



Report to Audit Committee

1 July 2015

Title: Operational Risk Register – Corporate Services and Customers & Communities Directorates

Report of: Head of Corporate Services

Purpose of Report

1. To agree an updated Operational Risk Register for the Corporate Services and Customers & Communities Directorates.

Background

2. The Board has previously approved an updated Risk Management Policy and one of the requirements within the Policy is that this committee will scrutinise the Operational Risk Registers for the directorates at its meetings as well as considering any critical/high risks that require attention. The committee will also recommend to the Board any risks to be escalated to the Strategic Risk Register.
3. The Resources and Audit Committee agreed, at its meeting held on 27 October 2011, an updated operational risk register based around the two broad areas of the new organisation structure: -
 - Corporate Services
 - Customers and Communities.
4. The committee also subsequently agreed that given how low they were, the green risks be removed from the register and monitored internally. Should the score increase for any of these risks in the future, they would go back on the register and be reported to the committee.

Operational Risks

5. Operational risks are those which are encountered during the day to day running of the company.
6. The following four scale matrix has been used for impact and likelihood: -

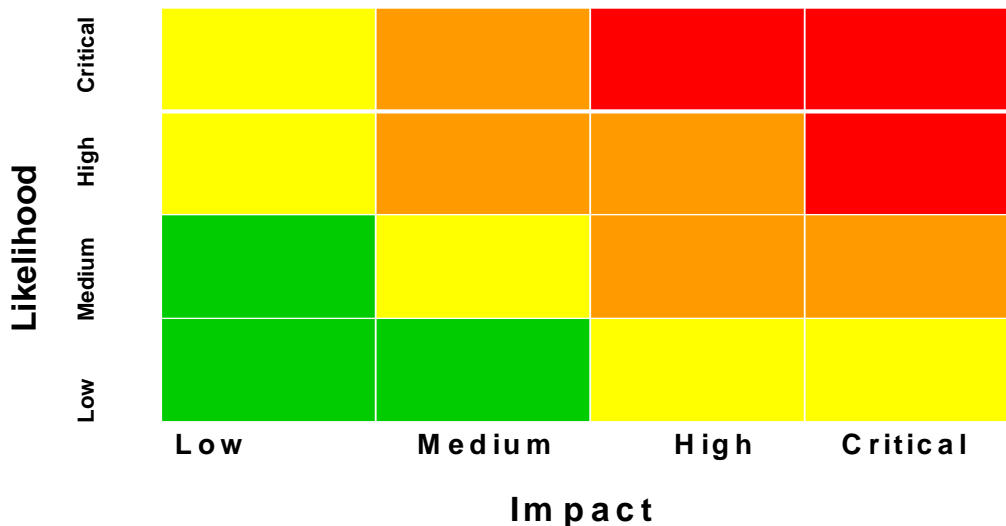
Likelihood

Scoring	Definition	Timing of occurrence
4	Almost certain	Less than 3 months
3	Likely	3 – 6 months
2	Moderate	6 – 12 months
1	Unlikely	In excess of 12 months

Impact

Scoring	Definition	Example of impact
4	Critical	Total service loss for significant period Fatality Financial loss over £200,000 Government / Council intervention
3	High	Significant service disruption Major/disabling injury Financial loss over £50,000 Adverse national media coverage
2	Medium	Service disruption Loss time injury Financial loss over £25,000 Adverse local media coverage / lots of service user complaints
1	Low	Minor service disruption / short term inconvenience Minor injury Financial loss under £25,000 Isolated service user complaints

7. The following four scale matrix demonstrates how the risks will be assessed using a traffic light system: -



Operational Risk Register

8. The Operational Risk Register for both the Corporate Services and Customers & Communities Directorates has been reviewed and an updated register is attached at the Appendix to this report. Registers detailing exactly what changes have been made will be posted on the Board Members website.

9. The following risk has been added to the register following a recommendation made by Internal Audit during its audit of VAT arrangements: -

Finance

- Incorrect treatment of VAT could lead to fines and interest payments to HMRC

10. The following risk has been updated to a green risk and will be monitored internally: -

Investment Works

- Increase in complaints from customers, councillors and other stakeholders.

11. The following risk has been deleted from the register as it is no longer considered an issue: -

Lettings

- Lack of availability of properties in demand.

Link to Values

12. This report links to the Company values of being: -

- Customer focused
- Open and honest
- Accountable
- Inclusive, valuing diversity.

Risk Management Implications

15. The risk management implications are identified throughout this report.

Financial Implications

16. There are no financial implications directly arising from this report.

Equality and Diversity Implications

17. There are no equality and diversity implications arising from this report.

Health Implications

18. Although there are no health implications directly arising from this report, the successful implementation of the recommendations will have a positive impact on the health and well being of Gateshead residents.

Environmental Implications

19. There are no environmental implications directly arising from this report.

Value for Money Implications

20. There are no value for money implications directly arising from this report.

Consultation carried out

21. The Risk Management Group have scrutinised the risks in detail. The Group consists of the Company's four Heads of Service and the Governance & Risk Officer.

Impact on Customers

22. An effective risk management process will maintain the delivery of services to customers.

Recommendation

23. The committee is recommended to approve the updated operational risk registers for the Corporate Services and Customers & Communities Directorates.

Corporate Services Operational Risk Register (As at June 2015)

Almost Certain				
Likely				
Moderate		7	8	
Unlikely		1	9	2
	Low	Medium	High	Critical

Likelihood

Scoring	Definition	Timing of occurrence
4	Almost certain	Less than 3 months
3	Likely	3 – 6 months
2	Moderate	6 – 12 months
1	Unlikely	In excess of 12 months

Impact

Scoring	Definition	Example of impact
4	Critical	Total service loss for significant period Fatality Financial loss over £200,000 Government / Council intervention
3	High	Significant service disruption Major/disabling injury Financial loss over £50,000 Adverse national media coverage
2	Medium	Service disruption Loss time injury Financial loss over £25,000 Adverse local media coverage / lots of service user complaints
1	Low	Minor service disruption / short term inconvenience Minor injury Financial loss under £25,000 Isolated service user complaints

Risk No	Risk	Likelihood	Impact	Owner	Residual Likelihood	Residual Impact
Communications						
CO1	Negative press and PR, including use of social media (such as facebook and twitter etc)	2	3	Ian Clarkin	2	3
Equality & Diversity						
ED1	Failure to meet the legislative requirements of the Equality Act 2010 and future equality legislation	2	3	Louise Taylor	1	3
Finance						
FI1	Increasing occurrence and cost of third party insurance claims	2	3	Natalie Hewitt	2	3
FI2	Procurement process not being carried out in accordance with the Financial Regulations	2	3	Natalie Hewitt	2	3
FI3	Pension liabilities may increase and become unserviceable	2	3	Natalie Hewitt/ Jennifer Aston	2	3
FI4	Service level agreements not reviewed	2	2	Natalie Hewitt	2	2
FI5	Incorrect treatment of VAT	1	2	Mark Banks	1	2
Governance and Risk						
GR1	Data protection issues	1	3	Ian Clarkin / Mark Birch	1	3
GR2	Failure to comply with the Freedom of Information / Data Protection Act	1	3	Stuart Gibson	1	3
GR3	Breach of Data Protection Act 1998	2	2	Jennifer Aston	2	2
GR4	Inability to fill vacancies or retain directors on the Board or a Board without the right mix of skills	1	3	Stuart Gibson	1	3
Health & Safety						
HS1	Failure to manage asbestos in non-residential areas of the housing stock or prior to work in a domestic dwelling	2	3	Phil Gallagher	2	3
HS2	Unsafe Working practices on increasing number of Decommissioned Sites across the Borough Staff entering properties potentially exposed to risks i.e. debris, sharps, asbestos	2	3	Jennifer Aston	2	3
HS3	Failure to comply with risk assessments	1	3	Jennifer Aston	1	3

Risk No	Risk	Likelihood	Impact	Owner	Residual Likelihood	Residual Impact
HS4	Failure to comply with the management of fire precautions in the workplace, high risk buildings and communal areas	1	4	Jennifer Aston	1	4
HS5	Failure to manage the safety of passenger's lifts and lifting equipment	1	4	Christine McFarlane	1	4
HS6	Non compliance with health, safety and fire arrangements in sheltered schemes, communal lounges and high rise buildings.	1	3	Jennifer Aston	1	3
Human Resources						
HR1	Personal injury claims from employees	2	2	Jennifer Aston	2	2
HR2	Risk of attack, threat and/or verbal abuse on employees by service users at any time and/or within the office in attending training or involvement events	2	2	Jennifer Aston	2	2
HR3	Absence due to an epidemic	1	3	Jennifer Aston	1	3
HR4	Industrial action	1	3	Jennifer Aston	1	3
ICT						
IT1	ICT Systems Failure	2	3	Andrew Curtis	2	3
Leasehold						
LH1	Leasehold Valuation Tribunal being undertaken and losing the tribunal	1	3	Janice Adams	1	3
LH2	Works could be undertaken at Leasehold properties without undertaking the appropriate consultation	1	3	Janice Adams	1	3
LH3	Managing other tenures	2	2	Janice Adams	2	2
LH4	Non payment of service charges	2	2	Janice Adams	2	2
Performance						
PF1	Inaccurate performance reporting through inaccurate working papers	2	2	Mark Banks	2	2

Corporate Services – Communications

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
CO1	Negative press and PR, including use of social media (such as facebook and twitter etc) leading to a reduction in the reputation of company (internally and externally)	<p>Regular press releases to local and trade media.</p> <p>TGHC and HC newspapers, website and use of social media.</p> <p>Internal communications.</p> <p>Communications Manager available 24/7 for press comment.</p> <p>Links to GC Communications on events and press enquiries.</p> <p>Increased PR around community activities, new-build.</p> <p>Established links with repairs contractor to ensure any third-party communications reflect positively on the housing company.</p> <p>Use (and monitoring) of social media</p> <p>Limited access to TGHC social media platforms.</p>	2	3	Ian Clarkin	Communications Team undertaking Crisis PR and Media Skills training with the Chartered Institute of Public Relations.	July 2015	2	3	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>Communications signed up to a number of Google and social mention alerts that flag up any mentions of TGHC Linked to Gateshead Council.</p> <p>Review and learn from press enquiries</p> <p>Social Media Policy approved by Board in March 2015</p>								

Corporate Services – Equality and Diversity

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
ED1	<p>Failure to meet the legislative requirements of the Equality Act 2010 and future equality legislation.</p> <p>The impact of non-compliance could lead to 21 types of claims to employment tribunals with uncapped awards for some of the protected characteristics.</p>	<p>Key HR policies updated following review with our HR consultants and unions</p> <p>Update report presented at every meeting on our progress on equality and diversity.</p> <p>All employees have undergone training on Dignity and Respect covering the key aspects of the Equality Act and their obligations. This is refreshed every three years and also carried out as part of the induction process for new employees. All employees currently undergoing refresher e-learning</p> <p>E&D annual report produced setting out overall activity and how the company is meeting the aims of the Public Sector Equality Duty</p> <p>Internal Audit of Equality undertaken in December</p>	2	3	Louise Taylor	<p>Review the Single Equality Scheme</p> <p>Review of scheme is underway. Consultation took place in June 2015.</p> <p>Progress to be reported to Resources Committee in September 2015</p>	September 2015	1	3	The actions to be completed are requirements of the General Public Sector Equality Duty.

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>2012 with no recommendations.</p> <p>Service managers identified as Equality Champions.</p> <p>Have signed up as part of a Housing Quality Network Diversity Exchange. As part of this group will receive 3 equality briefings per year of relevant changes. Briefings are shared with all employees via Homework and relevant information reported to Resources committee.</p> <p>Training for Board Members undertaken in February 2014 to ensure that members know what should be expected in reports being presented for decision making to allow them to challenge and ensure compliance.</p>								

Corporate Services – Finance

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
F11	<p>Increasing occurrence and cost of third party insurance claims leading to additional payments to successful claimants and an increase in premium costs borne by the Housing Company.</p>	<p>Insurance cover for a number of policies including:- Public Liability, Employers, Motor, Directors and Officers, Fidelity, Professional Indemnity.</p> <p>Broker to obtain best price in the market and enter long term agreements for insurance cover.</p> <p>Stop loss of £257,500 per year and a policy excess on public liability of £20,000.</p> <p>Budget provision made for the cost of insurance and regular monitoring undertaken.</p> <p>New procedure for 3rd party claims issued to all housing managers and posted on the managing tenancies section of Intranet.</p>	2	3	Natalie Hewitt	Review of claim forms with Topmark to look at information collected in the early stages of a claim in order to more accurately estimate potential costs and limit additional claims through the process	August 2015	2	3	Review of the information requested from claimants should target those making fraudulent claims, improve efficiency by collecting all relevant information at the outset and reduce the number of items added into a claim as it progresses.

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>New contracts commenced from 1st April 2015 for 3 years with the option to extend 1+1 New claims handler Topmark appointed for small liability claims.</p> <p>Better arrangements in place with Travelers</p> <ul style="list-style-type: none"> • Quarterly progress report on all outstanding claims involving claimant solicitors • Better quality monthly reports to meet the Company's requirements • Access to Travelers' website • Public Liability training delivered to all relevant managers by Travelers <p>New insurance portal has significantly reduced the cost of claims since this was introduced for any claims for accidents occurring after 1 August 2012</p>								
FI2	Procurement process not being carried out in accordance with the Financial	Financial Regulations are in place and tender limits are in place to ensure that any larger procurement activities are	2	3	Natalie Hewitt	Further upgrades to the Agresso system will have new approval levels which link to	Annually	2	3	The controls focus on maintenance of current systems and preventative measures rather than significant

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	Regulations could lead to a legal challenge from a supplier or a contract being awarded incorrectly.	<p>carried out appropriately.</p> <p>OJEU requirements followed for any procurement which meets these limits.</p> <p>Updated Financial Regulations and Contract Procedure Rules were approved by Resources Committee on 14 February 2013.</p> <p>Regular communication with staff will ensure that they are aware of the financial regulations and the procurement procedures.</p>				<p>procurement approval.</p> <p>Review of the Financial Regulations and Contract Procedure Rules to be updated as appropriate on an ongoing basis.</p> <p>Review of procurement processes throughout TGHC and development of contract register, procurement protocols and formal tender processes</p>	<p>August 2015</p> <p>September 2015</p>			changes, therefore the residual score remains the same
FI3	Pension liabilities may increase and become unserviceable affecting the ability to offer and pay pensions	<p>The Company uses Hewitts as pension actuaries.</p> <p>The pension scheme is administered by South Tyneside Council. Contributions to the scheme are reviewed annually once the actuary report is obtained and amended to take into account any fluctuations.</p> <p>Changes to the pension</p>	2	3	Natalie Hewitt/ Jennifer Aston			2	3	The controls focus on maintenance of current systems and preventative measures rather than significant changes, therefore the residual score remains the same

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>scheme including increased member contributions and auto-enrolment is monitored by HR and the Council's payroll section.</p> <p>The Council is ultimately responsible for administering the scheme and for ensuring that the contributions are serviceable.</p> <p>Continue to monitor on an ongoing basis</p>								
FI4	<p>Service level agreements not reviewed could lead to a reduction in the quality of the service being provided.</p>	<p>Regular reviews of the service level agreements in place are carried out.</p> <p>The majority of our service level agreements are with Gateshead Council.</p> <p>Meetings regarding Finance are held monthly with the Head of Corporate Services and held quarterly regarding Legal with the Director of Customers and Communities.</p> <p>Annual reviews will be carried out on service level agreements to</p>	2	2	Natalie Hewitt	Continue to monitor on an ongoing basis and review annually.	Annually	2	2	The controls focus on maintenance of current systems and preventative measures rather than significant changes, therefore the residual score remains the same

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		determine whether they need to be reassessed and renegotiated as part of the budget-setting process.								
FI5	Incorrect treatment of VAT could lead to fines and interest payments to HMRC	<p>VAT guidance for employees is available on the intranet.</p> <p>Guidance and advice sought from KPMG in relation to VAT implications of any new areas of business.</p> <p>VAT return is prepared by the Finance Manager and reviewed by Head of Corporate Services prior to submission.</p> <p>Finance staff attend annual social housing finance forum that provides updates on key issues and changes including VAT.</p>	1	2	Mark Banks			1	2	

Corporate Services – Governance and Risk

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
GR1	<p>Data protection issues</p> <p>1. Legal action against TGHC or TGHC receiving fines from the Information Commissioner after sending sensitive or incorrect information about themselves or others via mailings.</p> <p>2. Legal action against TGHC or TGHC receiving fines from the Information Commissioner after contacting customers without their consent.</p>	<p>All centrally-coordinated mailing jobs are proofed and signed off by Communications and other teams where applicable before posting</p> <p>Following a successful trial – use of a secure data transfer method (dropbox) in January is now being used by the Communications Team.</p> <p>Customers 'opting in' to receiving information from TGHC and partners as part of customer profile (full version and also smaller version sent with rent statements)</p> <p>All centrally-coordinated address lists are generated via Northgate</p> <p>Northgate Data Management group established</p> <p>Mailing House test analysis of addresses and other data compared to Royal Mail and census</p>	1	3	Ian Clarkin / Andrew Curtis	None		1	3	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>information shows high quality of address data. Ongoing - Mailing House will 'repair' any addresses that are not correct and supply back to us to amend Northgate.</p> <p>Main correspondence addresses are now used on all mailing lists.</p> <p>New corporate website, launched Aug 2013 updated with more information around privacy and data protection as well as the rights of customer.</p> <p>All TGHC employees successfully undertaken CBT on data protection April 2012.</p>								
GR2	Failure to comply with the Freedom of Information / Data Protection Act leading to an investigation by the Information Commissioner or legal action being taken against the company	<p>Freedom of Information Publication Scheme</p> <p>Timescales for responding to requests</p> <p>Central point for all requests</p> <p>Advice from Council's Legal Services</p> <p>Staff made aware of</p>	1	3	Stuart Gibson	Team Brief included in induction of new staff	Whenever a new member of staff starts employment	1	3	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		protocol within the company for dealing with Freedom of Information / Data Protection requests								
GR3	Breach of Data Protection Act 1998 Impact is related to compensatory awards that may be paid to employees if successful in a claim against the company. There is an additional impact of officer time to prepare, present and attend a case hearing.	Data protection policy. Mandatory data Protection training for employees – refreshed every 3 years Compliance check carried out by managers. Requests for personal employee information related to ‘protected characteristics’ to be approved by HR Manager. Internal grievance policy and procedure. Prompt Investigation of allegations. Disciplinary policy. Legal advice from EEF consultants.	2	2	Jennifer Aston	Completion of mandatory Data Protection E-Learning	July 2015	2	2	
GR4	Inability to fill vacancies or retain directors on the Board or a Board without the right mix of skills resulting in	Board Members Recruitment, Retention and Succession Plan Board recruitment campaigns	1	3	Stuart Gibson	None		1	3	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	<ul style="list-style-type: none"> the company not meeting its target for a Board that represents Gateshead and a knock on effect on the quality of decisions taken an unstable Board with decisions being taken by less experienced directors the Board not making informed decisions. 	<p>Board payment and Directors' Expenses Scheme</p> <p>Induction Programme</p> <p>Board appraisal and Training and Development Programme</p> <p>Term of office of 10 consecutive years or four consecutive terms, whichever is lesser</p> <p>Board appraisals</p> <p>Annual refresher training on roles and responsibilities</p> <p>Skills audit updated and better use made of when recruiting new directors</p> <p>Opportunities for Board Members to attend conferences and other events</p> <p>Annual governance reviews</p> <p>Updated Independent Director application form</p>								

Corporate Services – Health and Safety

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
HS1	<p>Failure to manage asbestos in non-residential areas of the housing stock or prior to work in a domestic dwelling</p> <p>This may lead to exposure to dangerous materials with a serious risk to health.</p>	<p>Asbestos Management Plan reviewed annually and available to employees and contractors.</p> <p>SLA with Gateshead Council to deliver advice, support and resilience</p> <p>Internal and external audit of asbestos management</p> <p>Annual review of policy and procedures</p> <p>Periodical review of the asbestos register by MIS Environmental Services.</p> <p>Project Safety Training (APS) 2015-2018</p> <p>Signing in sheet developed for contractors visiting multi storey blocks, contained in red boxes.</p> <p>Training of employees /compliance with CDM regulations</p>	2	3	Phil Gallagher	<p>Establish Corporate H&S Group to monitor compliance.</p> <p>In collaboration with Corporate Procurement, carry out a mini tender to ensure VFM against company specification. Report progress through Corp H&S group, Audit and Resources Committee</p> <p>To carry out a review of the frequency of re-inspection surveys of multi storey blocks</p>	<p>July 2015</p> <p>December 2015</p> <p>31 October 2015</p>	2	3	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>Contractor's briefings and progress meetings.</p> <p>Construction operations regulated by pre-information packs including asbestos survey of all areas likely to be disturbed the contract works.</p> <p>Attending master classes and CDP.</p> <p>Annual asbestos training to operational employees.</p> <p>Keystone asset management database</p>								
HS2	<p>Unsafe Working practices on increasing number of Decommissioned Sites across the Borough.</p> <p>Staff entering properties potentially exposed to risks i.e. debris, sharps, asbestos.</p>	<p>Clear decommissioning procedure in place, recently revised to provide clarity around roles and responsibilities. All staff issued with appropriate PPE</p> <p>Demolition schemes to be regularly monitored by HS and gas auditors for compliance with H&S legislation and managers made aware of outcomes Annual review of training CDM procedures</p>	2	3	Jennifer Aston	Managers to attend mandatory H&S training to include risk assessment and PPE	July 2015	2	3	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
HS3	<p>Failure to comply with risk assessments in the following areas:</p> <p>Workplace risk assessments Manual Handling COSHH Road Risk Reported Accidents First Aid Provisions Water Hygiene Fire Safety Electrical Safety</p> <p>This will lead to poor H&S standards and increased accidents in the workplace. Injuries at work may increase and this will lead to a higher level of insurance claims from employees</p>	<p>Training / appraisal / induction</p> <p>H&S Management Framework</p> <p>Compliance checks / audits</p> <p>Accident Reporting</p>	1	3	Jennifer Aston	<p>One day mandatory training on risk assessments to be delivered to managers</p> <p>Compliance report to be developed to monitor progress with activity</p> <p>Corporate H&S group to be established</p>	<p>July 2015</p> <p>September 2015</p> <p>July 2015</p>	1	3	
HS4	<p>Failure to comply with the management of fire precautions in the workplace, high risk buildings and communal areas</p> <p>may lead to fire, damage and fatality.</p>	<p>Appointment of temp Fire Safety Advisor (2015) Control Measure agreed with TWFRS and action plan agreed</p> <p>Workplace inspections</p> <p>Mandatory Fire Safety Training</p>	1	4	Jennifer Aston	<p>Draft fire policy developed and risk assessment to be contained in Red box (held by caretakers for access by Fire Service)</p> <p>We have aligned</p>	<p>September 2015</p> <p>December 2015</p>	1	4	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>Fire drills and emergency evacuations</p> <p>Fire Risk Assessments</p> <p>Installation of bespoke sprinkler system (Regent Court)</p> <p>Fire Safety remedial works programme Extension agreed with TWFS on deadline for Sheltered Schemes</p> <p>Review of the Company Fire Safety Strategy and Partnership Agreement with TWFRS.</p> <p>Review of Fire Risk Assessment for all Managed Premises following fire safety works</p>				the maintenance contract for Fire equipment e.g. extinguishers, signage, blankets etc with Gateshead Council				
HS5	Failure to manage the safety of passenger's lifts and lifting equipment may lead to accidents, damage and fatality.	<p>Bi-annual inspections.</p> <p>Lifts inspected to EN80-81 standard.</p> <p>24/7 responsive repair maintenance contract / performance monitoring</p> <p>Inspection schedule monitored by Gateshead Council</p>	1	4	Christine McFarlane			1	4	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>Specifications developed for refurbishment of lifts and plant rooms.</p> <p>Three year engineering inspection insurance contract with Zurich (2012-2015)</p> <p>All lifts reviewed to assess future viability and investment needs.</p> <p>Lifts Maintenance Contract reviewed and new contract will commence on 1 April 2015</p>								
HS6	<p>Non compliance with health, safety and fire arrangements in sheltered schemes, communal lounges and high rise buildings.</p> <p>This may lead to hazardous conditions for customers and our employees and risk of accidents to vulnerable people</p>	<p>Meetings with Older People Service, Care Call Consultation on fire safety arrangements and staff training.</p> <p>DDA improvements implemented.</p> <p>CCTV monitoring.</p> <p>Fire audits with action plans</p> <p>Tunstall system linked back to Care Call.</p> <p>Out of hours emergency procedures in place and</p>	1	3	Jennifer Aston	<p>Draft fire policy developed and risk assessment to be contained in Red box (held by caretakers for access by Fire Service)</p> <p>We have aligned the maintenance contract for Fire equipment e.g. extinguishers, signage, blankets etc with Gateshead Council</p>	<p>September 2015</p> <p>December 2015</p>	1	3	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>emergency planning by Gateshead Council.</p> <p>Fire Safety Improvement works for fire alarms and compartmentalisation of communal areas and tenant's flats.</p> <p>Fire safety arrangements reviewed following improvement works for all Sheltered Housing.</p>								

Corporate Services – Human Resources

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
HR1	<p>Personal injury claims from employees</p> <p>Impact is related to compensatory awards that may be paid to employees if successful. There is an additional impact of officer time to prepare, present and attend a case.</p>	<p>Induction programme</p> <p>H&S compliance checks. Policies and procedures</p> <p>Implementing learning from previous claims.</p> <p>Employee Handbook</p> <p>Inspection regime for communal areas; tenancy agreements for the reporting of defects within curtilage of their home</p> <p>Legal advice and representation from EEF</p> <p>Insurance cover</p> <p>IOSH Safety training for Board and management team (June 13)</p> <p>Travelers, our Insurers cover the cost of any employer liability claims</p>	2	2	Jennifer Aston	None		2	2	.
HR2	<p>Risk of attack, threat and/or verbal abuse on employees and directors by service users at</p>	<p>Health and safety policies and procedures.</p> <p>Risk assessments</p> <p>Warning markers on</p>	2	2	Jennifer Aston			2	2	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	<p>any time and/or within the office in attending training or involvement events</p> <p>This could lead to sickness absence or claims against the company.</p>	<p>Northgate. I pads with access to Northgate and other emergency contact information issued to the Out of Hours team Lone worker policy.</p> <p>Mobile phone and emergency numbers.</p> <p>Occupational Health. Stress awareness training, dealing with difficult situations and customer care training</p> <p>Personal attack alarms.</p> <p>Testing of alarms</p> <p>Customer profile checked before any events to flag up any NRT issues.</p> <p>Health and Safety notified of attendees at any event including any special needs.</p> <p>CCTV camera in use at offices</p> <p>Violence at work policy and procedure</p> <p>Training needs in relation</p>								

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>to officer safety reviewed following appraisal.</p> <p>Monitor, evaluation and reporting on the number of incidents quarterly through Resources Committee and the Employee Forum</p> <p>Conflict Management and Personal Safety Training reviewed</p> <p>Annual Report to Resources Committee on the numbers of incidents and actions taken, to include actions against perpetrators</p>								
HR3	<p>Absence due to an epidemic This could lead to reduced levels of service and increased salary costs. Employees in work could become de-motivated resulting in reduced performance and level of service we are able to provide to customers.</p>	<p>SLA with Gateshead Council for Occupational Health Service (March 2015)</p> <p>Silver NE Health and Wellbeing award (Feb 2015)</p> <p>Health and Wellbeing at Work initiatives and joint working with Gateshead Council</p> <p>Health updates to employees via email</p>	1	3	Jennifer Aston			1	3	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		Signage Hand wash Learning and development to build flexibility in the workforce Cross service working to support with absence Recruitment from agencies as a last resort Business Continuity Plan in place for major incidents Annual flu vaccinations offered to employees								
HR4	Industrial action leading to reduced number of employees to deliver essential services.	Consultation with Trade Unions Collective bargaining Employee Forum IIP award Business Continuity Plan for continued delivery of service	1	3	Jennifer Aston	None		1	3	

Corporate Services – ICT

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
IT1	ICT Systems Failure - – failure of ICT systems in part or entirety affecting internal and customer processes and transactions.	<p>Council SLA and 3rd Party support agreements –</p> <p>Systems updates – GC systems are updated periodically using automated processes.</p> <p>In House Daily Systems Checks – TGHC ICT carry out a broad set of thorough daily checks to ensure systems and process are running successfully and available.</p> <p>Northgate Process Monitoring system – Kirona system emails ICT team if identified Northgate processes fail</p> <p>Helpdesk – a fully functional helpdesk systems allows control and administration of ICT issues avoid incidences becoming problems.</p> <p>Business Continuity Plan includes ICT disaster recovery plan.</p>	2	3	Andrew Curtis			2	3	

Corporate Services – Leasehold Services

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
LH1	Leasehold Valuation Tribunal being undertaken and losing the tribunal which would mean we could not charge the leaseholders for the items gone to tribunal over and reputational issues.	<p>We ensure that we retain all paperwork in accordance with the terms of the lease. We ensure that we can substantiate all charges in relation to the invoices raised to leaseholders.</p> <p>We obtain legal advice from Gateshead Council regarding the leases.</p> <p>Training courses in relation to Leasehold Valuation Tribunals and future legal changes</p>	1	3	Janice Adams	None		1	3	
LH2	Works could be undertaken at Leasehold properties without undertaking the appropriate consultation which could restrict the amount of income which could be collected.	<p>Section 20 Consultation is undertaken for all works costing over £250 per property.</p> <p>Leasehold sections undergo training from external providers regarding consultation annually.</p> <p>Procedural guide for surveyors has been developed and training has been delivered to Call centre staff, Buildings Surveyors and property inspectors.</p>	1	3	Janice Adams	<p>The S.20 consultation process is to be built into Northgate via the Planned Maintenance module. User acceptance testing has commenced in Northgate 'live' with one scheme. Testing to continue throughout the year.</p> <p>BARIS interface to be developed to automatically flag</p>	Process to be included in Northgate with a view to being implemented by 31 st March 2016	1	3	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		A review of the repairs and leasehold Northgate Administration Units has been undertaken.				variations which will raise the cost of any works above consultation levels.				
LH3	Managing other tenures such as Shared Ownership properties and Rent to Buy Properties could lead to reduced income for the Housing Company and could lead to an number of tenancy issues if tenancy agreements and lease agreements are not set up appropriately.	<p>Meetings have taken place with our Homebuy agents ISOS to ensure we understand our responsibilities in relation to the new tenure properties.</p> <p>Meetings with legal and legal have produced tenancy and lease agreements.</p> <p>The Homes and Communities Agency Capital Funding Guide is referred to to ensure we understand the requirements set out by the HCA.</p> <p>Shared ownership policy and procedures have been developed to ensure a consistent approach to management of the shared ownership portfolio.</p>	2	2	Janice Adams	The shared ownership policy and procedures will be monitored and reviewed, as appropriate, when strategic, procedural or legislative changes occur or any significant changes are made by the HCA to the HomeBuy Scheme.		2	2	
LH4	Non-payment of service charges which would increase the arrears	An arrears procedure, including a section on 'disputes' is in existence with the back stop of a	2	2	Janice Adams	The arrears procedures will be reviewed every 2 years, or as	Procedure to be reviewed in 2017	2	2	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	and reduce the actual income collected with the expenditure having been incurred.	<p>legal charge being placed on the property, although this would not be payable until the property is sold.</p> <p>Arrears collection is monitored on a monthly basis and performance is discussed with customers at the leasehold SIG every quarter. Performance is reported to senior management quarterly, through the performance report.</p>				appropriate, when strategic, procedural or legislative changes occur. Procedures reviewed and amended April 2015.				

Corporate Services – Performance

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
PF1	Inaccurate performance reporting through inaccurate working papers which could lead to inaccurate customer expectations of service provision and damage the reputation of the Company and lead to inappropriate decisions being taken in relation to incorrect data.	<ul style="list-style-type: none"> - Performance management team monitor and audit the performance data which is reported on a monthly and quarterly basis – Each quarter a more detailed scrutiny takes place upon information provided by external contractors. - Working papers are required to be added to performance point and audited for all performance data. - Performance data is signed off by management team and Board before it is reported to customers - Meeting have been held with Mears to ensure the performance information is produced to meet the correct PI definitions – Monthly monitoring meetings are being held with discuss the performance results and look at ways to improve performance. - A review of the current performance collection and reporting 	2	2	Mark Banks	<p>The performance reporting structure to board and committees is to be changed so that the detailed performance will go to the relevant committee. This will allow more time for scrutiny of performance in detail and the board will receive and monitor an overall summary of performance.</p> <p>Adoption of the councils APEX performance monitoring system. This will allow a streamlined process and allow managers and Heads of Service to access and utilise information more quickly and efficiently.</p>	<p>October 2015</p> <p>October 2015</p>	2	2	<p>This will allow more time for committees to look at performance results and to focus on specific indicators that are relevant to that committee.</p> <p>There will be a cost of the software licenses but the time efficiencies for the performance team when co-ordinating and for managers when inputting and reviewing information should offset this cost. This should allow more time to audit the working papers and scrutinise results to ensure they are correct.</p>

		mechanisms has been carried out and changes have been implemented to improve the process.								
--	--	---	--	--	--	--	--	--	--	--

Customers and Communities Operational Risk Register (As at June 2015)

Almost Certain				3
Likely		1	2	
Moderate	4		1	1
Unlikely	1			8
	Low	Medium	High	Critical

Likelihood

Scoring	Definition	Timing of occurrence
4	Almost certain	Less than 3 months
3	Likely	3 – 6 months
2	Moderate	6 – 12 months
1	Unlikely	In excess of 12 months

Impact

Scoring	Definition	Example of impact
4	Critical	Total service loss for significant period Fatality Financial loss over £200,000 Government / Council intervention
3	High	Significant service disruption Major/disabling injury Financial loss over £50,000 Adverse national media coverage
2	Medium	Service disruption Loss time injury Financial loss over £25,000 Adverse local media coverage / lots of service user complaints
1	Low	Minor service disruption / short term inconvenience Minor injury Financial loss under £25,000 Isolated service user complaints

Risk No	Risk	Likelihood	Impact	Owner	Residual Likelihood	Residual Impact
Asset Management						
AM1	Future investment needs may be incorrectly allocated if asset management plans do not provide the correct information to allocate funds where they are required	2	3	Simon Chrisp	2	2
Voids						
VO1	Not achieving the agreed Lettable Standard for voids or not achieving in required timescale	2	2	Phil Hogg	2	2
Lettings						
LE1	Properties becoming difficult to let	4	4	Jackie Armstrong	4	4
LE2	Lack of availability of properties in demand	2	2	Jackie Armstrong	2	2
Rent and Income						
RI1	Reduction in customers' Housing Benefit entitlement due to government reforms	4	4	Jonathan Graham	4	4
Gas Servicing						
GS1	Customers sleeping temporarily/permanently in a room with an open flued gas appliance, including overcrowded property	1	4	Chris Scott	1	4
GS2	Failure to comply with gas safety legislation and regulation in non-residential buildings	1	4	Chris Scott	1	4
GS3	Non-compliance with the Gas Safety (Installation and Use) Regulations 1998 for all flues to be suitable for the appliance concerned and to be in a proper condition for the safe operation of the appliance by December 2012	1	4	Chris Scott	1	4
GS4	Fatality due to gas related incidents or Carbon Monoxide poisoning incidents	1	4	Chris Scott	1	4
GS5	Customers installing their own cookers	1	4	Chris Scott	1	4
GS6	Customers installing their own cookers in high rise properties	1	4	Chris Scott	1	4

Risk No	Risk	Likelihood	Impact	Owner	Residual Likelihood	Residual Impact
Improvement Works						
IW1	Injury/fatality to public	1	4	Steve Cook	1	4
IW2	Increase in complaints from customers, councillors and other stakeholders	1	2	Carole Nicholson	1	2
Repairs						
RE1	Inclement weather	3	2	Phil Hogg	2	1
RE2	Overspending repairs budget	4	4	Phil Hogg	3	3
RE3	Inability to manage Cyclical Maintenance	3	3	Russell Urwin	2	3
RE4	Unsafe working practices	1	4	Russell Urwin	1	4
RE5	Financial disputes	3	3	Phil Hogg	3	3
RE6	Failure to deliver repairs to published standards and timescales	2	2	Phil Hogg	2	1
Tenancy and Estate Management						
TE1	Risk of fires/tripping hazards/safety in communal areas in multi-storey accommodation, low rise and sheltered accommodation	2	4	Julie McCartney	1	4
TE2	Reduced customer satisfaction with living in neighbourhood due to lack of funding for estate and environmental projects	2	2	Neighbourhood Services Manager	2	2
TE3	Grounds maintenance service not delivered to agreed published standards	2	2	Julie McCartney	2	2
TE4	Not reporting Safeguarding Adult or Children issues	1	4	Deborah Ewart	1	4

DRAFT
Customers and Communities Operational Risk Register

Asset Management Operational Risk Register

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
AM1	<p>Future investment needs may be incorrectly allocated if asset management plans do not provide the correct information to allocate funds where they are required</p> <p>Properties may become non-decent and fall into disrepair if they are not invested in on a timely basis.</p>	<p>Keystone Asset Management Database holds data in relation to properties and when works have been carried out to them and the types of works carried out (such as dates new kitchens were installed etc). The database is able to provide scenario planning where we can review the investment needs should we decide to undertake certain works at certain points in time. This can then be used to produce the most cost effective and appropriate investment plan.</p> <p>Interpretation of R&M data improved, including changes to SOR's to aid identification of work to key components.</p>	2	3	Simon Chrisp	<p>First percentage of stock condition resurvey undertaken by Ridge. Further 20% targeted during 2015/16 through commission with Gateshead Council.</p> <p>New Asset Management Strategy, 30 year Plan and estate viability modelling tools to be launched during 2015.</p>	<p>March 2016</p> <p>Ongoing</p>	2	2	<p>Actions will reduce the occurrences of omitted works within the Housing Capital Programme. Preventing abortive time and cost.</p> <p>Continued improvements in data quality, alongside viability modelling will have a positive impact upon the 30 year plan.</p> <p>More robust and up to date stock condition data will assist with repairs spend.</p>

Customers and Communities – Voids, Lettings, Rent & Income

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	VOIDS									
VO1	<p>Not achieving the agreed Lettable Standard for voids (safe, secure, clean, in good condition). Or – not achieving in required timescale.</p> <p>Impact on</p> <ul style="list-style-type: none"> • Customer satisfaction • Customer safety (injury could lead to a claim) • Offer refusals / increased void rent loss / increased relet period 	<p>Weekly operational meetings with Mears and Construction Services .</p> <p>Monthly performance review meetings, including “fail” trends.</p> <p>Satisfaction monitoring</p>	2	2	Phil Hogg	<p>Quarterly Contract Reviews reported to Asset, Development and Investment Committee</p> <p>Further review of void process with Mears and Construction Services</p> <p>Targeted additional décor / presentation aimed at low demand voids</p>	<p>Qtr 1 report due Oct 2015</p> <p>Throughout 2015/2016</p> <p>Throughout 2015/16</p>	2	2	Additional décor work to low demand voids aims to reduce property refusals and reduce void rent loss

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	LETTINGS									
LE1	<p>Properties becoming difficult to let</p> <p>Lack of demand / few or no bids received / high level of refusals</p> <p>All leading to increase in void rent loss</p>	<p>Estate Matrix produced twice a year shows estate by estate profile including turnover and void period</p> <p>All dwellings categorised from high demand to very low demand, with periodic review.</p> <p>Low demand report presented to Board May 2015</p> <p>Redesignation (in 2014) of 2 bed flats to 1 bed+ at Redheugh and Eslington Courts</p>	4	4	Jackie Armstrong	<p>Monitor void and refusal rates, making recommendations for further redesignation / lettings plans as appropriate</p> <p>Additional décor work targeted at low demand properties</p> <p>Report on low demand discussed with council, and to form part of discussion at Members Seminar</p>	<p>Throughout 2015/16</p> <p>Throughout 2015/16</p> <p>July 2015</p>	4	4	<p>Void loss has increased from £932k in 2012/13 (pre-bedroom tax) to £1.49 million in 2013/14 and £2.2 million in 2014/15. therefore residual impact is still greater than £200k and remains red</p> <p>Additional décor work will come at a cost, but is aimed at reducing refusals and a greater reduction in void rent loss</p>

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
LE2	<p>Lack of availability of properties in demand</p> <p>Potential reductions in availability due to demolition/estate regeneration; from Right to Buy; from lack of certain property types in some locations</p> <p>Increased demand for some property types due to welfare reform</p>	<p>Monitoring of progress of estate clearance/ demolition – monthly</p> <p>Monitoring of Housing Register – quarterly</p> <p>Potential for new build schemes/ new properties under management</p> <p>Monitoring of impact of welfare reform</p> <p>Estate clearance largely complete</p>	-2	2	Jackie Armstrong	<p>Monitoring of Housing Register</p> <p>Potential for new build schemes/ new properties under management</p> <p>Monitoring of impact of welfare reform – considerations include changes to eligibility for some properties</p> <p>Delete as no longer considered an issue</p>	<p>Quarterly</p> <p>As opportunities arise</p> <p>Information to be fed in by TGHC every six months</p>	2	2	The most common area of lack of availability is around 2-bedroom bungalows

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	RENT & INCOME									
RI1	<p>Increase in rent arrears</p> <p>Particularly as a result of reductions in customers' Housing Benefit entitlement due to welfare reform.</p> <p>(Links to Strategic Risk)</p>	<p>Arrears prevention / income maximisation advice</p> <p>Programme of information, contacts and visits to customers affected by welfare reform</p> <p>Assistance provided to tenants with applications for Discretionary Housing Payments (DHP). In 2013-14 over £430k was paid to HRA tenants</p> <p>Impacts of welfare reform monitored and fed into joint working groups.</p>	4	4	Jonathan Graham	<p>Continue to monitor impact of the benefit reforms and feed in to working groups.</p> <p>Continue to work with Council to award and refer tenants for DHP awards. Assist council to allocate this to tenants.</p> <p>Recruit to two additional posts of Advice and Support Officer to assist with introduction of Universal Credit, and to improve financial inclusion. Including work with Energy Angels, credit union, benefit maximisation and DHP.</p> <p>Universal Credit is being rolled out in Gateshead from June 2015. Initially only for single people entering new claims. Training will be issued to all staff</p>	<p>Ongoing</p> <p>Throughout 2015/16</p> <p>June 2015</p> <p>From June 2015</p>	4	4	Actions will reduce the impact, but the financial loss for arrears alone will still be considerable.

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
						across the company, and learning from early cases to be developed				

Customers and Communities – Gas Servicing Operational Risk Register

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
GS1	Customers sleeping temporary/permanent in a room with a open flued gas appliance, including overcrowded property Fatality due to Carbon Monoxide Poisoning incident. Spillage of fumes in domestic properties while sleeping in the same room as the gas appliance	TGHC GAS SAFE Registered Risk Assessed Procedure initiated Carbon Monoxide detector Every three month a gas service is initiated Records/Data kept. All contractors are GAS SAFE competent registered Raise Awareness of risk to customers.	1	4	Chris Scott	Adequate controls in place		1	4	
GS2	Failure to comply with gas safety legislation and regulation in non-residential	Register of trained engineers renewal of registration	1	4	Chris Scott	Adequate controls in place		1	4	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	buildings This will result in exposure to dangerous conditions which may lead to fatality, loss of company reputation and insurance claims	Audit checks for compliance. Reported accidents investigated. All properties inspected to GAS SAFE standards Dangerous appliances isolated and meter capped in all instances Liaising with Carers and other agencies for access to the properties as required from a care plan assessment								
GS3	Non-compliance with the Gas Safety (Installation and Use) Regulations 1998 for all flues to be suitable for the appliance concerned and to be in a proper	All pre-assembled concealed flues in voids risk assessed Tender to renew new boilers where flue access is denied	1	4	Chris Scott	Adequate controls in place		1	4	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	condition for the safe operation of the appliance by 31 December 2012 resulting spillage of fumes from gas appliance due to concealed flue pipe and a potential fatality due to carbon monoxide poisoning	<p>Maintenance and surveys through risk assessments</p> <p>Inspections to install access panels</p> <p>Gas boilers which fail risk assessment now classed as 'ID' and to be replaced / renewed to new gas regulations or access panels fitted with CO detectors and CO cut off valves</p> <p>Asset Management to change all "at risk" boilers</p>								
GS4	Fatality due to gas related incidents/Solid Fuel or Carbon Monoxide Poisoning incidents Explosion ignited by gas escapes in properties and surrounding	<p>TGHC Gas Safe Registered</p> <p>Annual gas service initiated</p> <p>HETAS solid fuel registered contractors initiate work</p>	1	4	Chris Scot	Adequate controls in place		1	4	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	properties from installation pipe work, gas appliances and all domestic ancillary gas fittings. Spillage of fumes from solid fuel or gas appliances in domestic properties, including surrounding properties	<p>Bi-annual solid fuel service initiated.</p> <p>Risk Assessed Procedure for No Access Properties Records/Data kept. Weekly and Monthly performance audits</p> <p>5% collectively of all Gas Servicing, Installations and Repairs audited annually</p> <p>All contractors and employees are checked for registration annually</p> <p>Carbon Monoxide detectors installed to all properties with solid fuel appliances installed</p>								

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>Continue with programmed replacement of open flued boilers.</p> <p>A programme of works to change all existing solid fuel appliances to Gas appliances</p>								
GS5	<p>Customers installing their own cookers resulting in fatality due to gas related incidents/Carbon Monoxide Poisoning incidents Explosion ignited by gas escapes in properties and surrounding properties from Customers own gas cooker appliances. Spillage of fumes from gas cooker appliances in domestic properties, including surrounding</p>	<p>Fitted by Gas Safe Engineer</p> <p>Gas safety check customer's cooker in annual gas service.</p> <p>Customers advised of their obligation to have their gas cookers serviced</p>	1	4	Chris Scott	Adequate controls in place		1	4	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	properties									
GS6	<p>Customers installing own cookers in High Rise properties</p> <p>Fatality due to gas related incidents/Carbon Monoxide Poisoning incidents</p> <p>Explosion ignited by gas escapes in properties and surrounding properties from Customers own gas cooker appliances.</p> <p>Spillage of fumes from gas cooker appliances in domestic properties, including surrounding flats</p>	<p>Gas safety check customer's cooker in annual gas service.</p> <p>Customers advised of their obligation to have their gas cookers serviced</p> <p>All new cooker installations in multi storey properties MUST have safety devices on all burners</p> <p>Install safety controls to cut off gas supply for our vulnerable tenants</p> <p>Raise awareness of risk to customers</p> <p>TGHC option changing tenants gas cookers for electric cookers to reduce risk</p>	1	4	Chris Scott	Adequate controls in place		1	4	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		(Regent court, Park, Peareth, Priory) Good practice								

Customers and Communities – Improvement Works Operational Risk Register

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
IW1	Injury / fatality to public – potential litigation, HSE investigation and criminal investigation.	Health & Safety plan in place for every site Method statements for work to mitigate risk to public Regular site inspections by partner and TGHC	1	4	Steve Cook	Adequate controls in place.		1	4	No change
IW2	Increase in complaints from customers, Councillors and other stake holders resulting in a loss of confidence / public image for TGHC and partners.	Targeted 85% satisfaction survey returns Quarterly performance reporting Dissatisfaction Survey to explore negative feedback Early intervention and discussion with partner Learn from satisfaction /dissatisfaction and implement changes to improve future delivery	1	2	Carole Nicholson	Adequate controls in place		1	2	We have received very few complaints recently and mechanisms in place deal with them effectively. It is therefore proposed that the likelihood be reduced from a 2 to a 1 and that this monitored internally.

Customers and Communities – Repairs Operational Risk Register

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
RE1	Inclement weather resulting in increased property defects and delay in delivering reported repairs – repair costs / customer dissatisfaction / litigation and associated costs (S 11 Cases) / poor KPI performance	<p>Winter contingency plan now a formal part of Contractors BCP.</p> <p>Staff and contractors have increased awareness and proactively review resources accordingly to meet increased service demand.</p> <p>Specification change implemented for external condensate.</p> <p>Winter working group developed to review plans/controls while also managing working methods during winter periods.</p> <p>Annual assessment of internal / contractors</p>	3	2	Phil Hogg	Review of LES construction operations critical service plan notifications to TGHC	September 2015 (estimate)	2	1	Further delayed until BARIS interface implemented.

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>procedures, staffing and contacts in preparation for seasonal change.</p> <p>Heating systems in void properties are drained down between November and February to avoid bursts and associated damage to properties</p> <p>Customer publications sharing advice for staying safe during the winter and how to react to winter emergency situations</p>								
RE2	Overspending repairs budget resulting in an inability to carry out core function - asset degradation / customer dissatisfaction	<p>Live variations process in place. Provides enhanced clarity of works in progress and contract expenditure.</p> <p>Weekly financial review of orders raised /variations to analyse trends of expenditure.</p>	4	4	Phil Hogg	<p>Implementation of Northgate/TASK interface to control orders to LES and give increased budget monitoring.</p> <p>Budget profiling across a full financial year to improve understanding of spend in anticipation of price per property model.</p>	<p>December 15</p> <p>March 15</p>	3	3	<p>Held until interface with Mears complete and tested.</p> <p>BARIS implementation with Construction Services has been further delayed.</p>

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>Implementation of additional budget heads in Northgate.</p> <p>Monthly financial forecast prepared by Repairs Contractor, reviewed at fortnightly Commercial meetings.</p> <p>Credit process in place and reviewed fortnightly.</p> <p>Further development of SOR range to reduce usage of Dayworks claims, to reduce drain on officer time to check and evaluate.</p> <p>Partnership roll out of SOR descriptions and inclusions / exclusions</p> <p>Non urgent works placed monthly on held path until</p>				<p><i>Awaiting report development by ICT</i></p> <p>Pre-define SOR's according to high cost/risk on budgets. Pre-inspect each job prior to raising of repair order. Potential cost would be managed and number of variations reduce.</p>	Sept 15			

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>funding is confirmed. Pre-inspections completed with work released according to budget and need</p> <p>Weekly commercial meetings implemented for the partnership</p>								
RE3	<p>Inability to manage Cyclical Maintenance Resulting in inability to meet legislative requirements/ inadequate control of contractor outputs and quality/ asset degradation or closure / financial loss.</p>	<p>Principal management undertaken by LES on behalf of client.</p> <p>Improved audit controls of LES monthly statutory works</p> <p>Improve contractor competency checking/vetting procedures.</p> <p>Management arrangements reviewed</p> <p>Tendered/non tendered</p>	3	3	Russell Urwin	<p>Development of SLA with other service providers required. CS SLA finalised 5-6-15. CS to sign and return.</p> <p>Implementation of Northgate/TASK interface to control orders to LES / 3rd party contractors and reduce abortive officer time.</p> <p>Incorporate warranties information into Northgate</p> <p>Development of contingency planning for temporary boiler replacement of redundant infrastructure in multi storey blocks.</p>	<p>July 2015</p> <p>Oct 2015</p> <p>Oct 2015</p> <p>Ongoing</p>	2	3	<p>Able to roll out the majority of interfaces. CS not able to deliver 2 interfaces and 2 partially developed . This will impact on TGHC business processes to manage variations. Further solution design required before implantation of cyclical works orders. Repair orders currently being managed via Northgate interface to control order creation and spend.</p>

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>maintenance agreements evaluated and planned</p> <p>Scheduled periodic market testing of non-statutory works</p>				Contingency planning in place for boiler replacement. Works suspended for period during Town Centre Communal Heating development – scheduled for 2016.				
RE4	Unsafe working practices resulting in injury and death of persons - loss of key personnel / litigation and associated costs / negative corporate image	<p>Annual review of H&S risk assessments and method statements for all works and associated activities</p> <p>Secondment of dedicated H&S officer into Repairs Service. Extended to July 2015</p> <p>Implemented service wide training schedule to streamline training requirements and align risk assessments.</p> <p>Review of H&S procedures for Mears Partnership</p>	1	4	Russell Urwin	<p>Training and briefs to be implemented to suit structure changes</p> <p>Programme to be developed</p> <p>Links to appointment of Compliance Officer Role, interviews scheduled for July 2015.</p>	Ongoing	1	4	Training to follow, with focus on in-house where ever practical to reduce cos
RE5	Financial disputes resulting in	Enhanced contract conditions as part of repairs re-	3	3	Phil Hogg	Production of a monthly financial report from Northgate to allow	Oct 2015	3	3	Delayed due to ICT priorities.

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
	escalation of unresolved disputes – litigation and associated costs / negative corporate image	tendering. Live variations process in place. Provides enhanced clarity of works in progress and contract expenditure. Monthly financial review meeting with Mears to evaluate variations process.				increased understanding of spend. Financial reporting now limited due to amended repairs contracts and invoicing processes. Action will show spend profile rather than financial reporting				
RE6	Failure to deliver repairs to published standards and timescales resulting in customer dissatisfaction / negative corporate image	Enhanced performance information available on demand through contractors repairs interface enables closer monitoring. Weekly operational meeting to review process & performance. Full review of performance definitions and confirmation of KPI and development of additional suite of MPI's. Enhancement of	2	2	Phil Hogg	Development of TGHC reporting model utilising Northgate to assist in audit of Mears performance data. Development of reporting suite for management of other RSLs	December 2015	2	1	ICT development has been delayed due to the testing of the BARIS system. Performance reporting from Northgate is not viable until all data is held in the system and updated in a timely/accurate manner.

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		<p>Mears report specification to give clarity on accuracy of data. Daily monitoring of failures in place. (Repairs and Maintenance, including Gas Repairs)</p> <p>Quarterly monitoring for repairs and voids via Contract Review Report</p> <p>Changes to repairs categories agreed by Mears as part of tender.</p>								

Customers and Communities – Tenancy and Estate Management Operational Risk Register

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
TE1	Risk of fires/tripping hazards/safety in communal areas in multi storey accommodation, low rise and sheltered accommodation resulting in risk of injury or fatality to staff and customers	<p>Multi storey check system in place to remove hazards</p> <p>Daily and weekly inspections carried out by caretakers in MSBs</p> <p>Quarterly block tours carried out by employees and customer inspectors</p> <p>Furniture replacement programme in place to remove non compliant furnishings in sheltered accommodation</p> <p>Fire Safety works programme in MSB's delivered</p> <p>Piloted approach to communal area inspection in low and medium rise blocks</p>	2	4	Julie McCartney	Following pilot, implement communal area inspections in low and medium rise blocks	July 2015	1	4	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		Fire safety work delivered in sheltered schemes – Works nearing practical completion. Will reduce likelihood.								
TE2	Reduced customer satisfaction with living in neighbourhood due to lack of funding for estate & environmental projects resulting in reduced customer satisfaction in neighbourhoods could lead to increase in tenants moving out and reduced demand for properties	<ul style="list-style-type: none"> Established partnership arrangements in place Access to funding via community groups in place EO toolkit outlining current resources available to maximise implementation of schemes. Quarterly estate tours carried out with customers Neighbourhood Pride and Designing out crime reviewed and new Sustainable Communities Fund in place to improve 	2	2	Teresa Smare	<p>Working with customers to deliver Sustainable Communities Fund schemes</p> <p>Review the estate tours programme</p>	<p>March 2016</p> <p>October 2015</p>	2	2	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		development of local schemes <ul style="list-style-type: none"> Explore & Identify other external funding resources 								
TE3	Grounds Maintenance Service not delivered to agreed published standards resulting in customer and councillor dissatisfaction with neighbourhoods and reduced demand for homes due to visual look of estates	<ul style="list-style-type: none"> Joint working arrangements established and in place Monthly and quarterly performance monitoring meetings held with customers and partners to scrutinise performance Quarterly estate tours carried out with customers to identify issues Annual review of Service Agreement with customer involvement is undertaken Customers updated on revised service standards 	2	2	Teresa Smare	Annual review of Grounds Maintenance Service Agreement with customer involvement Review estate tours programme	March 2016 October 2015	2	2	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
TE4	<p>Not reporting Safeguarding Adult or Children issues resulting in risk of serious injury or fatality to a child or adult and potential risk of legal challenge if we are found to be at fault</p>	<ul style="list-style-type: none"> • Policy and procedures in place & reviewed annually • Staff training is reviewed annually & refreshed every 3 years through appraisals • Referrals and cases are monitored through NRT • Training is provided through multi agency Safeguarding Boards & through TGHC • Staff briefing on revised procedures issued in May 2013 & with Mears contractors in June 2013 • TGHC attend Safeguarding Adults and Safeguarding Children policy and practice 	1	4	Deborah Ewart	<p>Safeguarding Adults Policy to be developed in light of new legislation and Care Act 2014</p> <p>Managers and staff to attend refresher training</p>	<p>September 2015</p> <p>Ongoing</p>	1	4	

Risk No	Risk	Controls	Likelihood	Impact	Owner	Future Actions	Timescale	Residual Likelihood	Residual Impact	Cost Effectiveness of Future Actions
		multi-agency group <ul style="list-style-type: none"> TGHC are represented on relevant Boards – SAB & LSCB 								