

Cabinet 26th January 2022

Report: The requirements of the Building Safety Bill and Regulatory Reform (Fire Safety) Order 2005 for the council as a landlord.

Appendix 2

| Risk Number | Risk Title | Risk Description | Risk Cause | Risk Effect | Mitigating Controls | Governing Body | External Audit | Impact | Likelihood | Risk Rating | Risk Owner | Date Risk Reviewed | Date Next Review Due | Direction of Travel (since last review) | Proposed Mitigating Controls | Officer Responsible for Proposed Control | Impact | Likelihood | Risk Rating |
|-------------|---------------------------------|--|--|---|---|---|--|--------|------------|-------------|---------------|--------------------|----------------------|---|--|--|--------|------------|-------------|
| C1 | Asbestos Regulations incomplete | safety risk to residents and operatives/staff due to poor management of material | All assets have not got up to data asbestos survey | Financial - High Reputation - Medium | Surveying programme complete. Register fully updated Policies and management plans in place Clear process to deal with action which flow from surveys in place | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide integrity, leadership and transparency | periodic external audits to ensure independent and objective assurance and advice on all matters related to the achievement of objectives. Processes and systems were interrogated by the appointment of a critical friend, Savilles, and measures suggested have been implemented. An external audit by has been ordered and we will act on the findings. | 4 | 1 | 4 | Garry Knights | Feb-21 | Jul-21 | | Full surveying programme is complete for communal areas and garages. We have a full, informed message | Resident Safety and Compliance Manager | 4 | 1 | 4 |
| C2 | IT | Lack of IT Interface & Information management system for compliance | Poor IT infrastructure of officers incorrectly or not using databases and systems | Financial - Medium Continuity of Service - Medium Health & Safety - High | Some compliance data on database (keystone), some held on spreadsheets and other systems Some officers trained and using and updating keystone Some contractors providing information in a way which can be uploaded to keystone all certificates stored on swordfish and link to keystone | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide integrity, leadership and transparency | periodic external audits to ensure independent and objective assurance and advice on all matters related to the achievement of objectives | 3 | 4 | 12 | Garry Knights | Feb-21 | Jul-21 | | CADi project working on getting keystone module fully operational Staff being trained on keystone Swordfish being repopulated | Resident Safety and Compliance Manager | 3 | 1 | 3 |
| C3 | Staff/Team | Lack of suitably trained / qualified staff to manage service - All H&S Team are temp staff | Difficult to recruit staff on currently operational needs as a result of a lack of specialist staff who can respond to issues or emergency events that require immediate attention | Potential threat to delivery of daily operational needs as a result of a lack of specialist staff who can respond to issues or emergency events that require immediate attention | Team using interim where required. All support staff roles filled with permanent and fully trained officers. | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide integrity, leadership and transparency | periodic external audits to ensure independent and objective assurance and advice on all matters related to the achievement of objectives | 4 | 3 | 12 | Garry Knights | Feb-21 | Jul-21 | ↑ | Restructure approved recruitment in train | Resident Safety and Compliance Manager | 4 | 1 | 4 |
| C4 | Brexit | Material & Labour Shortages or delays to Supply Chain | Operational | Delivery of core services can be negatively affected and reduction to emergency operational responses if building materials, fuel or labour were unavailable or import shortages, delays due to increased bureaucracy at borders. | We have engaged within supply chain who have confirmed they sufficient future capacity | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide integrity, leadership and transparency | | 4 | 1 | 4 | Garry Knights | Feb-21 | Jul-21 | | | Resident Safety and Compliance Manager | 4 | 1 | 4 |
| C5 | Fire safety | Regulatory FRA surveys and works not being managed & remedial works not being delivered | Regulation Health & Safety | FIRE Risk management has been intensified by government over the last 2 years and upcoming legislation is due to enforce compliance and stricter overviews of housing providers; | Type 1 FRAs held for all relevant properties. Most actions from TYPE 1 FRAs have been completed within timescales Ongoing programme of TYPE 4 FRAs in place Day to day actions go to term contractor and 2 supporting contractors | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide integrity, leadership and transparency | Periodic external audits to ensure independent and objective assurance and advice on all matters related to the achievement of objectives. Processes and systems were interrogated by the appointment of a critical friend, Savilles, and measures suggested have been implemented. An external audit by has been ordered and we will act on the findings. Close working relationship built up with the LFB who regularly audit our blocks and processes | 4 | 1 | 4 | Garry Knights | Feb-21 | Jul-21 | | All relevant buildings now have a valid FRA and works being managed | Resident Safety and Compliance Manager | 4 | 1 | 4 |
| C6 | Compliance Management | Poorly developed delivery programmes, lack of data control, lack of understanding of our stock lack of clarity over reporting information and KPIs | poor delivery methods, lack of data management and control | Regulatory breaches, possible notices / fines or investigations from HSE. Possibility of Prosecution under Corporate Manslaughter Act for Senior Managers. Housing Rating System breaches and risk of harm or injury to staff or other personnel due to poor management of essential safety systems | Delivery programmes in place Stock data is held across various systems KPIs and programme reporting developed and going through governance routes. Protocols now in place to store data on shared systems rather than spread sheets. Instant uploads by the team ensure data is captured in real time and allows accurate reporting | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide integrity, leadership and transparency | periodic external audits to ensure independent and objective assurance and advice on all matters related to the achievement of objectives. Processes and systems were interrogated by the appointment of a critical friend, Savilles, and measures suggested have been implemented. An external audit by has been ordered and we will act on the findings. We also employ PCM to audit gas and electric functions | 4 | 2 | 8 | Garry Knights | Feb-21 | Jul-21 | ↑ | Stock data is being validated to create single point of truth KPIs reporting continues to be honed and is being reviewed by external expert New long term procurement of contracts | Resident Safety and Compliance Manager | 4 | 1 | 4 |

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| C7 | Corona virus | Labour shortages due to possible pandemic. Both internally and Contractors/supply chain | lockdowns, operative infected | Delivery of core services could be negatively affected and a possible reduction to emergency operational responses if labour were unavailable or there was an impact on import or supply of materials. | Robust contingency plan provided by contractors include future lockdowns and office closures | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide intergrity, leadership and transparency | | 3 | 2 | 6 | Garry Knights | Feb-21 | Jul-21 | | constant review of RAGs and working practices. Unknown risk at the moment | Resident Safety and Compliance Manager | 3 | 2 | 6 |
| C8 | Covid 19 effect on compliance staff | Impact of virus affecting staff and the day to day delivery of the service | spread of the virus | Loss of staff leading to being unable to deliver core compliance and health and safety functions from the client side | Home working, Hand Washing, Reminders to staff about hand washing, social distancing, Respect the 2m distancing advice, PPE, When on site wear mask and gloves and sanitise before and after being on site. Symptoms, anyone becoming unwell should seek a test and self isolate. Track and trace, follow Track and Trace guidance. | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide intergrity, leadership and transparency | | 3 | 2 | 6 | Garry Knights | Feb-21 | Jul-21 | | Staff now banned from the office unless agreed by Director. New equipment supplied to atd working from home | Resident Safety and Compliance Manager | 3 | 2 | 6 |
| C9 | Challenges to Procurement | Procurement of long-term contractors are the procurement and approvals process | Lengthy & complex procurement processes & timeframes involved in engaging contractors within Compliance field | The compliance team are presently using interim contractors that have been set-up under temporary agreements and 14 contracts need to be procurement under revised 5-7 year agreements; | Access to Corporate Procurement team Support from Programme Office and Democratic Services. Using consultants portal to reduce the risk. Notice has been published and procurement moving forward. | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide intergrity, leadership and transparency | periodic external audits to ensure independent and objective assurance and advice on all matters related to the achievement of objectives. | 6 | 4 | 20 | Garry Knights | Feb-21 | Jul-21 | | External consultants used to support boards to deliver 14 new compliance packages | Resident Safety and Compliance Manager | 2 | 2 | 4 |
| C10 | Home & Remote Working Impact | Remote working for surveying staff has been challenging to monitor & manage lone working. And home working for admin staff has also had issues with equipment failure and IT issues. Inevitably, this also affects performance. | Remote & Home working, initially due to Covid19, has now become the new way for Council staff; | Arduous to track lone working team members who use a check-in & diary update system due to lack of ID's; Tasks require more time resources as it takes longer than it previously did due to delayed feedback & technology rather than face-to-face. | Smart Working equipment provided. New methods of work being introduced. Strict lone-working checks are done by keeping track of remote workers; Mental health & Wellbeing support is available from Corporate services; Staff coming in into the office on a rota basis DBE assessments undertaken | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide intergrity, leadership and transparency | | 2 | 2 | 4 | Garry Knights | Feb-21 | Jul-21 | | | Resident Safety and Compliance Manager | 2 | 2 | 4 |
| C11 | Building Safety Bill | Bills brings additional duties and requirements | Bill is in draft form and we are unsure as to the exact impact | additional compliance programmes will be required or additional restrictions which may require significant spend and additional spend | Policies have been written to reflect known changes Type 4 FRAs take and enhanced approach undertaken | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks | periodic external audits to ensure independent and objective assurance and advice on all matters related to the achievement of objectives | 3 | 2 | 6 | Garry Knights | Feb-21 | Jul-21 | | Continue to monitor changing legislation | Resident Safety and Compliance Manager | 3 | 1 | 3 |
| C12 | Governance | Insufficient governance is in place to oversee all areas of compliance | Poor governance could lead to spillages of programmes and non compliance | Non compliance, sanction from Social Housing Regulator, HSE and Building Safety Regulator | Compliance Board Clear reporting overview by SLT and Themed Boards external reviews | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks | periodic external audits to ensure independent and objective assurance and advice on all matters related to the achievement of objectives | 4 | 1 | 4 | Garry Knights | Feb-21 | Jul-21 | | Internal audit completed and actions being managed | Resident Safety and Compliance Manager | 4 | 1 | 4 |
| C13 | Finance | Insufficient budget provision is made to adequately deliver all compliance and associated programmes | Insufficient monies available and with change legislation difficult to ascertain actual required budgets | non compliance, sanction from Social Housing Regulator, HSE and Building Safety Regulator | Annual budget setting provide opportunity to ensure adequate funding is in place | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide intergrity, leadership and transparency | periodic external audits to ensure independent and objective assurance and advice on all matters related to the achievement of objectives. | 4 | 1 | 4 | Garry Knights | Feb-21 | Jul-21 | | Budget setting must include all current programme plus likely future programme flowing from the building safety bill | Resident Safety and Compliance Manager | 4 | 1 | 4 |
| C14 | Delays in delivery of programme | programmes of compliance work are not undertaken quickly enough to manage the risk | poor planning, insufficient resource. | non compliance, sanction from Social Housing Regulator, HSE and Building Safety Regulator, incident in one of our properties | sensible, deliverable programmes are developed, contractors are chosen on ability to deliver the programme, sufficient back office resourced available to manage the programmes and data which flow | Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide intergrity, leadership and transparency | External legal advise from Devons hires confirmed current approaches are sensible - <i>Having in mind comply with its obligations within a framework that is both practicable and realistic.</i> | 4 | 1 | 4 | Garry Knights | Mar-21 | Jul-21 | | Appropriate programmes are in place to deliver with reasonable and practicable timescales | Resident Safety and Compliance Manager | 4 | 1 | 4 |