

								Current Risk Score									Projected Risk Score			
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 Register is 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 intergrity, leadership and transarency	periodic external audits to ensure independant and objective assurance and advice on all matters related to the acheivement of objectives. Processes and systems were interrogated by the appointment of a critical friend, Savilles, and measures suggested have been implimented. 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 asbestos register. Cyclical program to ensure we rmain fully compliant	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 intergrity, leadership and transarency	periodic external audits to ensure independant and objective assurance and advice on all matters related to the acheivement 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 populated	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 salary bands, given knowledge and experience required and london market	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 Interims 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 intergrity, leadership and transarency	periodic external audits to ensure independant and objective assurance and advice on all matters related to the acheivement of objectives	4	3	12	Garry Knights	Feb-21	Jul-21	↑	Restructure approvedrecruitment 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, market forces, delays due to	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 intergrity, leadership and transarency		4	1	4	Garry Knights	Feb-21	Jul-21			Resident Safety and Compliance Manager	4	1	4

COMPLIANCE

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 Housing management deal with clutter and clearance from common areas	Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide intergrity, leadership and transarency	periodic external audits to ensure independant and objective assurance and advice on all matters related to the acheivement of objectives. Processes and systems were interrogated by the appointment of a critical friend, Savilles, and measures suggested have been implimented. 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 two 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 intergrity, leadership and transarency	periodic external audits to ensure independant and objective assurance and advice on all matters related to the acheivement of objectives. Processes and systems were interrogated by the appointment of a critical friend, Savilles, and measures suggested have been implimented. 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
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 transarency		3	2	6	Garry Knights	Feb-21	Jul-21		constant review of RAMS 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,	Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide intergrity, leadership and transarency		3	2	6	Garry Knights	Feb-21	Jul-21		Staff now banned from the office unless agreed by Director. New equipment supplied to aid 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 transarency	periodic external audits to ensure independant and objective assurance and advice on all matters related to the acheivement of objectives.	5	4	20	Garry Knights	Feb-21	Jul-21		External consultants used to support procurement of 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 DSE 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 transarency		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 required significant additional spend and mean we are initially non-compliant	Policies have been written to reflect known changes Type 4 FRAs take and enhanced approach	Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide intergrity, leadership and transarency	periodic external audits to ensure independant and objective assurance and advice on all matters related to the acheivement 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 slippages 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 ThemedBoards external reviews	Risk register available monthly to SLT and Cabinet via themed boards to monitor and challenge management of the risks. And provide intergrity, leadership and transarency	periodic external audits to ensure independant and objective assurance and advice on all matters related to the acheivement 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 transarency	periodic external audits to ensure independant and objective assurance and advice on all matters related to the acheivement 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/slow delivery of programmes	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 chosed 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 transarency	External legal advise form Devonshires confirmed current approaches are sensible - <i>Havering must 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