



Report to the Board

18 July 2019

Title: Strategic and Operational Risk Register

Report of: Interim Managing Director

Purpose of Report

1. To agree the detail for a new strategic risk around excessive levels of vacant properties that has been escalated from the operational risk register.
2. To note a new health and safety Operational Risk Register.

Background

3. Audit Committee agreed updated operational risk registers at its last meeting on 24 April 2019 for the Customers & Communities, Property & Assets and Business & Development Directorates.
4. Audit Committee considered a new risk around excessive levels of vacant properties and agreed that it should be escalated to the strategic risk register.
5. Audit Committee also noted that a Compliance Risk Register was currently being developed with the Council and it was agreed to come back with these risks and the detail accompanying each of the risks.
6. Audit Committee received, at its meeting on 3 July 2019, a new strategic risk around excessive levels of vacant properties that has been escalated from the operational risk register and a new health and safety operational risk register. The outcome of these discussions is outlined later in this report.

Excessive Levels of Vacant Properties – new strategic risk

Strategic Risks

7. Strategic risks are those which are critical to the direction of an organisation. Strategic risks may be driven by government policy, competition or a change in stakeholder requirements.
8. The following four scale matrix has continued to be 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 – Strategic Risks

Scoring	Definition	Example of impact
4	Critical	Total service loss for significant period Fatality Financial loss over £500,000 Government / Council intervention
3	High	Significant service disruption Major/disabling injury Financial loss over £100,000 Adverse national media coverage
2	Medium	Service disruption Loss time injury Financial loss over £50,000 Adverse local media coverage / lots of service user complaints
1	Low	Minor service disruption / short term inconvenience Minor injury Financial loss under £50,000 Isolated service user complaints

9. The operational risk around excessive levels of vacant properties has been reviewed and the proposed strategic risk is attached as Appendix 1 to this report.

Health and Safety Operational Risks – new operational risk register

Operational Risks

10. Operational risks are those which are encountered during the day to day running of the company.
11. 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

12. A new Health and Safety Risk Register that will sit within the Property and Assets Directorate has been developed.

13. The following new risks will sit under the existing strategic risk (SR3): -

SR3 Causing serious harm or neglect to a customer, supplier or third party

HS1 Failure to carry out fire risk assessments and implement actions

HS2 Failure to complete asbestos safety surveys

HS3 Failure to complete water hygiene risk assessments

HS4 Failure to carry out annual gas and solid fuel safety checks

HS5 Failure to complete electrical safety checks

HS6 Failure to inspect and maintain pressure safety vessels in line with legislation

HS7 Failure to ensure insurance inspections of lifts, platform lifts and hoists are carried out

HS8 Failure to carry out inspections and maintenance for passenger lifts, stairlifts, hoists and bathing equipment

HS9 Failure to control access to all blocks by external and internal contractors

HS10 Failure to carry out annual renewable checks, unvented heating, solar pv, ground source and air source heat pumps.

HS11 Failure to work effectively with the Council to gather, analyse utilise and update asset data.

14. The new register, including the updated strategic risk is attached at Appendix 2.

15. An additional column for named officer has been added to each of the planned controls and it is proposed that this is monitored via the Senior Management Group.

Discussion at Audit Committee

16. The report was discussed at Audit Committee on 3 July 2019.

17. The committee resolved that the Board be recommended to approve the new strategic risk around excessive levels of vacant properties.
18. Elsewhere on this agenda is a report informing the Board on a new arrangement for energy switching for vacant properties with Robin Hood Energy following a council-led tender in 2018. Details of this have been added to the existing controls.
19. The committee also approved a new Health and Safety Operational Risk Register within the Property and Asset Directorate but sought clarification of the title of the strategic risk.
20. Appendix 2 has been updated to confirm that the title of the strategic risk is:

'Causing serious harm or neglect to a customer, supplier or third party'
21. Audit Committee also approve the adding of an additional column for named officer to planned controls and this be monitored by Senior Management Group.

Link to Values

22. 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. Meetings have taken place with the risk owners and the Council to agree the content of the registers.

Impact on Customers

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

Recommendations

23. The Board is recommended to
 - (a) approve the new strategic risk and detail around excessive levels of vacant properties;
 - (b) note the new Health and Safety Operational Risk Register within the Property and Assets Directorate;
 - (c) note the adding of an additional column for named officer to planned controls and this be monitored by Senior Management Group.

Strategic Risk Register (new strategic risk)		
SR11	Excessive levels of vacant properties	Neil Bouch

Consequence of the risk	High level of vacant property rent loss; delays in meeting housing needs; dissatisfaction from residents who see properties standing vacant.
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Current Likelihood	Current Impact
4	4

Previous Likelihood	Previous Impact
New	New

Existing Controls

1	Management of choice based lettings scheme (Tyne and Wear Homes)
2	Identification of low demand properties, with additional advertising and promotion
3	Void team carry out relet works and deliver lettable standard
4	Viewing team accompany applicants with aim of minimising refusals
5	Support provided to the council in development of stock options appraisals

Planned Controls

		Timescale	Named Officer
1	Recommendations to follow external review of Tyne and Wear Homes	30 September 2019	Kevin Johnson
2	Continue to work in partnership with Gateshead Council to develop future stock options and any recommendations	Ongoing	Kevin Johnson
3	Establishment of a voids senior management working group	1 August 2019	Ian Price
4	Development of a Void Action Plan - resources and activity	1 September 2019	Kevin Johnson / Paul Taylor
5	Development of an end to end Void Management Policy	1 December 2019	Paul Taylor
6	End to end monitoring of voids, including financial reporting and performance monitoring	30 September 2019	Mark Charlton
7	Review sub-contractor management to support delivery	1 September 2019	Paul Taylor
8	Review of the management of applicant vetting checks	1 March 2020	Deborah Ewart
9	Review of lettable standard and voids categories	1 September 2019	Paul Taylor/Mark Charlton
10	Resources assessment - In year and budget setting	Budget Setting - March 2020	Ian Price / Mark Banks
11	Development of Marketing Strategy for properties	31 March 2020	Kevin Johnson
12	Improvement of structural voids management	1 August 2019	Scott Straughan
13	Commencement of new energy contract for void properties with Robin Hood Energy	31 August 2019	Paul Taylor / Kevin Johnson

Future Likelihood	Future Impact
2	4

Successful implementation of the planned controls will reduce the risk

Health and Safety Operational Risk Register (as at end of June 2019)

Current Heatmap

Almost Certain				
Likely				2
Moderate			1	8
Unlikely				1

Future Heatmap

Almost Certain				
Likely				
Moderate				
Unlikely			1	11

Scoring	Definition	Time 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
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

Health and Safety Risk Register

Risk No	Risk	Likelihood	Impact	Owner	Residual Likelihood	Residual Impact
SR3	Causing serious harm or neglect to a customer, supplier or third party	3	4	Director of Property and Assets	1	4
HS1	Failure to carry out fire risk safety risk assessments and implement actions and controls	2	4	Compliance Manager	1	4
HS2	Failure to complete asbestos safety surveys	3	4	Scott Straughan	1	4
HS3	Failure to complete water hygiene risk assessments	2	4	Scott Straughan	1	4
HS4	Failure to carry out annual gas and solid fuel safety checks	2	4	Paul Taylor	1	4
HS5	Failure to complete electrical safety checks	2	4	Paul Taylor	1	4
HS6	Failure to inspect and maintain pressure safety vessels in line with legislation	1	4	Paul Taylor	1	4
HS7	Failure to ensure insurance inspections of lifts, platform lifts and hoists are carried out	2	4	Paul Taylor	1	4
HS8	Failure to carry out inspections and maintenance for passenger lifts, stairlifts, hoists and bathing equipment	2	4	Paul Taylor	1	4
HS9	Failure to control access to all blocks by external and internal contractors	2	3	Stephen Foggin	1	3
HS10	Failure to carry out annual renewable checks, unvented heating, solar pv, ground source and air source heat pumps	2	4	Paul Taylor	1	4
HS11	Failure to work effectively with the Council to gather, analyse, utilise and update asset data	2	4	Compliance Manager	1	4

SR3	Causing serious harm or neglect to a customer, supplier or third party	Director of Property and Assets
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Consequence of the risk	Fatality or serious injury to customers, employees or sub-contractors; risk of legal action; loss of reputation; regulatory intervention
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Current Likelihood	Current Impact
3	4

Previous Likelihood	Previous Impact
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Existing Controls

1	Business Risk and Assurance Team established
2	Landlord compliance function strengthened
3	Compliance catch up plan
4	Forward planning of works and outputs
5	Internal audit arrangements
6	Seven Compliance Policies approved and safety management plans in development
7	5 year cyclical programme for compliance activities developed
8	Health and Safety Policies and Incident reporting procedures in place
9	Manual process for property reconciliation
10	Adopted Council's procurement procedures and approved list of contractors
11	Engagement of external and internal contractors to meet delivery programmes
12	Effective monitoring and performance reporting
13	A greater oversight of the management and control of data
14	Adequate finance and resources to ensure clear visibility of expenditure and outputs
15	Monthly partnership meetings with the Council
16	Compliance Task and Finish Group established
17	Compliance data scrutinised by Board and Audit Committee
18	Major incident procedures led by Gateshead Council
19	Preparation for outcome of Grenfell Report and Hackitt Review
20	Implement structures that ensure appropriate persons responsibilities for compliance

Planned Controls

		Timescale	Named Officer
1	Completion and roll out of management plans	31 August 2019	Marie John
2	Develop training programme	31 March 2020	Marie John
4	Assess for third party audit and scrutiny	31 December 2019	Compliance Manager
5	Migration of independent data into Northgate	31 March 2020	Simon Chrisp
6	Align Northgate and Keystone Asset Management System through Joint Data Protocol	31 March 2020	Simon Chrisp
7	Greater monitoring and visibility of compliance through KPIs and live dashboard reporting	31 March 2020	Phil Watt / Simon Chrisp
8	Raising awareness of consumer standards for Board and Senior Executives	18 July 2019	Neil Bouch
9	Data Cleansing Exercise and development of data protocols	Ongoing	Compliance Manager
10	Review of health and safety service level agreement	31 December 2019	Marie John
11	Implementation of actions from health and safety internal audit	31 December 2019	Stephen Foggin
12	Development of health and safety operational plan	31 March 2020	Stephen Foggin
13	Consolidation of outstanding actions into 2020 health and safety action plan and launch of the plan	31 December 2019	Stephen Foggin

Future Likelihood	Future Impact
1	4

Planned controls will reduce the future risk

Operational Risk Register - Health and Safety		
HS1	Failure to carry out fire safety risk assessments and implement actions and controls	Compliance Manager

Consequence of the risk	Potential increase in risk to residents in multi storey premises. Potential of enforcement action by Tyne & Wear Fire Service.
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Current Likelihood	Current Impact
2	4

Previous Likelihood	Previous Impact
NEW	NEW

Existing Controls

1	Completion of Fire Risk Assessments - FRA assessments High Rise, sheltered accommodation and communal lounges (every two years) - FRA Reviews High Rise, sheltered accommodation and communal lounges (annually between FRA's) - FRA Assessments Medium and Low Rise (every four years) - FRA Reviews Medium and Low Rise (every two years between FRA's)
2	Actions arising from FRAs managed and completed activity reported
3	Engage with customers and keep customers aware of their obligations
4	Ensure appropriate budgets are in place to complete annual activity
5	Fire Safety Policy
6	Fire Safety Management Plan

Planned Controls

		Timescale	Named Officer
1	Completion of FRA assessments high rise, sheltered accommodation and communal lounges	Ongoing	Stuart Thew
2	Completion of FRA reviews high rise, sheltered accommodation and communal lounges	Ongoing	Stuart Thew
3	Completion of FRA assessments medium and low risk	Ongoing	Stuart Thew
4	Completion of FRA Reviews medium and low rise	Ongoing	Stuart Thew
5	Manage actions arising from FRAs and report on completed activity via Northgate	Ongoing	Stuart Thew
6	Manage operational maintenance and investment activity that may affect fire safety of any buildings	Ongoing	Scott Straughan
7	Development of database to manage and track actions	31 August 2019	Phil Watt
8	Develop data protocol to ensure all systems are resilient and reconciled	31 March 2020	Compliance Manager
9	Delivery of bespoke training on Policy, Safety Management Plan and Operating Procedures once developed in conjunction with Training Provider facilitated via Organisational Development once all associated documentation is complete	31 December 2019	Marie John / Debbie Worrall
10	Customer engagement to keep them informed and aware of their obligations	Ongoing	Martin Poulter
11	Development of Fire Safety leaflet	31 December 2019	Stuart Thew / Martin Poulter

Future Likelihood	Future Impact
1	4

Successful implementation of the planned controls will reduce the risk.

Operational Risk Register - Health and Safety		
HS2	Failure to complete asbestos safety surveys	Scott Straughan

Consequence of the risk	Exposure to asbestos of tenants and staff through poor data, record keeping and action taking
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Current Likelihood	Current Impact
3	4

Previous Likelihood	Previous Impact
NEW	NEW

Existing Controls

1	Procure sub-contractors to carry out annual asbestos safety surveys for communal areas and maintain effective oversight
2	Actions arising from the annual assessments of communal areas prioritised and identified outcomes completed
3	Engage with customers and keep customers aware of their obligations
4	Manage the actions arising from communal asbestos surveys and report on completed activity
5	Ensure appropriate budgets are in place to complete annual activity
6	Report on activity
7	Asbestos Safety Policy
8	Asbestos Safety Management Plan issued

Planned Controls

		Timescale	Named Officer
1	Prioritise actions arising from the annual assessments of communal areas and complete identified outcomes	31 December 2019	Martin Roberts
2	Develop a programme for the completion of outstanding domestic properties that do not have an asbestos survey	31 March 2020	Martin Roberts
3	Develop data protocol to ensure all systems are resilient and reconciled	31 March 2020	Compliance Manager
4	Customer engagement to keep them informed and aware of their obligations	Ongoing	Martin Poulter
5	Manage the actions arising from communal asbestos surveys and report on completed activity	31 December 2019	Scott Straughan
6	Asbestos procedures in development	31 July 2019	Diane McNeill
7	Delivery of bespoke training on Policy, Safety Management Plan and Operating Procedures once developed in conjunction with Training Provider facilitated via Organisational Development once all associated documentation is complete	31 December 2019	Marie John / Debbie Worrall
8	Production of asbestos leaflet	30 September 2019	Martin Roberts / Martin Poulter
9	Development of a non-access procedure for asbestos	30 September 2019	Martin Roberts / Diane McNeill

Future Likelihood	Future Impact
1	4

Successful implementation of the planned controls will reduce the risk.

Operational Risk Register - Health and Safety		
HS3	Failure to complete water hygiene risk assessments	Scott Straughan

Consequence of the risk	Contamination of water systems which could serious illness to customers, visitors and staff
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Current Likelihood	Current Impact
2	4

Previous Likelihood	Previous Impact
NEW	NEW

Existing Controls

1	Engage with customers and keep customers aware of their obligations
2	Maintain an annual programme of water hygiene risk assessments
3	Programme the work arising from water hygiene surveys and report on completed activity
4	Ensure appropriate budgets are in place to complete annual work programmes
5	Monitoring Gateshead Council 5 year plan - DMS inputted data

Planned Controls

		Timescale	Named Officer
1	Review existing data protocols in conjunction with Gateshead Council to ensure all systems are resilient and reconciled	31 March 2020	Compliance Manager
2	Produce a procedure and schedule to deliver remedial works following water hygiene assessments	31 December 2019	Christine McFarlane
2	Customer engagement to keep them informed and aware of their obligations	Ongoing	Martin Poulter
3	Production of water hygiene leaflet	31 December 2019	Christine McFarlane / Martin Poulter
4	Water Safety Management Plan in development	30 September 2019	Marie John
5	Delivery of bespoke training on Policy, Safety Management Plan and Operating Procedures once developed in conjunction with Training Provider facilitated via Organisational Development once all associated documentation is complete	31 December 2019	Marie John / Debbie Worrall

Future Likelihood	Future Impact
1	4

Successful implementation of the planned controls will reduce the risk.

Operational Risk Register - Health and Safety		
HS4	Failure to carry out annual gas and solid fuel safety checks	Paul Taylor

Consequence of the risk	Risk of exposure to carbon monoxide; fire and explosion; serious harm to customers; reputational damage.
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Current Likelihood	Current Impact
2	4

Previous Likelihood	Previous Impact
NEW	NEW

Existing Controls

1	Maintain an annual programme of gas and solid fuel safety checks
2	Engage with customers and keep customers aware of their obligations
3	Procure sub-contractors to carry out works and maintain effective oversight
4	Ensure appropriate budgets are in place to complete annual work programmes
5	Daily reporting on activity
6	Regular review of competency of gas engineers
7	Regular audits of gas engineers and sub-contractors
8	Warrant process

Planned Controls

		Timescale	Name Officer
1	Review no access procedures (to incorporate asbestos process)	30 September 2019	Russell Leach
2	Customer engagement to keep them informed and aware of their obligations	Ongoing	Martin Poulter
3	Develop data protocol to ensure all systems are resilient and reconciled	31 March 2020	Compliance Manager
4	Gas and Carbon Monoxide Safety Management Plan in development	30 September 2019	Diane McNeil
5	Delivery of bespoke training on Policy, Safety Management Plan and Operating Procedures once developed in conjunction with Training Provider facilitated via Organisational Development once all associated documentation is complete	31 December 2019	Marie John / Debbie Worrall
6	Development of a suite of gas safety leaflets (gas safety; gas cookers; log burners)	31 December 2019	Russell Leach / Martin Poulter

Future Likelihood	Future Impact
1	4

Successful implementation of the planned controls will reduce the risk.

Operational Risk Register - Health and Safety		
HS5	Failure to complete electrical safety checks	Paul Taylor

Consequence of the risk	Risk of electrocution, fire or harm to customers, visitors and employees; reputational risk
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Current Likelihood	Current Impact
2	4

Previous Likelihood	Previous Impact
NEW	NEW

Existing Controls

1	Maintain a programme of electrical safety checks for all domestic properties migrating to and completing the first 5 year programme by 2024/25
2	Maintain a 5 year programme of electrical safety checks for all communal areas with the next programme completing 2022/23
3	Engage with customers and keep customers aware of their obligations
4	Procure sub-contractors to carry out works and maintain effective oversight
5	Ensure appropriate budgets are in place to complete annual work programmes
6	Report on activity
7	Maintain programme for fire alarm emergency lighting, lightning protection
8	Electrical Safety Management Plan

Planned Controls

		Timescale	Named Officer
1	Review no access procedures	30 September 2019	Paul Taylor
2	To support the delivery of communal electrical safety checks redesign/relocate electrical equipment by end of March 2020	Ongoing	Paul Taylor
3	Customer engagement to keep them informed and aware of their obligations	Ongoing	Martin Poulter
4	Develop data protocol to ensure all systems are resilient and reconciled	31 March 2020	Compliance Manager
5	Development of electrical leaflet	30 September 2019	Paul Taylor / Martin Poulter
6	Development of new audit process	30 September 2019	Paul Taylor
7	Procurement of electrical platform	31 December 2019	Paul Taylor / Andrew Curtis
8	Delivery of bespoke training on Policy, Safety Management Plan and Operating Procedures once developed in conjunction with Training Provider facilitated via Organisational Development once all associated documentation is complete	30 September 2019	Marie John / Debbie Worrall
9	Development of PAT testing programme	30 September 2019	Christine McFarlane
10	Produce programme for movement of meters in communal areas	31 March 2020	Paul Taylor

Future Likelihood	Future Impact
1	4

Successful implementation of the planned controls will reduce the risk.

Operational Risk Register - Health and Safety		
HS6	Failure to inspect and maintain pressure safety vessels in line with legislation	Paul Taylor

Consequence of the risk	Loss of heating to vulnerable customers; damage to property
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Current Likelihood	Current Impact
1	4

Previous Likelihood	Previous Impact
NEW	NEW

Existing Controls

1	Maintain a programme of inspection for pressure safety vessels
2	Procure sub-contractors to carry out works and maintain effective oversight
3	Ensure appropriate budgets are in place to complete annual work programmes
4	Report on activity
5	Monthly boiler house checks completed by FM contractors
6	Servicing and maintenance of heating systems

Planned Controls

		Timescale	Named Officer
1	Develop data protocol to ensure all systems are resilient and reconciled	31 March 2020	Compliance Manager
2	Customer engagement to keep them informed and aware of their obligations	Ongoing	Martin Poulter
3	Pressure Vessels Safety Management Plan in development	31 July 2019	Marie John
4	Delivery of bespoke training on Policy, Safety Management Plan and Operating Procedures once developed in conjunction with Training Provider facilitated via Organisational Development once all associated documentation is complete	31 December 2019	Marie John / Debbie Worrall

Future Likelihood	Future Impact
1	4

Although the planned controls will not reduce the risk, they are necessary to continue to appropriately mitigate this risk

Operational Risk Register - Health and Safety		
HS7	Failure to ensure insurance inspections of lifts, platform lifts and hoists are carried out	Paul Taylor

Consequence of the risk	Failure of equipment and serious injury to customer; reputational risk
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Current Likelihood	Current Impact
2	4

Previous Likelihood	Previous Impact
NEW	NEW

Existing Controls

1	Maintain a programme of inspection for lifts
2	Sub-contractors procured to carry out works and maintain effective oversight
3	Appropriate budgets are in place to complete annual work programmes
4	Activity reported on
5	Insurance company bi annual thorough inspection checks

Planned Controls

		Timescale	Named Officer
1	Develop data protocol to ensure all systems are resilient and reconciled	31 March 2020	Compliance Manager
2	Customer engagement to keep them informed and aware of their obligations	Ongoing	Martin Poulter
3	Lift Safety Management Plan in development	30 September 2019	Marie John
4	Delivery of bespoke training on Policy, Safety Management Plan and Operating Procedures once developed in conjunction with Training Provider facilitated via Organisational Development once all associated documentation is complete	31 December 2019	Marie John / Debbie Worrall
5	Completion of Loler audit	31 July 2019	Stephen Foggin
6	Development of a no-access procedure for insurance inspections	30 September 2019	Christine McFarlane / Diane McNeill

Future Likelihood	Future Impact
1	4

Successful implementation of the planned controls will reduce the risk.

Operational Risk Register - Health and Safety		
HS8	Failure to carry out inspections and maintenance for passenger lifts, stairlifts, hoists and bathing equipment	Paul Taylor

Consequence of the risk	Failure of equipment and serious injury to customer; reputational risk
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Current Likelihood	Current Impact
2	4

Previous Likelihood	Previous Impact
NEW	NEW

Existing Controls

1	Maintain a programme of inspection
2	Procure sub-contractors to carry out works and maintain effective oversight
3	Report on activity
4	Monitoring of the contractor weekly initially to complete the outstanding volume and to complete the pre arranged 30 per month
5	Thorough inspection of platform lifts (LOLER)
6	Monthly planned maintenance of passenger lifts
7	Bi annual inspection for hoists & bathing equipment

Planned Controls

		Timescale	Named Officer
1	Develop data protocol to ensure all systems are resilient and reconciled	31 March 2020	Compliance Manager
2	Customer engagement to keep them informed and aware of their obligations	Ongoing	Martin Poulter
3	Completion of Loler audit	31 July 2019	Stephen Foggin
4	Lift Safety Management Plan in development	30 September 2019	Marie John
5	Delivery of bespoke training on Policy, Safety Management Plan and Operating Procedures once developed in conjunction with Training Provider facilitated via Organisational Development once all associated documentation is complete	31 December 2019	Marie John / Debbie Worrall

Future Likelihood	Future Impact
1	4

Successful implementation of the planned controls will reduce the risk.

Operational Risk Register - Health and Safety

HS9	Failure to control access to all blocks by external and internal contractors	Stephen Foggin
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Consequence of the risk	Harm to individuals caused by works starting without permission being granted; and insufficient arrangements in place to control risks; unnecessary damage to properties.
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Current Likelihood	Current Impact
2	3

Previous Likelihood	Previous Impact
NEW	NEW

Existing Controls

1	Key coded/ fob access to blocks
2	Red boxes containing keys and information regarding asbestos, water and fire located within Multi-Storeys and sheltered accommodation blocks
3	External contractors competency assessed by appointing officers prior to work starting
4	Site Induction arrangements for external contractors

Planned Controls

		Timescale	Timescale
1	Permit to work procedure to be produced.	31 March 2020	Paul Taylor / Scott Straughan
2	Permit to work procedure to be implemented throughout the business (including comprehensive training).	1 April 2020 onwards	Paul Taylor / Scott Straughan
3	Operating procedure to be developed, including sub-contractor management	31 March 2020	Paul Taylor / Scott Straughan / Diane McNeill
4	Develop data protocol to ensure all systems are resilient and reconciled	31 March 2020	Compliance Manager
5	Customer engagement to keep them informed and aware of their obligations	Ongoing	Martin Poulter

Future Likelihood	Future Impact
1	3

Successful implementation of the planned controls will reduce the risk.

Operational Risk Register - Health and Safety		
HS10	Failure to carry out annual renewable checks, unvented heating, solar pv, ground source and air source heat pumps	Paul Taylor

Consequence of the risk	Risk of exposure to carbon monoxide; fire and explosion; loss of heating to vulnerable customers; serious harm to customers; reputational damage.
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Current Likelihood	Current Impact
2	4

Previous Likelihood	Previous Impact
NEW	NEW

Existing Controls

1	Maintain an annual programme of renewable safety checks on unvented heating, solar pv, ground source and air source heat pumps
2	Engage with customers and keep customers aware of their obligations
3	Procure sub-contractors to carry out works and maintain effective oversight
4	Ensure appropriate budgets are in place to complete annual work programmes
5	Reporting on activity
6	Regular review of competency of engineers
7	Regular audits of engineers and sub-contractors
8	Warrant process

Planned Controls

		Timescale	Name Officer
1	Review no access procedures	30 September 2019	Christine McFarlane
2	Customer engagement to keep them informed and aware of their obligations	Ongoing	Martin Poulter
3	Develop data protocol to ensure all systems are resilient and reconciled	31 March 2020	Compliance Manager
4	Gas and Carbon Monoxide Safety Management Plan in development	30 September 2019	Diane McNeill
5	Delivery of bespoke training on Policy, Safety Management Plan and Operating Procedures once developed in conjunction with Training Provider facilitated via Organisational Development once all associated documentation is complete	31 December 2019	Marie John / Debbie Worrall
6	Development of renewable heat source leaflets	31 December 2019	Christine McFarlane / Martin Poulter

Future Likelihood	Future Impact
1	4

Successful implementation of the planned controls will reduce the risk.

Operational Risk Register - Health and Safety

HS11	Failure to work effectively with the Council to gather, analyse, utilise and update asset data	Compliance Manager
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Consequence of the risk	Reputational risk; Regulatory intervention; HSE intervention; serious injury to customers, visitors and staff
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Current Likelihood	Current Impact
2	4

Previous Likelihood	Previous Impact
NEW	NEW

Existing Controls

1	Compliance review
2	Task and Finish Group established
3	Monthly meetings with the Council
4	Compliance action plan
5	Review of structure and resources
6	Monitoring of KPIs
7	Customer engagement

Planned Controls

		Timescale	Named Officers
1	Establishment of Joint Team within TGHC and Council	31 July 2019	Neil Bouch / Colin Huntington
2	Joint data protocols with the Council	31 March 2020	Phil Watt / Simon Crisp
4	Establishment of quarterly strategic meeting between TGHC and the Council	30 September 2019	Compliance Manager / Sandra Watson
5	Establishment of monthly operational compliance meetings	31 July 2019	Compliance Manager / Sandra Watson

Future Likelihood	Future Impact
1	4

Successful implementation of the planned controls will reduce the risk