

Housing Business Unit Plan 2021/2022

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Section 1: Housing Business Unit overview

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 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

Housing Solutions Service

Main purpose

- To deliver an excellent customer focussed Housing Solutions Service that is compliant with relevant legislation and statutory guidance.
- To work to prevent homelessness, and to take reasonable steps to prevent and relieve homelessness for all eligible applicants.
- 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.
- Allocation of social housing in accordance with legislation.

Key functions

- Administration of the online Housing Register (1160 applicants registered as at 1st January 2021)
- Allocation of social housing under the Housing Act 1996 Part VI within the Council stock (182 new tenancies in 2019/20) plus nominations to Registered Providers (65 successful nominations in 2019/20)
- Administration of Downsizing scheme and promotion of best use of the housing stock

- Liaison with Housing Association partners
- Homelessness and Housing Advice provision duties compliant with legislation (407 homelessness applications in 2018/19 274 in 2019/20)
- Personalised Housing Plans
- Homeless prevention and tenancy sustainment
- Liaison with and referrals to supported housing providers
- Surrey wide protocols for vulnerable groups
- Manage Magna Carta Lettings in order to maximise private rent housing opportunities and promote the option of housing within the private rent sector
- 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
- Partnership working with SCC in respect of Looked After Children and protocol for accommodation and move on
- Carry out reviews of statutory homelessness decisions and decisions relating to suitability of accommodation under the Housing Act 1996.

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 nearly £17m 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 collection

- Management of garage licences and rent collection for garages totalling over £600,000
- 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 124 new cases in 2018/19 70 in 2019/20)
- Processing Right to Buy applications (17 in 2019/20)
- Resident Involvement, including supporting the Runnymede Council Residents Association (RCRA) and other local resident groups
- 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)

Housing Maintenance and Technical Services

Main purpose

- To manage and deliver a statutorily compliant and cost-effective repair and maintenance service for nearly 3,000 Council owned and managed homes plus leasehold properties, communal areas and over 1,000 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

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
- IT
- Promoting and enabling opportunities for new affordable housing (18 new units of affordable housing delivered by partners secured through planning obligations in 2019/20)
- Partnership working with Registered Providers and private landlords.
- Equalities

Section 2: Housing Business Unit's key drivers/influences

Drivers and influences		
Internal drivers/influences		
<p>Key corporate drivers/influences</p> <ul style="list-style-type: none">• The Corporate Business Plan is trying to achieve against the following themes:<ul style="list-style-type: none">• Supporting Our Communities• Enhancing Our Environment• Improving Our Economy• Developing Our Organisation• Corporate Key Performance Indicators.• There is a need to increase income generation to offset growing costs and loss of government grants.	<p>Key drivers/influences of the Housing Business Unit</p> <ul style="list-style-type: none">• Housing Strategy statement• Regulator of Social Housing Standards• Housing Revenue Account Business Plan• Stock condition and Asset Management Plan• Tenancy Strategy• Homelessness and Rough Sleeping Strategy• Older Persons Strategy• Financial Inclusion Strategy• Customer Engagement• Tenancy conditions• Quality Management system	
External drivers/influences		
<p>Key community/consultation drivers/influences</p> <ul style="list-style-type: none">• Runnymede Council Residents Association (RCRA)• Individual Resident Associations• Residents Scrutiny Panel• Homelessness Task Group• Landlords Forum• Benchmarking with peer organisations	<p>Key partner’s / supplier’s drivers/influences</p> <ul style="list-style-type: none">• Contractual arrangements• Registered Providers’ Business Plans• Service Level Agreements• Developers’ viability concerns	<p>National key drivers/influences</p> <ul style="list-style-type: none">• Government and Homes England housing policy including rent setting.• Welfare Reform particularly Universal Credit.• Local housing market conditions

Section 3: Planned work

3.1 Change-related activity in this year

Projects					
Ref.	Project name	Team/section leading on the project and support teams	Outcome(s) / Benefits	Completion date or expected stage at the end of March 2021	Is this an identified priority for the relevant Member Working Party?
H1	Refurbishment works to Surrey Towers	Corporate Head of Housing Head of Housing Technical Services, Procurement, legal, Project Management Office Housing Services Manager	Improved quality of life for residents and a longer lifespan for the building	Completion by the end of October 2021	Yes
H2	Development of 9 new 2 bed flats following demolition of 2 houses in St Georges Road, Addlestone	Head of Housing & Business Planning / Development Manager / Maintenance / Legal Procurement / Project Management Office	Additional good quality social housing for Runnymede residents to help address a housing shortage	Completion by the end of October 2021	Yes
H3	Development of a new Council house building programme	Corporate Head of Housing/ Head of Housing & Business Planning /Development Manager	Additional good quality social housing for Runnymede residents to help address a housing shortage	Completion of the planning template by the end of June 2021	Yes

Projects					
H4	Procurement and tender of term contracts for reactive and planned maintenance	Head of Housing Technical Services Head of Housing & Business Planning Housing Maintenance Procurement Legal External Consultants	Enables delivery of programme of 'decent homes' work to 2850 Council owned homes over the next 5 years.	Completion of procurement? by the end of November 2021 – <i>detailed programme timetable available separately</i>	Yes

Projects					
H5	Upgrade the Northgate Housing IT system and implement essential new modules as part of Corporate Digital Transformation Strategy	Head of Housing & Business Planning Business Development & Policy Manager IT Accountancy Legal Procurement	Provides an integrated system, will modernise and streamline processes and offer online services for the majority of our tenants, enabling resources to be focussed on those less able to self-serve.	Commence March 2020 and two-year implementation Implementation of the Choice Based Lettings Model by March 2021 Implementation of Rents, Asset Management, Support, CRM, homelessness and engagement by March 2022	No
H6	Introduce a Quality Management System to maintenance and roll out across the Department (ISO 9001) Supported by a strategy, policy and procedure framework	Head of Housing & Business Planning Head of Housing Technical Services Housing Services Manager Head of Homelessness Business Development & Policy Manager	Effective and consistent working practices and procedures in place for all functions	Started to be put in place by end of July 2021	No

Projects					
H7	Pilot Step Down Accommodation	Head of Housing & Business Planning Housing Services Manager Corporate Head of Community Services	Partnership with NHS and ASC getting elderly patients with no medical need into interim accommodation whilst changes to their own home / care provision is organised.	Commence one-year pilot 1 April 2021	No

Reviews					
Ref.	Objective	Team/section leading on the review and support teams	Outcome / Benefits	Completion date (if after the end of March 2021 also state expected stage come the end of March 2021)	Is this an identified priority for the relevant Member Working Party?
H8	HRA Business Plan – annual review	Corporate Head of Housing Head of Housing & Business Planning Head of Housing Technical Services Accountancy	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.	By the end of March 2022	Yes

Reviews					
H9	Asset Management Plan – review	Corporate Head of Housing Head of Housing Technical Services Accountancy	An annual review of the strategy in place for future management of the stock ensuring planned and cyclical maintenance is carried out and that information held on the stock is up to date and analysed to indicate and prioritise and future planned programmes.	By the end of September 2021	Yes
H10	Review of Temporary Accommodation Portfolio	Corporate Head of Housing Head of Housing Business Development & Policy Manager Head of Homelessness	A strategy for appropriate replacement of TA units which will be decommissioned as part of new development. Limiting rent loss but with new units in place at the correct time.	By the end of November 2021	Yes

One-off Activity					
Ref.	Objective	Team/section leading on the activity and support teams	Outcome / benefits	Completion date (if after the end of March 2021 also state expected stage come the end of March 2021)	Is this an identified priority for the relevant Member Working Party?
H11	Development of a Housing Health and Safety Policy	Corporate Head of Housing Head of Housing Technical Services	Ensure that a policy framework is established for the effective management of Health and Safety across the Council's housing owned assets	Completion by the end of May 2021	No

One-off Activity					
H12	Development of an Older Persons Strategy looking at the Council's Housing Assets and Support Services	Corporate Head of Housing Head of Housing & Business Planning Head of Housing Technical Services Housing Services Manager Community Services	Review the future of the existing IRL schemes to ensure they remain viable. The communal areas of IRL schemes are improved – dementia issues are addressed Digital alarm call systems introduced Floating support services with digital support plans	Completion by November 2021	No
H12	Development of a Resident Engagement Strategy	Head of Housing & Business Planning Business Development & Policy Manager Housing Services Manager Community Development	High numbers of tenants involved with the service. The views of tenants shaping the service – delivering improvements in customer satisfaction	Completion by January 2022	No
H13	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	Corporate Head of Housing Head of Housing Head of Housing Technical Services Housing Accountant	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.	Completion by March 2022	No

One-off Activity					
H14	Leasehold Management	Head of Housing Housing Services Manager Accountancy Technical Services Manager	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.	By the end of March 2022	No
H15	Introduction of mobile caretaking service	Housing Services Manager	Communal areas within flat blocks cleaned regularly – positively impacting on tenant/leaseholder satisfaction.	By the end of Oct 2021	No
H16	Implement Service Charges for new caretaking services	Housing Services Manager	New services funded through income. Services established then consultation with residents prior to implementation of charges next financial year.	By the end of March 2022	No
H17	Expansion of Magna Carta Lettings to include provision for single people who do not meet the threshold for full duty.	Head of Homelessness, Housing Advice and Allocations Housing Solutions Legal	Increased accommodation options for low income single people or couples (a group which is identified as being under-supplied). This subsequently also helps address the housing shortage for everyone.	Commence by the start of Jan 2022 following a report to Housing Committee	No

One-off Activity					
H18	Develop a Tree Management Plan	Head of Housing Technical Services	Will provide a systematic process for effective maintenance of the Council's tree assets and mitigation of risk from dangerous trees.	By the end of March 2022	No

3.2 Summary of the business as usual activities

Ref.	Activity description	Does this involve an annual project (to support PMO project pipeline planning)?
H19	Develop the FUSE partnership with groups that support homeless people	No
H20	Maintain a Housing Register to ensure access to social housing within the borough is according to the Council's Allocation Policy	No
H21	Operate a Choice Based lettings scheme for people on the Housing Register, advertising available properties	No
H22	Provide a housing advice and homelessness service	No
H23	Manage a portfolio of temporary accommodation	No
H24	Implement the commitments within the Homelessness and Rough Sleeping Strategy	No
H25	Provision of Magna Carta Lettings, an in-house agency working with landlords to assist low income households to access the private rented sector.	No
H26	Provide a customer focussed, high quality management service to Council tenants	No
H27	Management of current tenant rent arrears to assist in the target of 1.75% of the total rent roll not being exceeded each quarter.	No
H28	Assist tenants to maximise their income and manage household budgets.	No

H29	Tenancy Audits to be carried out across the stock to ensure correct and appropriate occupation of HRA properties	No
H30	Carry out reviews of fixed term tenancies	No
H31	To provide cross tenure tenancy sustainment packages for every household whose tenancy is under threat of losing their home	No
H32	Tackle Anti-Social Behaviour in HRA managed and owned properties working with relevant agencies and using legal remedies as appropriate.	No
H33	Provision of Independent Retirement Living Schemes for older residents	No
H34	Provision of a caretaking service	No
H35	Provision of services to leaseholders	No
H36	Provision of cleaning and grounds maintenance to communal areas	No
H37	Aim to have all HRA owned and managed stock meeting Decent Homes compliance	Yes
H38	Achieve a 70%-30% planned / reactive maintenance ratio	No
H39	Manage a range of cyclical maintenance programmes	Yes
H40	Ensure that all required health & safety checks are completed and recommend works carried out in a timely manner to HRA stock.	No
H41	Manage planned replacement and upgrade programmes for components e.g. windows, doors, kitchens, bathrooms, fixed wiring, boilers.	Yes
H42	Manage contract compliance to achieve value for money and high customer satisfaction	No
H43	Ensure void target times are met.	No
H44	Ensure all Government returns are made on time and are accurate and evidenced	No
H45	To ensure that all Audit recommendations are implemented in a timely and effective manner.	No
H46	Investigate opportunities for creation of additional social housing within the Councils' own stock and assets.	No
H47	Work with Planning to achieve Affordable Housing through Section 106 agreements. Hold a minimum of 3 meetings of Runnymede Housing Development Partnership within the year	No
H48	Manage Council owned garages	No
H49	Update Business Continuity Plan	No

3.3 Medium term aspirations/plans

Ref.	Project/objective	Team/section leading on the activity (shown in bold) and support teams	Outcome(s) i.e. the benefit(s) the objective brings once delivered	Expected start and completion date
H50	Ongoing programme of planned works to Housing Stock through Asset Management Plan	Maintenance	Well maintained housing stock meeting Decent Homes and regulatory standards	March 2021 onwards
H51	Regeneration of HRA Estates	Development	Replacing short life properties with new homes with increased density providing additional affordable homes on our existing land.	March 2021 – March 2025
H52	New HRA Developments	Development	Increased access to affordable homes	March 2021 to March 2030
H53	Digitalisation - Implementation of new systems will involve a 2-year process of integrating new modules and increasing the level of computerised processes within the department, including moving to task flow and task management generated by the system.	Business Development	Increased efficiencies and effective customer contact, resulting in optimisation of resources available.	March 2021- March 2023
H54	Establish resident engagement and participation using digital platforms and media. Enabling self -serve, digital consultation and feedback. Traditional methods of communication are resulting in very low levels of tenant engagement.	Business Development Housing Services Housing Solutions Maintenance	Increased customer satisfaction and improved resident participation.	March 2021- March 2023

Ref.	Project/objective	Team/section leading on the activity (shown in bold) and support teams	Outcome(s) i.e. the benefit(s) the objective brings once delivered	Expected start and completion date
H55	Increased focus on resident sustainment and support services enabled by digitalisation.	Housing Services	Targeted resources for customers requiring more intensive engagement. Efficiencies created through improved processes and replacement of phone contact with tenant self-serve options will release staff time for those residents needing higher level of input.	March 2021 to March 2022

Section 4: Housing Business Unit requests for growth

None

Section 5: Housing Business Unit's performance indicators

Ref	Performance Indicator	Target					Actual				
		Q1 (Apr-June)	Q2 (Jul-Sept)	Q3 (Oct-Dec)	Q4 (Jan-Mar)	Full year (Apr-Mar)	Q1 (Apr-June)	Q2 (Jul-Sept)	Q3 (Oct-Dec)	Q4 (Jan-Mar)	Full year (Apr-Mar)
H1	Average number of calendar days to relet a void property (excludes major works voids)	25	25	25	25	25					
H2	Satisfaction with the overall Reactive Repairs service received (% of total number of responses returned)	95%	95%	95%	95%	95%					
H3	Number of households in B&B for more than 2 weeks	4	4	4	4	16					
H4	Rent arrears of current tenants as a percentage of rent due	1.75%	1.75%	1.75%	1.75%	1.75%					
H5	Percentage of stock with a valid annual landlord gas safety certification per annum.	100%	100%	100%	100%	100%					
H6	Percentage of stock with a valid safety certification Electrical Installation Condition Report	80%	90%	100%	100%	100%					
H7	Number of outstanding high risk Fire Risk Assessment actions.	70	30	30	30	30					
S1	Number of decisions investigated by the ombudsman requiring a remedy by the Council.	0	0	0	0	0					
S2	Number of households with a support plan in place	270	270	270	270	270					
S3	Percentage of homeless cases prevented	50%	50%	50%	50%	50%					
S4	Average number of days to close an ASB case	50	50	50	50	50					
S5	No of ASB cases closed each quarter* including information on time each case took										
S6	Percentage of capital programme spend in year	5%	15%	45%	90%	90%					

		Target					Actual				
S7	Percentage of total stock empty at the end of the quarter	2.5%	2%	1.5%	1.5%	1.5%					
		(no)	(no)	(no)	(no)	(no)					

Section 6: Housing Business Unit risk management (excluding project risks with separate Project Charter)

Ref	Issue	Consequences	Impact area <i>Life and limb</i> <i>Reputational</i> <i>Financial</i> <i>Legal</i> <i>Other</i>	Probability (Pre-control measures)	Impact (Pre-control measures)	Risk Rating (Pre-control)	Control Measure(s)	Probability (Post control measures)	Impact (Post control measures)	Rating (Post control)	Owner
HR1	Housing Revenue Account Income forecast not met.	Potential increase in rent arrears. Increase in homelessness provision 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 Annual review of Housing Revenue Account Business Plan	3	4	12	CHoH
HR2	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 Welfare of residents Financial Reputationa l	5	4	20	New PRS Offer to be developed with additional resources being directed to this area. Entering into innovative partnerships	3	3	9	CHoH

Ref	Issue	Consequences	Impact area Life and limb Reputational Financial Legal Other	Probability (Pre-control measures)	Impact (Pre-control measures)	Risk Rating (Pre-control)	Control Measure(s)	Probability (Post control measures)	Impact (Post control measures)	Rating (Post control)	Owner
							with private owners to make more properties available for our nominees at Local Housing Allowance rents. New member of staff and additional funding obtained				
HR3	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	4	16	KPI framework ISO 9001 policy and procedure framework Key strategic documents Housing Committee oversight	2	4	8	CHO H
HR4	Claims for disrepair from tenants against the	Tenants living in homes which are in poor condition	Financial Reputational	5	3	15	Key tenders in place Effective IT systems – audit	3	3	9	CHO H

Ref	Issue	Consequences	Impact area Life and limb Reputational Financial Legal Other	Probability (Pre-control measures)	Impact (Pre-control measures)	Risk Rating (Pre-control)	Control Measure(s)	Probability (Post control measures)	Impact (Post control measures)	Rating (Post control)	Owner
	Housing Service	Financial compensation to tenant paid Reputational damage to the Council	Delivery of services				trail of repair work Programme of tenancy audits and property inspections in place				
HR5	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 Reputation Financial Legal	3	5	15	Contract in place and further resources agreed if required. Monitoring in place	3	4	12	CHo H
HR6	Failure to achieve compliance on electrical testing within the year commitment	Risk of properties which have not been tested	Reputation Financial Legal	3	5	15	Contract in place and further resources agreed if required. Monitoring	3	4	12	CHo H

Ref	Issue	Consequences	Impact area Life and limb Reputational Financial Legal Other	Probability (Pre-control measures)	Impact (Pre-control measures)	Risk Rating (Pre-control)	Control Measure(s)	Probability (Post control measures)	Impact (Post control measures)	Rating (Post control)	Owner
HR7	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 Ensure staff have received safeguarding training	2	5	10	CHO H
HR8	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	Life and Limb Reputation Financial Legal	3	5	15	Project plan in place for all procurement	2	4	8	CHO H

Ref	Issue	Consequences	Impact area <i>Life and limb</i> <i>Reputational</i> <i>Financial</i> <i>Legal</i> <i>Other</i>	Probabilit y (<i>Pre-</i> <i>control</i> <i>measures</i>)	Impact (<i>Pre-</i> <i>control</i> <i>measures</i>)	Risk Rating (<i>Pre-</i> <i>control</i> <i>)</i>	Control Measure(s)	Probabilit y (<i>Post</i> <i>control</i> <i>measures</i>)	Impact (<i>Post</i> <i>control</i> <i>measures</i>)	Rating (<i>Post</i> <i>control</i> <i>)</i>	Owner
		risk to residents and staff. Breach of RSH regulations. Accusations of collusion. No value for money audit.									
HR9	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 services Welfare of residents Financial Reputationa l	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 Units/teams have any other data quality risks specific to their area and if so, these will also be included in the relevant Business	2	4	8	CHo H

Ref	Issue	Consequences	Impact area <i>Life and limb</i> <i>Reputational</i> <i>Financial</i> <i>Legal</i> <i>Other</i>	Probability (Pre-control measures)	Impact (Pre-control measures)	Risk Rating (Pre-control)	Control Measure(s)	Probability (Post control measures)	Impact (Post control measures)	Rating (Post control)	Owner
							Unit/Team Plans.				
HR10	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 services Welfare of residents Financial Reputationa l	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	2	4	8	CHO H

Ref	Issue	Consequences	Impact area <i>Life and limb</i> <i>Reputational</i> <i>Financial</i> <i>Legal</i> <i>Other</i>	Probability (Pre-control measures)	Impact (Pre-control measures)	Risk Rating (Pre-control)	Control Measure(s)	Probability (Post control measures)	Impact (Post control measures)	Rating (Post control)	Owner
							Officer by Council to oversee compliance with GDPR.				
HR11	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 services Welfare of residents Financial Reputationa l	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	2	4	8	CHoH

Ref	Issue	Consequences	Impact area <i>Life and limb Reputational Financial Legal Other</i>	Probability <i>(Pre-control measures)</i>	Impact <i>(Pre-control measures)</i>	Risk Rating <i>(Pre-control)</i>	Control Measure(s)	Probability <i>(Post control measures)</i>	Impact <i>(Post control measures)</i>	Rating <i>(Post control)</i>	Owner
							requirements of GDPR. Appointment of Data Protection Officer by Council to oversee compliance with GDPR.				
H12	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 Welfare of residents Financial Reputational	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.	2	4	8	CHO H

Ref	Issue	Consequences	Impact area <i>Life and limb</i> <i>Reputational</i> <i>Financial</i> <i>Legal</i> <i>Other</i>	Probability (Pre-control measures)	Impact (Pre-control measures)	Risk Rating (Pre-control)	Control Measure(s)	Probability (Post control measures)	Impact (Post control measures)	Rating (Post control)	Owner
							Provision of training to staff on requirements of GDPR. Appointment of Data Protection Officer by Council to oversee compliance with GDPR.				
H13	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 Welfare of residents Financial Reputational	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	2	4	8	CHO H

Ref	Issue	Consequences	Impact area Life and limb Reputational Financial Legal Other	Probability (Pre-control measures)	Impact (Pre-control measures)	Risk Rating (Pre-control)	Control Measure(s)	Probability (Post control measures)	Impact (Post control measures)	Rating (Post control)	Owner
							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.				
HR1 4	Critical member(s) of staff unable to attend work	Essential functions not covered	Life and limb Reputational Financial Legal	3	4	12	Business Continuity plans. Staff trained to cover. Contractors sourced for emergency cover	3	2	6	CHo H
HR1 5	Regeneration of HRA stock not achieved	Non-traditional properties not replaced and continue to deteriorate.	Reputation Financial Legal	3	4	12	Priority of Member Working Group	2	4	8	CHo H
HR1 6	New development not achieved	New, additional provision not delivered. Abortive costs.	Reputation Financial Legal	3	4	12	Project monitoring in place	2	4	8	

Ref	Issue	Consequences	Impact area <i>Life and limb Reputational Financial Legal Other</i>	Probability (Pre-control measures)	Impact (Pre-control measures)	Risk Rating (Pre-control)	Control Measure(s)	Probability (Post control measures)	Impact (Post control measures)	Rating (Post control)	Owner
		Increased need for TA if suitable housing offers cannot be made 1-4-1 money not used within government timescale									CHO H
HR1 7	New IT system not procured	Current system not fit for purpose and it will not be possible to carry out planned service improvements	Reputation Financial Legal	3	4	12	Corporate Digital Transformation Strategy with input from procurement and additional resources.	2	4	8	CHO H
HR1 8	Council Garages not maintained	Rental income falls and asset depreciation	Financial Life & Limb	4	3	12	Stock Condition Survey and Review of all sites	2	2	4	CHO H
HR1 9	Asset Management Plan is not fit for purpose	Operational and financial decisions are based on poor/incorrect data	Reputation Financial Legal	3	3	12	Key staff from all relevant teams will be involved in the review. Data integrity assured	1	3	3	CHO H
HR2 0	TA portfolio does not reflect current need	Increased expenditure on B&B (General Fund). If too many properties, rent loss	Reputation Financial	3	4	12	Monitoring of need and usage. More one-bedroom properties to be brought into	2	3	3	CHO H

Ref	Issue	Consequences	Impact area Life and limb Reputational Financial Legal Other	Probability (Pre-control measures)	Impact (Pre-control measures)	Risk Rating (Pre-control)	Control Measure(s)	Probability (Post control measures)	Impact (Post control measures)	Rating (Post control)	Owner
		If properties are too large under there will be under occupation					use and 3 beds put back into stock where possible.				
HR2 1	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 Reputation Financial Legal	3	3	9	Recruitment changed to full time post because part time and temp roles have failed to attract applicants.	2	3	6	CHO H
HR2 2	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.	Reputation Financial Legal	2	3	6	Scheme will be updated in line with legislation	1	3	3	CHO H
HR2 3	Failure to implement Homelessness Strategy	Resources (including staffing and housing stock) are not used most effectively. Use of B&B and TA increase. Non-compliance with	Reputation Financial Legal	2	3	6	Consultation has begun with the Runnymede and Spelthorne Homelessness Task Group.	2	2	4	

Ref	Issue	Consequences	Impact area <i>Life and limb Reputational Financial Legal Other</i>	Probability (Pre-control measures)	Impact (Pre-control measures)	Risk Rating (Pre-control)	Control Measure(s)	Probability (Post control measures)	Impact (Post control measures)	Rating (Post control)	Owner
		legislation and/or statutory guidance. Potential judicial review.					Regular monitoring of performance against Business Unit Plan objectives is carried out;				CHO H
HR2 4	Fraud increases/is not tackled	Unnecessary resources lost to fraudulent activity. Perceived failure to tackle results in increased fraud.	Reputation Financial	2	3	6	New tenancy Audit function	1	2	2	CHO H

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	Certain 5	5	10	15	20	25
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Likelihood of Occurrence (A)	Severity of Impact (B)
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Probable 4	4	8	12	16	20
Possible 3	3	6	9	12	15
Unlikely 2	2	4	6	8	10
Highly unlikely 1	1	2	3	4	5
	Negligible 1	Small 2	Noticeable 3	Serious + Significant 4	Critical + Considerable 5
IMPACT (B)					

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

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