

## Instructions for Completion



Green Tabs make up the document that will be published

Please go through Tabs 1-3 in order as information you add in tab 1 will filter to Tabs 2 and 3 etc.

Tab	Action
1.Cover sheet	Select your Business Unit and CHoS on the cover sheet.
2.Background Service Info	Review and amend as necessary the background info provided in the Background Service Info tab. If you have more than one service area in your department(s) click on the + buttons to the left of the grey row numbers. This will have been populated from your last submitted SABP as copy/paste
3.Planned Activity	<b>This is where you provide information on planned activities/ initiatives for the following year that are proposed for your business area.</b> There are a number of cells where you Pick from lists to enter the data. Initiatives need to be aligned to a <b>Corporate Theme</b> and given a <b>Prioritisation</b> (Must/Should/Could/Would) Identify when you need resource from outside of your service area to be able to acheive the deliverable. Identify if procurement is likely to be required- this will help formulate the procurement forward plan for the Council. This list will be used to produce the Corporate priorities for the Council for 22/23 by theme. A number of these will be agreed to be delivered in the Programmes of Work aligned to MWG.

Orange Tabs are optional to use. However by conducting a PESTLE analysis and risk review of your service, this may support identification of initiatives that are required or could be proposed for the following year

Tab	Action
Horizon Scanning	Use the PESTLE headings to assess the external environment that your service is delivered in.
Risk Review	Review and amend as necessary the background info provided in the Background Service Info tab. This will have been populated from

Yellow tab is for you to use during the year as part of team and individual performance management. Turn the approved initiatives into SMART objectives, delegate to teams or individuals and track progress across the year. Use with your line manager to demonstrate progress and activity.

Tab	Action
In Year Action Plan Tracker	The initiatives and information is auto-populated across in to the Action Tracker from your Planned Activity. Complete Column M and N once initiatives are approved

Blue tabs are For Info Only

Tab	Action
Financial Regs	Reminder of the Financial Regs regarding virements and growth requests by value. Reminder of the Contracts Standing Order thresholds for procurement activity



**Service Area Business Plan for Financial Year 2022/23**

Business Unit: Housing

Corporate Head of Service: Andy Vincent

Version: 1.0

**Approvals**

Approved by CLT: Date

Approved by Service Chair: Date

Approved by Service Cttee: Date

## Housing

Business Unit:	Housing
CHoS	Andy Vincent
Service Area 1:	Housing Solutions Service
Service Area 2:	Housing and Neighbourhood Services
Service Area 3:	Housing Maintenance and Technical Services
Service Area 4:	Business Development & Policy Section



Service Organisational Structure      [Insert hyperlink](#)

Budget Book Information      [Budget information 2021-22](#)      Pages:

The primary purpose of the Housing Business Unit is to provide a comprehensive housing service incorporating:

- the management and maintenance of the Housing Revenue Account social housing stock
- the development of new Council owned properties.
- allocation of council owned stock and Registered Provider properties to which the Council has nomination rights
- housing advice
- discharge of the Council’s statutory duty under homelessness legislation
- encouraging and enabling the provision of new affordable housing
- Magna Carta Lettings, our in-house agency to incentivise landlords to offer tenancies at affordable (LHA) rent.
- disabled adaptations
- provision of statistical information and returns to Government

Description of Service (1)      Housing Solutions Service

<p>Main purpose</p> <ul style="list-style-type: none"> <li>• To deliver an excellent customer focussed Housing Solutions Service that is compliant with relevant legislation and statutory guidance.</li> <li>• To work to prevent homelessness, and to take reasonable steps to prevent and relieve homelessness for all eligible applicants.</li> <li>• To ensure that all applicants seeking housing advice receive tailored housing solutions aligned with legislation, the Homelessness and Rough Sleeping Strategy and the Housing Allocations Scheme.</li> <li>• Allocation of social housing in accordance with legislation.</li> </ul> <p>Key functions</p> <ul style="list-style-type: none"> <li>• Administration of the online Housing Register (<a href="#">1208 applicants registered as at 1st January 2022</a>)</li> <li>• Allocation of social housing under the Housing Act 1996 Part VI within the Council stock (<a href="#">124 new tenancies in 2020/21</a>) plus nominations to Registered Providers (<a href="#">31 successful nominations in 2020/21</a>)</li> <li>• Administration of Downsizing scheme and promotion of best use of the housing stock</li> <li>• Liaison with Housing Association partners</li> <li>• Homelessness and Housing Advice provision duties compliant with legislation (<a href="#">407 homelessness applications in 2018/19, 274 in 2019/20, 239 in 2020/21</a>)</li> <li>• Personalised Housing Plans</li> <li>• Homeless prevention and tenancy sustainment</li> <li>• Liaison with and referrals to supported housing providers</li> <li>• Surrey wide protocols for vulnerable groups</li> <li>• Manage Magna Carta Lettings in order to maximise private rent housing opportunities and promote the option of housing within the private rent sector</li> <li>• Attendance at various fora e.g. MARAC (Multi-Agency Risk Assessment Conference) and MAPPA (Multi Agency Public Protection Arrangements) and strategic groups e.g. NW Surrey Domestic Abuse Forum and Strategic Housing Group for Young People</li> <li>• Partnership working with SCC in respect of Looked After Children and protocol for accommodation and move on</li> <li>• Carry out reviews of statutory homelessness decisions and decisions relating to suitability of accommodation under the <a href="#">Housing Act 1996</a>.</li> </ul>	
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Description of Service (2)      Housing and Neighbourhood Services

Main purpose

To maximise the rent collection for each of the Housing Revenue Account (HRA) homes and General Fund garages; to support the Council's tenants in sustaining their tenancies and to take proportionate action when tenancy obligations are breached;

Key functions

- Rent collection (current tenants) – Annual debit of £18m for Council homes, DIYSO properties, leisure properties and ground rent for Heathervale Way
- Tenancy sustainment including referral and liaison with partner agencies
- Administering rent recovery policy, making County Court possession applications and court advocacy
- Council Housing New Build
- Management of temporary accommodation
- Former tenant arrears and recharge collection
- Management of garage licences and rent collection for garages totalling over £670,000
- Tenancy Audits, management of fixed term tenancies and changes to tenancies e.g. requests for joint tenancies, succession etc.
- Estate inspections and improvements
- Estate caretaking and cleaning of communal areas
- Responding proactively to complaints of anti-social behaviour by council tenants ([opened 46 new cases in 2020/21, from 222 reports](#))
- Processing Right to Buy applications ([15 in 2020/21](#))
- Promoting financial inclusion and provision of budgeting advice
- Liaison with DWP to address welfare reform and Universal Credit issues
- Leaseholder queries
- Working to promote anti-fraud activities and investigating suspected social housing fraud, including allocations, sub-letting and RTB fraud
- Setting up new tenancies and managing introductory and fixed term tenancies through a schedule of home visits
- Management of Independent Retirement living (IRL) schemes
- Management of annual rent and service charges
- Mutual Exchanges (20 in 2019/20)

Description of Service (3)

Housing Maintenance and Technical Services

Main purpose

- To manage and deliver a statutorily compliant and cost-effective repair and maintenance service for [2,853](#) Council owned and managed homes plus leasehold properties, communal areas and [1,214](#) garages. The team provides a comprehensive property maintenance service across all the tenure types that fall within its responsibility. This includes liaising with tenants and the technical and administration functions associated with maintaining properties, including the procurement of various contracts.
- Conversion and adaptation of Council properties to make best use of the housing stock and as appropriate for disabled people.

Key functions

- Asset management
- Contract procurement and monitoring
- Management of day to day, responsive repairs and maintenance carried out by contractors
- Inspection of void properties and oversight of void works carried out by contractors
- Stock condition surveys
- Planned and cyclical works
- Major capital projects including kitchen and bathroom replacement programmes
- Health and safety compliance including fire risk assessments, electrical safety, gas certification, management of asbestos, water hygiene, Energy Performance Certificates etc.
- Unplanned major work e.g. fire, flooding to properties
- Adaptations for disabled RBC tenants and their households
- Tree management

Description of Service (4)

Business Development & Policy Section

Main purpose

Monitoring, developing and promoting the work of the Housing Business unit with an emphasis on continuous improvement.

Key functions

- Performance monitoring and service improvement
- Submission of regulatory returns and statistics
- Strategies, policies and procedures
- Business Development
- Housing software systems
- Promoting and enabling opportunities for new affordable housing (24 new units of affordable housing delivered by partners secured through planning obligations in 2019/20)
- Partnership working with Registered Providers and private landlords.
- Ensuring the service considers equalities issues

**Service Area Business Plan for Year 2022/23**

Business Unit: Housing



Type of initiative	Service Area	Description of initiative	Outcomes/ Deliverables	Priority	Additional resources required from outside department	Additional growth required?	Anticipated start date	Anticipated completion date	Corporate Theme (s)	Is this identified as/in a MWG programme?	Is Procurement required?	Who is leading on the project	Guidance
Legislative/Regulatory Change	Housing Maintenance and Technical Services	Fire Door replacement at Surrey Towers	Arrangements in place within Surrey Towers that meet the requirements of the fire strategy	Must - the initiative has to be done	Procurement, legal, Project Management Office	No	May-22	Sep-22	Health and wellbeing	No	No	Head of Housing Technical Services	
Legislative/Regulatory Change	Housing Maintenance and Technical Services	Publish a tender pack for submissions from suitably qualified contractors to reroof Surrey Towers	Improved accommodation for residents and a longer lifespan for the building	Must - the initiative has to be done	Procurement, legal, Project Management Office	No	May-22	Mar-23	Health and wellbeing	No	Yes - new tender	Head of Housing Technical Services	
Legislative/Regulatory Change	Housing Solutions Service	Implement the First Homes action plan - ensuring residents are aware of the new affordable home ownership product, can register their interest and are prioritised	Runnymede Borough Council promotes First Homes and enables 'appropriate' residents to apply	Must - the initiative has to be done	Planning Policy Digital Services	Yes	Jan-22	Nov-22	Health and wellbeing	No	No	Head of Housing Solutions	
Service/ efficiency improvement	Business Development & Policy Section	Out of Hours service review	Clarity in arrangements if there is an out of hours call on housing matters - there will be a specific focus on Independent Retirement Living	Should - the initiative should be done	Human Resources Safer Runnymede	No	Jul-22	Mar-23	Organisational Development	No	No	Corporate Head of Housing	
Income generation	Housing and Neighbourhood Services	Development of a new Council house building programme - Phase 1 (Planning)	The deliverable is the development of the phase 1 programme with timescales around delivery	Should - the initiative should be done	Planning, Legal	No	Nov-21	May-22	Prosperous Economy	Yes - to add list of prog of work	No	Development Manager	
Service/ efficiency improvement	Housing and Neighbourhood Services	Implementation of the Older Persons Strategy	The strategy contains projects and timescales; which includes:- Upgrading of the communal parts of our IRL accommodation and gardens Working towards accreditation for the service	Should - the initiative should be done	No	No	Sep-21	Mar-26	Health and wellbeing	No	Yes - new tender	Corporate Head of Housing/Head of Neighbourhood Services	
Legislative/Regulatory Change	Business Development & Policy Section	Implementation of the Tenant Engagement Strategy	The strategy contains projects and timescales; which includes:- Improving our customer satisfaction data collection Understanding our customers better Undertaking a STAR survey	Must - the initiative has to be done	Communications	No	Mar-22	Mar-27	Empowering Communities	No	No	Business Development Manager	
Service/ efficiency improvement	Housing Maintenance and Technical Services	Procurement and mobilisation of the new Repairs, Maintenance and Voids Contract	Maintenance of the day-to-day repairs service to customers Repairing of void properties Improvements in customer satisfaction from better delivery of the repairs service	Must - the initiative has to be done	Procurement, Legal	No	Apr-21	Apr-23	Prosperous Economy	No	Yes - retender	Head of Housing Technical Services	
Service/ efficiency improvement	Business Development & Policy Section	Delivery of the Housing IT upgrade programme phase 2	Implementation of a series of modules:- Asset Management Risk Management Support Services Mobile Working Communications Task Manager	Must - the initiative has to be done	Digital Services	No	Jan-22	Mar-23	Organisational Development	No	No	Corporate Head of Housing/Head of Housing and Business Planning	

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Business Unit: Housing



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Service/ efficiency improvement	Housing and Neighbourhood Services	Accreditation – Income and Support Services	Two key front line services where delivery reflects best practice within the industry	Should - the initiative should be done	Council Tax (Corporate Debt) Community Services	No	Jan-22	Mar-23	Organisational Development	No	No	Head of Neighbourhood Services	
Service/ efficiency improvement	Housing Solutions Service	Implement the Outcome STAR	This is a prerequisite for the implementation of the support services module in Northgate/NEC	Must - the initiative has to be done	Community Services	No	Jul-21	Jun-22	Health and wellbeing	No	No	Head of Housing Solutions	
Legislative/ Regulatory Change	Housing Maintenance and Technical Services	Prepare for introduction of Building Safety Bill •Fire Strategies •Fire Case	An understanding of the requirements of the Building Safety Bill and the measures necessary to ensure that Runnymede Borough Council delivers and where possible exceeds them	Must - the initiative has to be done	Legal Services	Not known	Jan-21	Mar-23	Health and wellbeing	Yes - to add list of prog of work	No	Head of Housing Technical Services	
Service/ efficiency improvement	Business Development & Policy Section	Roll out of ISO 9001 to the remaining parts of the Housing Service	An audit of the Compliance and Repairs and Maintenance is being conducted in February 2022.  Work is required to roll the accreditation out to: - Housing Advice and Allocations Housing Services Independent Retirement Living Planned Work Adaptations Development	Should - the initiative should be done	Human Resources Legal Services Project Management	No	Mar-21	Mar-24	Organisational Development	No	No	Business Development Manager	
Staff / Resources	Business Development & Policy Section	HRA Business Plan – annual review	An annual review of the 30-year Business Plan to reflect the HRA's financial commitments and wider strategic direction.  Enables effective fiscal planning and supports the Council's strategy for development of more social housing with surpluses / borrowing.	Must - the initiative has to be done	Finance	No	Mar-22	Mar-23	Health and wellbeing	No	No	Corporate Head of Housing	
Staff / Resources	Business Development & Policy Section	Annual review of progress against all Housing Strategic documents: -  Asset Management Plan Financial Wellbeing Strategy Homelessness and Rough Sleeping Strategy Older Persons Strategy Tenant Engagement Strategy	An annual review of each of the housing strategies provided to Housing Committee updating members on the progress in delivering the agreed strategic aims	Should - the initiative should be done	No	No	Mar-22	Mar-23	Health and wellbeing	No	No	Strategy leads	
Service/ efficiency improvement	Business Development & Policy Section	Review and refresh the Housing Section of the RBC website	A clearer structure of the Housing part of the RBC website.  More RBC relevant content - more generic traffic driven to other websites, such as gov.uk	Could - the initiative could be done if time/resources allow	Digital Services Communications	No	Mar-22	Mar-23	Organisational Development	No	No	Business Development Manager	
Service/ efficiency improvement	Housing Maintenance and Technical Services	Development of a garage strategy to identify opportunities to consider alternative use of the sites or ensure that the site receive the appropriate level of investment	The garage stock managed by the Housing Service are in good condition.  Where garages are in poor condition or in low demand – alternative use is considered.	Must - the initiative has to be done	Commercial Assets Finance	Yes	Nov-21	Jul-22	Prosperous Economy	Yes - to add list of prog of work	Yes - new tender	Corporate Head of Housing	

**Service Area Business Plan for Year 2022/23**

Business Unit: Housing



Type of initiative	Service Area	Description of initiative	Outcomes/ Deliverables	Priority	Additional resources required from outside department	Additional growth required?	Anticipated start date	Anticipated completion date	Corporate Theme (s)	Is this identified as/in a MWG programme?	Is Procurement required?	Who is leading on the project	Guidance
Service/ efficiency improvement	Housing and Neighbourhood Services	Provide additional clarity to staff on the provision of services to leaseholders	Production of a Leasehold procedure will enable all staff to access and understand the services supplied to homeowners within HRA stock. This will improve customer service to this group of residents and ensure consultation on planned work and communal maintenance is consistent and customer focussed.	Should - the initiative should be done	No	No	Mar-22	Oct-22	Organisational Development	No	No	Head of Neighbourhood Services	
Income generation	Housing and Neighbourhood Services	Implement Service Charges for new caretaking services	New services funded through income. Services established then consultation with residents prior to implementation of charges next financial year.	Should - the initiative should be done	Finance	No	Nov-22	Mar-23	Prosperous Economy	No	No	Head of Housing and Business Planning	
Legislative/ Regulatory Change	Housing Solutions Service	Develop and launch the new Housing Allocations Policy	The Housing Register and Allocations Policy need to be built within Northgate - this also includes an online housing application form and homeless application	Must - the initiative has to be done	Digital Services	No	Nov-21	Jun-22	Health and wellbeing	No	No	Head of Housing Solutions	
Service/ efficiency improvement	Housing Solutions Service	Develop and implement a Homelessness: No Second Night Out Policy	Ensures that homeless individuals or families are not sleeping rough or in their car for more than one night.  Demonstrates a commitment from the Local Authority to support homeless people	Should - the initiative should be done	No	No	Mar-22	Jun-22	Health and wellbeing	No	No	Head of Housing Solutions	
Legislative/ Regulatory Change	Housing Maintenance and Technical Services	Recruit a consultant to commence plotting and zoning trees on HRA land	Will provide a systematic process for effective maintenance of the Council's tree assets and mitigation of risk from dangerous trees.	Should - the initiative should be done	Green Spaces Team	Yes - additional resources will be needed to manage the trees proactively	Jan-22	Mar-23	Health and wellbeing	No	Yes - new tender	Head of Housing Technical Services	
Service/ efficiency improvement	Housing Solutions Service	Homelessness Prevention Toolkit – links to the work of the Housing Navigator	Ensures that Housing staff consider all options available to prevent a homeless presentation.  This minimises the impact on the family's life chances - and reduces costs to the authority	Must - the initiative has to be done	No	No	Mar-22	Aug-22	Health and wellbeing	No	No	Head of Housing Solutions	
Service/ efficiency improvement	Business Development & Policy Section	STAR (Survey of Tenants & Residents)	Enables management and politicians to understand the views of tenants and their priorities.  Enabling future improvement plans to be developed	Should - the initiative should be done	No	No	Mar-22	Mar-23	Empowering Communities	No	Yes - new tender	Business Development Manager	
Legislative/ Regulatory Change	Housing and Neighbourhood Services	Work Corporately to develop a Domestic Abuse Policy	Be clear that Runnymede does not tolerate domestic abuse and is committed to supporting individuals who are suffering.  Also achieve White Ribbon accreditation	Should - the initiative should be done	Community Services Corporate Assets	No	Jan-22	Mar-23	Health and wellbeing	No	No	Head of Housing and Business Planning	
Legislative/ Regulatory Change	Housing Maintenance and Technical Services	Clarification of Housing's climate change commitments and progress	A report to the Housing Committee	Must - the initiative has to be done	Corporate Climate Change Officer	No	Jun-22	Jun-22	Environmental Sustainability	No	No	Corporate Head of Housing	
Service/ efficiency improvement	Housing and Neighbourhood Services	Vulnerable Persons Strategy	Enables the service to consider what more we can do to support vulnerable people. Be that with gardens, tenant support, advise on becoming a council tenant, resettlement etc	Could - the initiative could be done if time/resources allow	Community Services	No	Mar-22	Mar-23	Health and wellbeing	No	No	Head of Housing and Business Planning	



PESTLE Analysis - Opportunities and Threats that may impact service provision or delivery

PESTLE	Political	Economic	Sociological	Technological	Legal	Environmental	Organisational (not covered in PESTLE)
PESTLE description	Political factors at local, regional and national level	Economic factors at local, regional and national level	Emerging trends that impact on professional or lifestyle	Impact of technological advances or adaptations	Legal regulations, considerations, relevant case law at National or International	Environmental factors at local, regional, national or global level	
Whole organisation impact	Political stability and make-up of the Council	COVID-19 Recovery	Population demographics and local profiles	Digital Transformation	Local Authority Act	SCC Climate Change Strategy	Contract Standing Orders and the Constitution and Financial Regulations provide the governance and business processes which must be abided by
	DLUHC's Local Government Reorganisation agenda		Health consciousness	Agile working	Public Contract Regulations 2015	RBC Climate Change Strategy and policies	Procurement policies
	County level decisions and delegations	Economic Development Strategy	Lifestyle choices		Local Government Transparency code 2015		HR policies
	Changes in neighbouring Boroughs/Districts and consequences		Cultural and ethnicity considerations		Employment laws and RBC policies		
			Health and Welbeing corporate strategy		Health and Safety Laws		
Service impact	Government and Homes England housing policy including: - Rent setting Widening the remit and strengthening the powers of the Social Housing Regulator The introduction of the Building Safety Bill The Government's Rough Sleeping Strategy and Fuel Poverty Strategy The anticipated review of the Decent Homes Standard	Local housing market conditions	Age distribution of team and succession planning	Digital Transformation of service area IT systems	Building Safety Bill	Housing Section of the Council's Carbon Reduction Strategy	Service area strategies and policies
	Welfare Reform particularly Universal Credit.	Housing Developers' viability concerns	Significant drive - lead by the regulator for engagement with tenants and an approach where tenants are partners in moving forward service improvement	Further automation of IT systems and the use of analytics	Requirement to report against a range of performance measures likely to be put in place for financial year 2023-2024		
			Benchmarking with peer organisations - to demonstrate if Runnymede is out of step with peer organisations				

Housing

To support the identification of required change or initiatives for the following year, a review of service area risks and issues may be useful.

Business Unit: Housing

Ref	Risk/ Issue description	Impact/ consequences if the risk were to happen or the issue materialises	Impact classification	(Pre-control measures)			Control Measure(s)	(Post control measures)			Owner
				Probability	Impact	Risk Rating		Probability	Impact	Rating	
Corp1.1	Loss of key members across the Teams due to pandemic or other uncontrollable aspects	Function not delivered	Life and limb, F	3	4	12	Business Continuity plans. Staff trained to cover. Contractors sourced for emergency cover	3	2	6	
Corp1.2	Data collated/ reported may be inaccurate.	Inaccurate data has the risk of misleading Members, Officers, the public and other stakeholders, and could potentially result in alternative decisions being made.	Delivery of serv	3	4	12	Data quality standards will be addressed in the Information Governance Strategy and Policy and departmental procedures. Consideration will also be given to whether business centres/teams have any other data quality risks specific to their area and if so these will also be included in the relevant Business Centre/Team Plans.	2	4	8	
Corp1.3	Disclosure of personal data to someone who is not entitled to that data e.g. via telephone conversation or email	Financial sanctions imposed by the Information Commissioners' Office for failure to comply with legal obligations. Loss of confidence in Council by other parties in respect of its ability to manage information properly. Adverse publicity	Delivery of serv	3	4	12	Compliance with Council's adopted Information Governance Strategy and Policy. Adoption of measures to ensure that the Council complies with its obligations under the GDPR. Compliance with Council's various existing policies which relate to management of information. Provision of training to staff on requirements of GDPR. Appointment of Data Protection Officer by Council to oversee compliance with GDPR.	2	4	8	
Corp1.4	Loss of Council owned device containing personal data results in disclosure of personal data	Financial sanctions imposed by the Information Commissioners' Office for failure to comply with legal obligations. Loss of confidence in Council by other parties in respect of its ability to manage information properly. Adverse publicity	Delivery of serv	3	4	12	Compliance with Council's adopted Information Governance Strategy and Policy. Adoption of measures to ensure that the Council complies with its obligations under the GDPR. Compliance with Council's various existing policies which relate to management of information. Provision of training to staff on requirements of GDPR. Appointment of Data Protection Officer by Council to oversee compliance with GDPR.	2	4	8	

Housing

Corp1.5	Unauthorised access to Council systems which allows access to personal data	Financial sanctions imposed by the Information Commissioners' Office for failure to comply with legal obligations. Loss of confidence in Council by other parties in respect of its ability to manage information properly. Adverse publicity	Delivery of services	3	4	12	Compliance with Council's adopted Information Governance Strategy and Policy. Adoption of measures to ensure that the Council complies with its obligations under the GDPR. Compliance with Council's various existing policies which relate to management of information. Provision of training to staff on requirements of GDPR. Appointment of Data Protection Officer by Council to oversee compliance with GDPR.	2	4	8
Corp1.6	Failure to dispose of documentation containing personal data in a secure fashion results in disclosure of personal data	Financial sanctions imposed by the Information Commissioners' Office for failure to comply with legal obligations. Loss of confidence in Council by other parties in respect of its ability to manage information properly. Adverse publicity	Delivery of services	3	4	12	Compliance with Council's adopted Information Governance Strategy and Policy. Adoption of measures to ensure that the Council complies with its obligations under the GDPR. Compliance with Council's various existing policies which relate to management of information. Provision of training to staff on requirements of GDPR. Appointment of Data Protection Officer by Council to oversee compliance with GDPR.	2	4	8
Ho1	Housing Revenue Account Income forecast not met.	Potential increase in rent arrears. Increase in homelessness Drain on bad debt provision KPI for rent arrears affected	Financial, Delivery of services	4	5	20	Key performance indicators – monitored by Housing Committee  Systems and procedures in place - including Rent Analytics and escalation policy  Annual review of Housing Revenue Account Business Plan	3	4	12
Ho2	Reduction in the number of existing and new PRS opportunities to place households in private rented sector	Increased strain on homelessness provision. Increased pressure on Housing to source alternative options with potential increase in costs	Delivery of services, Reputational, Financial	5	4	20	New PRS Offer developed with additional resources being directed to this area.  Entering into innovative partnerships with private owners to make more properties available for our nominees at Local Housing Allowance rents.  New member of staff and additional funding obtained	3	3	9

Housing

Ho3	Failure to comply with regulator's code	Reputational damage to the Council if inspected by the regulator  Financial consequences for not being compliant  Concern regarding the quality of service being delivered to tenants and leaseholders	Reputational , Financial, Delivery of services	4	5	20	KPI framework  ISO 9001 policy and procedure framework  Key strategic documents  Housing Committee oversight	2	4	8
Ho4	Claims for disrepair from tenants against the Housing Service	Tenants living in homes which are in poor condition  Financial compensation to tenant paid  Reputational damage to the Council	Financial, Reputational , Delivery of services	5	3	15	Key tenders in place  Effective IT systems – audit trail of repair work  Programme of tenancy audits and property inspections in place  Damp and Mould procedure developed to limit risks	3	3	9
Ho5	Health and Safety requirements are not met within the Housing stock relating to fire risk control, asbestos, legionella, gas and electrical safety, lifts and safe working practices within the housing stock.	Failure to meet Council's responsibilities leading to death or injury and we are held liable for this or damage to property	Life and limb, Reputational , Financial, Legal	3	5	15	Contract in place and further resources agreed if required. Monitoring in place  Policies and Procedures and places  Part of ISO 9001 process  Additional challenge in relation to the Building Safety Bill	3	4	12
Ho6	Failure to achieve compliance on electrical testing within the year commitment	Risk of properties which have not been tested	Reputational , Financial, Legal	2	4	8	Contract in place and further resources agreed if required.  Escalation process established if access cannot be achieved at a tenanted property  Monitoring weekly - full compliance expected	1	3	3
Ho7	Ensure that vulnerable customers are protected from exploitation	Vulnerable customers living in Council owned homes are exploited – negatively impacting on their life chances	Reputational , Legal	3	5	15	Ensure support plans are in place in IRL  In temporary accommodation and where tenants are considered vulnerable, they are receiving sustainment support  Essential to ensure staff have received safeguarding training	2	5	10

Housing

Ho8	Contracts are not properly procured	Liability for breach of contract law and breach of EU procurement rules. Complaints from contractors/prospective contractors. Non-compliance with health and safety legislation with potentially fatal risk to residents and staff. Breach of RSH regulations. Accusations of collusion. No value for money audit.	Life and limb, Reputational, Financial, Legal	3	4	12	Project plan in place for all procurement - most of the Decent Homes procurement is now in place  The Repairs, Maintenance and Voids procurements is almost complete - also being supported by an external consultancy	2	4	8
Ho9	Regeneration of HRA stock not achieved	Properties not being maintained - and deteriorating.	Reputational, Financial, Legal	3	4	12	Asset Management Plan in place  Contracts procured for Decent Homes work  Spend on capital monitored through KPI regime	2	4	8
Ho10	New development not achieved	New, additional provision not delivered. Abortive costs Increased need for TA if suitable housing offers cannot be made 1-4-1 money not used within government timescale	Reputational, Financial, Legal	3	4	12	Development Manager recruited to lead programme  Development Strategy in place  Forward plan being developed with SMART timescales	3	4	12
Ho11	New IT system not functioning effectively	Current system not fit for purpose and it will not be possible to carry out planned service improvements	Reputational, Financial, Legal	3	4	12	Part of the Corporate Digital Transformation Strategy with input from procurement and additional resources.  Project in place for enhancing the IT system (phase 2)  Housing working alongside Digital Services - reporting regularly to Transformation Board, Housing Committee and the Transformation Member Working Group	2	4	8
Ho12	Council Garages not maintained	Rental income falls and asset depreciation	Financial, Life and limb	4	3	12	Garage Strategy in place - prioritising stock condition surveys and redeveloping non-performing sites	3	3	9
Ho13	Asset Management Plan is not fit for purpose	Operational and financial decisions are based on poor/incorrect data	Reputational, Financial, Legal	3	3	9	Stock condition survey data captured.  Enhancement to the Asset Management System due in 2022.  Better integration of the day-to-day repairs data with the asset data	1	3	3

Housing

Ho14	TA portfolio does not reflect current need	Increased expenditure on B&B (General Fund).  If too many properties, rent loss  If properties are too large under there will be under occupation	Reputational , Financial	3	4	12	Monitoring of need and usage. More one-bedroom properties to be brought into use and 3 beds put back into stock.	2	3	6
Ho15	A third caretaker is not appointed. Caretaking is not extended to 12 additional blocks.	Inadequate contingency for caretaking in the event of staff absence, and caretaking functions are not performed with the potential for accident or injury. Additional service charges (if introduced as at H21) not utilised as proposed.	Life and limb, Reputational , Financial, Legal	3	2	6	Recruitment changed to full time post because part time and temp roles have failed to attract applicants.  An Estates Team Leader has been recruited - commenced in January 2022	2	3	6
Ho16	Allocations scheme is not fit for purpose	Council is unable to fulfil its statutory duties. Potential judicial review. Best use is not made of social housing stock in the borough.	Reputational , Financial, Legal	3	4	12	The scheme will be updated in line with legislation  A revised policy has been developed and approved by the Housing Committee in July 2021	1	3	3
Ho17	Failure to implement Homelessness and Rough Sleeping Strategy	Resources (including staffing and housing stock) are not used most effectively. Use of B&B and TA increase. Non-compliance with legislation and/or statutory guidance. Potential judicial review.	Reputational , Financial, Legal	3	4	12	Regular monitoring of performance against Business Unit Plan objectives is carried out and reported to the Housing Committee  A number of Performance Indicators indicate direction of travel in support homeless households	2	2	4
Ho18	Fraud increases/is not tackled	Unnecessary resources lost to fraudulent activity. Perceived failure to tackle results in increased fraud	Reputational , Financial	2	3	6	Tenancy Audit function  Checks made at application stage  National Fraud Initiative checks of existing tenants	1	3	3

**Risk matrix** When assessing a risk for the first time you should assume there are no controls already in place. The subsequent assessment is completed with the controls in place. The assessor should assign values for the identified 'likelihood' of occurrence (A) and the severity of the 'Impact' (B). By multiplying 'A' and 'B' together you get the rating score, which gives an indication of how important the risk is. The thick black line is the "line of tolerance". Those risks that are plotted above the line (score 10 – 25) are "out of tolerance" and will be referred to the Corporate Risk Register for further oversight and support. For project risks not in this document, you should also flag to Applied Resilience any risks within Project Initiation Documents that are above the line (this should be done at the time of the PID being approved).

LIKELIHOOD (A)	<b>Certain</b> 5	5	10	15	20	25
	<b>Probable</b> 4	4	8	12	16	20
	<b>Possible</b> 3	3	6	9	12	15
	<b>Unlikely</b> 2	2	4	6	8	10
	<b>Highly unlikely</b> 1	1	2	3	4	5
		<b>Negligible</b> 1	<b>Small</b> 2	<b>Noticeable</b> 3	<b>Serious + Significant</b> 4	<b>Critical + Considerable</b> 5
IMPACT (B)						

Likelihood of Occurrence (A)	Severity of Impact (B)
1 – Highly unlikely to happen	1 – Negligible impact
2 – Unlikely to happen	2 – Only a small effect
3 – Possibly will happen	3 – Noticeable effect
4 – Probably will happen	4 – Serious problem with significant impact
5 – Certain to happen	5 – Critical issue and considerable impact

Green = Low risk, Amber 9 = Medium risk, Amber 10 –12 high risk, Red = High risk

Housing Committee approves if funds come from HRA (does not need to go to CMC)

Financial Governance Approvals (see relevant sections of the Councils Financial Regulations)

Financial Value	Within Budget Request	Growth Request	HRA Growth Request Only
>£5,000 -10,000	Asst Chief Executive approval as Virement	Service Committee recommends to Corporate Management Committee to approve	Housing Committee approves if funds come from HRA (does not need to go to CMC)
>£10,000- 100,000	Service Committee to approve	Service Committee recommends to Corporate Management Committee to approve	Housing Committee approves if funds come from HRA (does not need to go to CMC)
>£100,000 - 250,000	Service Committee recommends to Corporate Management Committee to approve	Service Committee recommends to Corporate Management Committee to approve	
>£250,000	Service Committee recommends to Corporate Management Committee which recommends to Full Council	Service Committee recommends to Corporate Management Committee which recommends to Full Council	