

## SERVICE DELIVERY RISK REGISTER (LAST UPDATED - OCTOBER 2018)

Risk	Corporate theme/aim	Rating and current position	Risk treatment	Mitigating actions	Change since last quarter
SD1 - Loss of income to the Housing Revenue Account	<b>Outcomes</b> Maintain Financial Health	On-going potential reduction in income through 1% rent reduction for general needs tenancies until 2020/21. Performance on rent collection still in top quartile in quarter one.  Likelihood is low and impact is significant.	Treat the risk through continuous action and review.	Income policies/processes are being revised.  Invested in I.T. solutions to maximise opportunities to collect income and support those in financial difficulty.  Increased focus on collection of rent and other housing debt.	No change to rating or treatment.
SD2 - Failure to collect financial contributions or to enforce the delivery of obligations within Section 106 Agreements.	<b>Outcomes</b> Maintain Financial Health	Failure to collect financial contributions or to enforce obligations within Section 106 Agreements.  Likelihood is low but the impact is significant.	Treat the risk through continuous action and review.	Implementation of new software is underway.  The Planning Services review sets out the role of Planning Policy in monitoring and administering Section 106 agreements.  A full review of roles and working procedures is being completed.	No change to rating or treatment.
SD3 – Safety standards	<b>People</b> Protect and help support the most vulnerable, including those affected by financial changes.	Failure to comply with basic safety standards in flats/blocks with communal areas.  Work has been undertaken to put specialist fire and asbestos contracts in place.	Treat the risk through continuous action and review.	Process underway to update safety procedures for fire, gas, electricity, legionella and asbestos to ensure the Council has appropriate controls in place to manage risks. Progress made so far includes: <ul style="list-style-type: none"> <li>• Fire safety contractor appointed</li> <li>• Gas servicing 100% compliant</li> </ul>	No change to rating or treatment.

		Likelihood is medium and impact has potential to be significant.		<ul style="list-style-type: none"> <li>• Electrical testing contractor appointed</li> <li>• Legionella - sheltered schemes testing in place, void properties shower heads/deadlegs removed</li> <li>• Asbestos testing contractor appointed</li> <li>• Asbestos removal contractor appointed</li> </ul>	
SD4 – Universal Credit	<p><b>People</b> Protect and help support the most vulnerable, including those affected by financial changes.</p>	<p>Loss of income to the Housing Revenue Account through full roll out of Universal Credit from November 2018.</p> <p>There is still uncertainty as to the financial impact of this but the Council has plans in place working with internal/ external stakeholders to manage this process.</p> <p>Likelihood is medium and the impact is moderate.</p>	Treat the risk through continuous action and review.	<p>Welfare Reform Group, including key internal/external partners, meets on a monthly basis to manage roll-out against an agreed action plan.</p> <p>Invested in I.T. solutions to maximise opportunities to collect income and support those in financial difficulty.</p> <p>Allocations Policy review to take place during 2018/19.</p>	No change to rating or treatment.
SD5 – Reduction in funding for Sport and Health	<p><b>People</b> Increase levels of participation in sport, health, environmental and physical activities.</p>	<p>Reduction of Council funding into Sport and Health Service. Unable to source external funding to service.</p> <p>Reserve fund being depleted for sources other than Sport and Health service delivery.</p> <p>Likelihood is medium and the impact is moderate.</p>	Treat the risk through continuous action and review.	<p>Forward budget planning over a number of years. Approvals for reserve spend to secure staffing positions up to March 2020 initially.</p> <p>Lobby to maintain current funding contribution that the Council makes towards the service and for an increased contribution if Elected Members want the current levels of service to be maintained post March 2020.</p> <p>Continually seek external funding opportunities to support service delivery.</p>	Rating has reduced slightly from last quarter but no change to treatment.

<p>SD6 – Affordable housing delivery</p>	<p><b>Place</b> Facilitate and deliver a range of integrated and sustainable housing and community infrastructure.</p>	<p>Not achieving the maximum delivery of affordable homes with the resources/options for delivery available.</p> <p>Homes are being delivered under Shared Ownership and Affordable Homes Programme (SOAHP). Strategic Housing consulted on every planning application to ensure maximum affordable housing achieved subject to viability. Right to Buy receipts are utilised to capacity. Government announcement about increased headroom in the borrowing cap for local authorities.</p> <p>Likelihood is unlikely and impact is moderate.</p>	<p>Treat the risk through continuous action and review.</p>	<p>Homes and Communities Agency (HCA) grant programme 2017-21 through SOAHP.</p> <p>Negotiation of 30% affordable homes on all new sites.</p> <p>Enable deliver of 100% affordable sites in conjunction with Registered Providers.</p> <p>Support Registered Providers through bidding process.</p> <p>Utilise Commuted Sums/Right to Buy receipts where possible and Housing Revenue Account (HRA) reserves and headroom.</p> <p>New build Council Housing.</p>	<p>No change to rating or treatment.</p>
<p>SD7 - Insufficient supply of affordable homes to meet Council needs relating to allocations and homelessness</p>	<p><b>Place</b> Facilitate and deliver a range of integrated and sustainable housing and community infrastructure.</p>	<p>Insufficient supply of affordable homes.</p> <p>Will significantly exceed target for affordable delivery again in 2018/19. New build Council housing under construction and acquisitions under consideration.</p> <p>Likelihood is unlikely and impact is moderate.</p>	<p>Treat the risk through continuous action and review.</p>	<p>Up-to-date housing needs data.</p> <p>Ensure delivery of affordable units through Section 106 and planning conditions.</p> <p>Work with Homes England to deliver Council new builds.</p> <p>Review Allocations Policy to reflect need and available stock.</p> <p>Acquisition of on-site affordable homes directly from developer.</p>	<p>No change to rating or treatment.</p>

<p>SD8 - Failing infrastructure at Rosliston Forestry Centre.</p>	<p><b>Place</b> Support provision of cultural facilities and activities.</p>	<p>Failing Infrastructure at Rosliston Forestry Centre.</p> <p>Rosliston Forestry Centre project team meets on a fortnightly basis to manage ongoing issues at the facility. Regular meetings held with the Forestry Commission.</p> <p>Likelihood is low but the impact would be significant.</p>	<p>Treat the risk through continuous action and review.</p>	<p>Review condition survey as part of strategic planning.</p> <p>Make invest to save business cases.</p> <p>Improve Planned Preventative Maintenance (PPM).</p> <p>Engage tenants.</p> <p>Keep senior management team informed.</p> <p>Six monthly review of risk.</p>	<p>No change to rating or treatment.</p>
<p>SD9 - Failure to meet housing delivery targets set out in the five year supply.</p>	<p><b>Place</b> Facilitate and deliver a range of integrated and sustainable housing and community infrastructure.</p>	<p>Failure to meet housing delivery targets.</p> <p>Local Plan is in place which sets out the five year supply. Latest monitoring for 17/18 indicates the Council was performing above target with an upward trajectory.</p> <p>Likelihood is low but the impact would be significant.</p>	<p>Treat the risk through continuous action and review.</p>	<p>Monitoring/review of performance carried out in quarter one.</p> <p>Active pursuit of schemes and opportunities.</p> <p>Develop action plan.</p>	<p>No change to rating or treatment</p>
<p>SD10 - Failure of IT infrastructure that supports Planning Systems, LLPG and Land Charges.</p>	<p><b>Place</b> Facilitate and deliver a range of integrated and sustainable housing and community infrastructure.</p>	<p>Ongoing issues with IT infrastructure that supports Planning systems.</p> <p>Likelihood is medium and the impact would be significant.</p>	<p>Treat the risk through continuous action and review.</p>	<p>Working with IT to ensure the most fit for purpose solution is selected. Procurement of a new software system underway. Business case approved by Corporate Change Management Group (CCMG) and Finance and Management Committee. This will provide funding to support implementation of a new system as quickly as possible.</p>	<p>No change to rating or treatment.</p>

<p>SD11 – Community Safety Partnership funding</p>	<p><b>People</b> Protect and help support the most vulnerable, including those affected by financial changes.</p>	<p>Potential funding shortfall for the Community Safety Partnership. The Safer South Derbyshire Partnership currently obtains annual funding totalling £60,000 from the Derbyshire Police and Crime Commissioner and Derbyshire Police.</p> <p>Likelihood is medium but the impact would be moderate.</p>	<p>Tolerate the current situation and keep under review.</p>	<p>There is no long-term commitment to continue this funding. However, there are Partnership reserves in place which would assist in a gradual decrease in budget rather than a major cut to all initiatives.</p> <p>The Council is in the second year of a three year funding agreement with the Police and Crime Commissioner (PCC) for £25,000 per year Community Safety Funding.</p> <p>The Council receives £35,000 per year Basic Command Unit funding from the Chief Superintendent. This is received annually with no long-term commitment.</p>	<p>No change to rating or treatment.</p>
<p>SD12 – Melbourne Sports Park</p>	<p><b>Place</b> Support provision of cultural facilities and activities throughout the District.</p> <p><b>People</b> Increase levels of participation in sport, health, environmental and physical activities.</p>	<p>Failure to deliver against external funder requirements at the Melbourne Sports Park (MSP). Ongoing discussions with national funders.</p> <p>Likelihood is low but the impact would be significant.</p>	<p>Treat the risk through continuous action and review.</p>	<p>Regular Steering Group meetings. MSP Board has acknowledged issue and sought Council support.</p> <p>Monitoring and evaluation meeting with key funder held and recommendation in Action Plan to follow.</p> <p>Specialist consultants have been engaged and have identified optimum drainage solution.</p> <p>Melbourne Sporting Partnership and Melbourne Rugby Club engaged in partnership work about requirements and solutions.</p> <p>Committee report outlining issues and requesting investment to resolve presented and approved. Follow up report required.</p>	<p>Rating has reduced from last quarter but no change to treatment.</p>

SD13 – Sinfin Waste Plant	<p><b>People</b> Reduce the amount of waste sent to landfill.</p>	<p>Impact on delivery rounds of diverting all residual waste to Sinfin Waste Plant.</p> <p>Move to Sinfin now to be phased over three years, giving time to minimise impact on delivery rounds.</p> <p>Likelihood is unlikely but the impact could be significant.</p>	Treat the risk through continuous action and review.	<p>Ongoing discussions with Derbyshire County Council (DCC) to allow for some waste deliveries to continue into current site.</p> <p>Amendments to collection rounds to minimise impact on costs, with no effect on residents.</p>	Rating has reduced from last quarter but no change to treatment.
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### SERVICE DELIVERY OPERATIONAL RISK MATRIX

Likelihood					
4 High					
3 Medium		SD4, SD5, SD11, SD14	SD3, SD10		
2 Low			SD1, SD2, SD8, SD9, SD12		
1 Unlikely		SD6, SD7,	SD13		
	1 Minor	2 Moderate	3 Significant	4 Catastrophic	
	<b>Impact</b>				