessary.</p> <p>Current five-year housing land supply rate at 5.92 years - most sites started are building at a rate above that originally anticipated such that c.1300 were completed in 2019/20 - work to accelerate progress on two sites continues.</p> <p>Support government proposals to offer flexibility in supply and delivery requirements in light of COVID-19 effects.</p>	No change to rating or mitigating actions	Planning and Strategic Housing
SD8 - Failure of IT infrastructure that supports	Ongoing issues with IT infrastructure that supports Planning systems.	Treat the risk through continuous	New system went live on the 1 <sup>st</sup> August 2019. Work continues towards implementing remaining 'modules' of the software, migrating data and decommissioning old systems.	No change to rating or mitigating actions	

Planning Systems, LLPG and Land Charges.	Likelihood is unlikely and the impact would be significant.	action and review.	Monitoring performance of new system following implementation with consideration of what additional resource is necessary to complete the project and/or fully realise the benefits of the software.		Planning and Strategic Housing
SD9– Melbourne Sports Park	<p>Failure to deliver against external funder requirements at the Melbourne Sports Park (MSP). Ongoing discussions with national funders.</p> <p>MSP negatively affected by Covid-19 with no income generation for 3+ months. Some external grants success to support this impact but not all.</p> <p>Likelihood is low /medium, 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>MSP Board not meeting business plan income targets so close monitoring required.</p> <p>Drainage works project started on site and new car park project funding agreed. Improved rugby pitches playability should increase income generation from bar and catering.</p>	No change to rating or mitigating actions	Cultural and Community Services
SD11– Tree Management	<p>Failure to manage the Council's tree stock in line with adopted Tree Management policy.</p> <p>Likelihood is low but the impact would be significant.</p>	Treat the risk through continuous action and review.	<p>Review of approved Tree Management Policy completed. New Tree Strategy and Policy planned to go to Committee this financial year.</p> <p>Implementation of the Cultural and Community Services restructure will enable greater staff resources for tree work.</p>	No change to rating or mitigating actions.	Cultural and Community Services
SD12 –Ageing Infrastructure at Greenbank Leisure Centre	Infrastructure at Greenbank Leisure Centre including pipework to pool and roof structure needs investment.	Treat the risk through continuous action and review	<p>Building condition survey is being updated and a planned maintenance programme put in place. Head of Corporate Property.</p> <p>Complete the necessary works identified in external consultant's report</p> <p>Ensure that there is capital funding to complete the necessary works.</p>	No change to rating or mitigating actions.	Cultural and Community Services

SD13 – Covid 19 Pandemic out break	Loss of a significant number of front-line employees to Covid 19 and the subsequent loss of front-line services.	Treat the risk through continuous action and review	Preventative measures in place to protect employees whilst at work. Provision of appropriate PPE to all employees. Measures in place to deal with any confirmed cases. All employees routinely advised to follow latest government advice	N/A	Operational Services
SD14- Performance of kerbside recycling contractor	Kerbside recycling contractor is failing to deliver the service on scheduled dates	Treat the risk through continuous action and review	Ongoing discussions are taking place with the contractor. Assistance may be given by the Council to take account of the additional tonnages generated through the Covid-19 pandemic. Contingency plans are also being developed should the contractor not be in a position to deliver the contract at short notice	New Risk	Operational Services

	SERVICE DELIVERY RISK MATRIX			
Likelihood				
4 High		SD1, SD4		
3 Medium		SD5, SD6	SD3, SD12	SD14
2 Low		SD10 SD6	SD7, SD9, SD11	
1 Unlikely			SD2, SD8	
	1 Minor	2 Moderate	3 Significant	4 Catastrophic
	Impact			

#### Risk Description

**SD1** Loss of income to the Housing Revenue Account

**SD2** Failure to collect financial contributions/enforce obligations within S106 Agreements

- SD3** Safety standards
- SD4** Universal Credit
- SD5** Reduction in funding for Cultural and Community Services
- SD6** Ageing infrastructure at Rosliston Forestry Centre
- SD7** Failure to meet housing delivery targets set out in the five-year supply.
- SD8** Failure of IT infrastructure that supports Planning Systems, LLPG and Land Charges.
- SD9** Melbourne Sports Park
- SD11** Tree Management
- SD12** Green Bank Leisure Centre
- SD13** Covid 19 Pandemic
- SD14** Performance of kerbside recycling contractor