

RISK REGISTER

**HOUSING OPERATIONS DIRECTORATE REGISTER:
QUARTER 1, 2010-11**

INCLUDES ALL MEDIUM & HIGH RESIDUAL RISKS

Appen

Risk Number	Description of Risk	Description of Potential IMPACT (with estimated costs if possible)	Description of LIKELIHOOD Factors	Risk Owner	Date Risk Raised	Inherent / Prevailing Risk			Countermeasures & Additional Controls / Mitigations / Actions (including SIP references where relevant)	Action Owner	In Operation Target Date	Residual Risk	
						LIKELIHOOD Rating	IMPACT Rating	RISK Score				Residual LIKELIHOOD Rating	Residual IMPACT Rating
	Objective: Deliver excellent customer focused services. (Insert here any Directorate or Service Area objectives that are linked to the Corporate Objective above).												
1	HIM7: Failure to provide a flexible/extended service/ operation.	Service not accessible to all. Inability to make contact with some debtors and ensure effective rent/income recovery.	Level of reluctance to change, HR, Unions, changes to employees terms & conditions, potential cost, staff reluctance, health & safety.	Rent & Leasehold Service Manager	01/04/2009	4	3	12	Mobile & home working to mitigate changes to work practices. Rents call centre will become 24/7 as part of consolidated call centre	Rent and Leasehold service Manager	31/03/2011	3	2
2	LH3: Adverse effect of negative publicity for Recharges raised	Services do not meet the needs & aspirations of customers. Low satisfaction with service and potential loss of income	Training . Vulnerability issues Availability of resources - time and £ Conflicting judgements from staff	Leaseholder & Rechargeable Repairs Manager	11/06/2009	4	3	12	Ensure customer information e.g. recharges leaflet is up to date. Ensure evidence will uphold the charge and customers are made aware of recharges. Quality groups and regular training	Leaseholder & Rechargeable Repairs Manager	31/03/2011	3	3
3	LH4: Increase in bills to leaseholders through Secure Warm Modern Programme	Leaseholders faced with large repair bills	Availability of budget to meet these costs Programme of works specifically for leaseholders	Leaseholder & Rechargeable Repairs Manager	11/06/2009	5	3	15	Financial questionnaire was sent to all leaseholders to establish needs and enhanced payment options are being made available through the new service charge module e.g. DD	Leaseholder & Rechargeable Repairs Manager	31/03/2011	3	3
4	SP1: Failure to provide an adequate response to an emergency alarm call.	Death or serious consequences for the health of service users. Loss of reputation for Nottm On Call & the Company. Potential financial loss through withdrawn contracts. Loss of confidence by RSL's, self funders & SP. Potential loss of TSA accreditation. Potential intervention by Tenant Services Authority. Staff redundancy.	Failure to follow procedures. Staff shortages resulting in poor response times. Equipment failure. Incorrectly installed devices. Loss of management controls. Poor response after an incident has taken place.	Supported Housing Manager	30/04/2010	5	5	25	TSA Accreditation Robust procedures that are reviewed regularly & reinforced with Control Operators at least 6 monthly. Quality assurance regime that dip-tests calls for quality and reviews the installations & care plans of regular alarm activation users. Reliable equipment & business continuity plans. Regular training for those installing equipment. Procedures for notifying & escalating issues as they become apparent. Increased frequency of ISO9002 & Internal Audit checks.	Supported Housing Manager	May-10	4	5
5	SP2: Loss of key staff in Nottingham On Call due to sickness or other factors.	Unanswered or delayed answered calls leading to serious consequences for service users. Failure to meet TSA standards. Failure to maintain contractual obligations.	Sickness epidemic such as Swine Flu. Issues with recruitment & retention of staff. Suspension or disciplinary action.	Supported Housing Manager	06/05/2010	4	5	20	Business continuity plans. Develop pool of reserve staff from Customer Services Division/ Call Centres, including supervisory & managerial staff. Ensure reserve staff are trained. Procedures for notifying & escalating issues as they become apparent.	Supported Housing Manager	May-10	2	5
6	SP2: Failure to have SP contracts reviewed.	Loss of contracts, poses financial risk to Company = increased central costs. Impact upon reputation. Risk to tenants that NOC not delivered locally.	Previous SP contract been lost. SP funding arrangements potentially changing. All SP services have to be tendered.	Supported Housing Manager	01/04/2008	4	5	20	Review of Supported Housing Service, this will include review of costs. Joint work with NCC and Supporting People. SIP Action Plan/Business Plan. Keep up to date with GP.	Supported Housing Manager	31/03/2011	3	3
7	SP3: Ensure BME communities are able to access sheltered housing.	BME communities under represented in sheltered housing schemes. Direct or indirect discrimination against groups. Legal challenge. Ombudsman challenge. Sheltered schemes under occupied. Loss of revenue Potential for BME communities to be isolated in schemes.	BME communities not aware of sheltered schemes as housing option. Failure to consult/engage BME communities in housing options. Policy review.	City Lettings Manager/ Supported Housing Manager	01/04/2008	3	3	9	SIP Action 1.8 Work with partners and stakeholders to ensure this area is covered Review of allocation policy Monitoring of BME within the service area . Drive to raise cultural awareness in sheltered schemes. Marking and communication plan introduced to capture this.	City Lettings Manager/ Supported Housing Manager	31/03/2011	3	2
8	SP5: Failure to comply with Supporting People service requirements of producing needs assessments prior to allocation.	Reductions in grant income in future years. Lack of a needs assessment prior to allocation of properties. Failure to meet the required needs of individuals when allocating properties. Failure to provide individuals with the support required to enable them to remain in the community.	Ability to complete during application stage and failure to use at allocation by home link. Ability to achieve performance targets and secure TSA accreditation.	City Lettings Manager/ Supported Housing Manager	01/04/2008	4	3	12	SIP Action 1.10 Three central lettings managers working to the needs assessments put into place. This is also going to become part of the fundamental allocations review with NCC. Ongoing action with V & A work in progress	City Lettings Manager/ Supported Housing Manager	31/03/2011	3	3
9	TEM1.2: Failure to apply policies and procedures resulting in discrimination	Service open to direct or indirect discrimination. Poor customer satisfaction. Reduction in tenant engagement. Open to Ombudsman review Open to Legal challenge financial risk to Company	Lack of training. Corruption. Capability issues. If procedures are not up to date and reviewed on a regular basis.	Assistant Director - TEM	01/04/2008	3	4	12	SIP 2.2, 3.5, 3.19 ISO accreditation achieved Audit internal and external. Training plans and coordinated team briefings 3C's process. TEAM. EIA. Full procedural review 90% complete. ISO audit planned for November 2009.	Area Housing Managers	31/03/2011	2	4

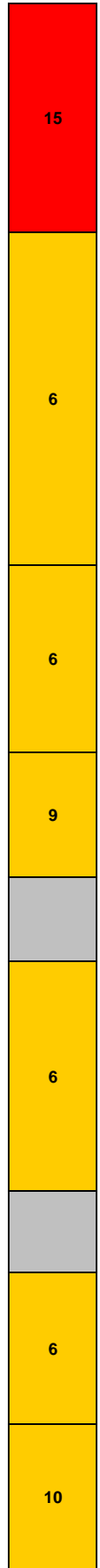
10	TEM1.4: Failure to provide effective, accurate and timely housing advice.	Inconsistent service provision for customers. Open to legal challenge. Open to Ombudsman challenge Reputational damage Reduced customer satisfaction	Level of consistent knowledge and skills amongst staff. Training . Capability issues Availability of resources - time and £	Assistant Director - TEM	01/04/2008	5	5	25	SIP 3.5, 3.19, 3.21 Comprehensive and compulsory training programme for all staff with regular assessments of employees skills and capabilities, e.g. Wednesday morning tests. ISO Development of mobile technology. New PI's developed Protocols with partner organisations Business Plan/Service Improvement Plan . As new procedures introduced, training to take place on Wednesday mornings. EPDRs and One to ones	Area Housing Managers	31/03/2011	3	5
11	TEM1.5: Failure to manage anti social behaviour.	Poor service provision and deterioration of estates Increased court costs. Legal challenges. Increased dissatisfaction with service Lost of rental income from voids; Maintenance costs for void and tenanted properties; Service cost for communal areas; Compensation payments; Re-housing costs; Mediation and support services; Staff time; Increased insurance premiums and higher excesses.	Level of coordination between NCH, CP and Police. Consistency of approach and degree of quality of staff dealing with ASB.	Assistant Director - TEM	01/04/2008	3	3	9	SIP 1.17, 3.4, 3.5, 3.7, 3.11 Improved coordination and streamlining of communication with Neighbourhood Action Teams. Improved management of staff dealing with ASB ASB performance framework established Improved operational joint working arrangements with Community Protection. Revised ISO procedure Case management and monitoring system implemented training taken place - refresher training completed. Cases reviewed monthly with partner agencies at ASB Panels. Improved victim/witness reporting methods e.g website ASB Accreditation ASB and REACT training for front line staff planned for late 2009/early 2010.	Area Housing Managers	31/03/2011	2	3
12	VA3: Ensure BME communities are able to access sheltered housing	BME communities under represented in sheltered housing schemes. Potential direct or indirect discrimination against minority groups. Legal or Ombudsman challenge. Sheltered schemes under occupied; loss of revenue. Potential for BME communities to be isolated in schemes.	BME communities not aware of sheltered schemes as housing option. Failure to consult/engage BME communities in housing options.	City Lettings Manager	01/04/2009	3	3	9	CLG project & work with partners. Review of Allocations Policy & Low Demand Strategy [SIP Refs. 1.6 & 3.14]. Drive to raise cultural awareness in sheltered schemes. Project Rhanama & rehousing of Zimbabwean nationals. Marketing and Communication plan and Focus Group [SIP Ref. 1.2]. Older Person's Roadshow and other similar events (Clifton)	City Lettings Manager/ Supported Housing Manager	31/03/2011	3	2
13	VA6: Failure to upgrade and improve Choice Based Lettings' (CBL) IT systems.	Inefficient inputting of registrations, bidding & shortlisting. Failure to secure and evidence Value for Money. Outdated IT systems and inadequate IT infrastructure.	Availability and compatibility of alternative IT systems. Level of budget provision to finance upgrades and system improvements.	City Lettings Manager	01/04/2009	4	4	16	Business process review to highlight IT issues impacting on the operational efficiency of CBL. Ongoing negotiations to improve enhancements to the IT system held with Northgate. Outcome of Lean System review	Housing Registration & Allocations Manager	31/03/2011	3	3
Objective: Engage customers in influencing the shape and quality of housing services that we provide. (Insert here any Directorate or Service Area objectives that are linked to the Corporate Objective above).													
14	TEM2.1: Failure to develop Area Panels.	Customers not involved in creating future developments within NCH and not scrutinising company performance.	Level of interest and attendance by customers. Degree of representation of local groups and the community by the panels and the attendees. Degree of delegation, responsibility and power given to Area Panels e.g. delegated budgets.	Assistant Director - TEM	01/04/2008	3	3	9	Focus TP staff and HPMS to encourage and develop new and existing panel members. Board and EMT to devolve some powers to Area Panels. Marketing and promotional campaigns. Appointment of new TLIO's with responsibility for AP. Getting involved weeks. Use of profiling data to target groups and individuals. Work needed on powers and devolved budgets for area panels. Panels have forward plans. Contained with resident involvement SIP. Panel involved in decision making, eg rent increases and environmental schemes.	Area Housing Managers	31/03/2011	2	3
Objective: Be a key partner in the delivery of safe and sustainable neighbourhoods. (Insert here any Directorate or Service Area objectives that are linked to the Corporate Objective above).													
15	CES7: There is currently no service level agreement or protocol in place with NCH and NCC City Services to ensure that public realm work is maintained to a high standard , delivers VFM and meets the standards required by our citizens and the TSA	Condition of estates deteriorate, duplication of work by NCH and NCC. NCC unaware of expected standards, TSIs and Housemark benchmarking	Need to monitor and agree standards and dispute resolution process if standards are not maintained.	Kim De Vergori	01/04/2010	4	3	12	Draft protocol and SLA has been developed pending a meeting with interim director of City Services for agreement and signature.		31/03/2011	2	3
16	TEM3.2: Failure to assess support needs and arrange suitable support for customers.	Inconsistent or non existent service provision for customers. Potential unsustainability and increased stock turnover.	Quality of staff knowledge and understanding. Level of coordination between staff, service providers and customers.	Assistant Director - TEM	01/04/2009	3	5	15	SIP 1.6, 2.2, 3.5 Incorporate in training plan for staff and better information and publicity of service providers. New tenancy visits and push on Biennial Tenancy Visits . Staff training completed. Support needs assessment. Await outcome of sheltered housing review.	Area Housing Managers	31/03/2011	2	5

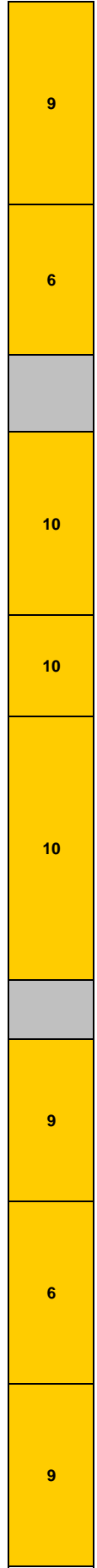
17	VA8: Failure to meet lettable standard	Higher refusal rate, leading to worsening ART. Reduced revenue through increased void rental loss. Reduced customer satisfaction & Reputational risk. Health & Safety issues.	Limited budget provision. Training/ Capability issues. Resources - time and £.	City Lettings Manager	01/04/2009	4	4	16	Lettable standard developed with increased monitoring of quality & compliance [SIP Refs. 3.4 & 3.5]. Void Quality Assurance plan. Tenant Services Inspection Team. Weekly inspections by Void Project Manager & Technical Project Manager & monthly inspections by AD & TSIT. New Surveyors in place & post inspection of all properties, including inspection proforma. Show garden developed as training aid for staff. New cl	Voids Technical Project Manager	31/03/2011	3	3
18	VA11: Ineffective links between lettings and asset management and NCC retained housing service	Increased number of low demand properties. Loss of revenue. Ineffective use of housing stock. Investment in stock which has no long term future = poor VFM and risk to reputation.	Level and number of properties considered to be in low demand, awaiting decisions from NCC. Strategic and operational management. Planning for regeneration.	City Lettings Manager	01/04/2009	3	4	12	Establish effective strategic and operational arrangements - action plan developed Monthly Operational Asset Management meeting between NCH & NCC. Regeneration agenda. Housing Forum meetings Decommissioning Project Meetings with NCC	City Lettings Manager	31/03/2011	2	3
Objective: Be a key partner in the transformation of Nottingham's neighbourhoods. (Insert here any Directorate or Service Area objectives that are linked to the Corporate Objective above).													
19	TEM4.1: Failure to identify potential properties, sites and estates for disposal which present management issues which results in failure to support decent homes programme.	Wasting resources on unsustainable sites and a lack of coordination with Property Services. Possibly open to disrepair, e.g. Kingsthorpe Close.	Level and adequacy of board decisions on long term future of some of the difficult to maintain and manage stock.	Assistant Director - TEM	01/04/2009	5	5	25	Meetings with Property Services established. Board and EMT to make medium and long term decisions as to the viability of certain elements of the stock. Better working relationships with Property Services SRF plans being drawn up by NCC. Business Plan/Asset Management Strategy. Working groups with NCC, e.g. sustainability and decommissioning. Work with NCC to agree future actions.	Assistant Director - TEM	31/03/2011	2	5
20	TEM4.2: Failure to help support the delivery of the Decent Homes Programme.	Delay with programme resulting in more customer complaints. Lack of information about programmes in local area. Frustrated contractor issues such as access	Best use of TLOs. Building working relationships with Property Services and contractors	Assistant Director - TEM	01/04/2009	3	5	15	Regular agenda item at team meetings, AHMs, EDTM and Area Panels	Area Housing Managers	31/03/2011	2	5
21	TEM4.3: Failure to effectively manage estate inspections and environmental schemes and failure to achieve 2 star ratings for all estates.	Poor service provision and deterioration of estates. Possibly open to legal challenges. Reduced satisfaction with neighbourhoods. Increased crime and ASB	Level and adequacy of coordination between NCH, NCC - Street Scene, environmental health and other service providers.	Assistant Director - TEM	01/04/2009	3	5	15	SIP 3.8, 3.10 Clarification on role of neighbourhood management and its links to the management of estates and environmental schemes. Better reporting by staff on estate inspections. Development of mobile technology. All estates now at least 1* Tenant Inspectors and mystery shopping Estate evaluation with tenants and partners. Pilot scheme at Clifton looking at enhancing links between NCC and NCH. Weeks of action to include estate inspections to raise profile. Use of Finance from Street Scene for mini weeks of action.	Area Housing Managers	31/03/2011	2	5
Objective: Be an excellent organisation. (Insert here any Directorate or Service Area objectives that are linked to the Corporate Objective above).													
22	CES3: Failure to secure Value for Money and adequate service provision within building cleaning and sheltered scheme Service Level Agreement (SLA).	The current cost of SLA (Approx £186k) continues to put pressure on budgets and fails to provide evidence of Value for Money. Services provided by NCC do meet the needs of tenants and leaseholders. Inconsistent levels of service between two providers.	VMS recently evidences lack of satisfaction with flat cleaning by N.C.C and inconsistent service charges for tenants in these sites.	Estates and Caretaker Services Manager	01/04/2009	4	4	16	Improvement group to be held May 18 and invite to NCC service head. Outcomes to be publicised to service users. Further negotiations ongoing with NCC for future delivery of service. TUPE implications do apply.	Head of Estates	31/03/2011	3	3
23	CES4: Failure to review and modernise the garden assistance scheme to a service that meets the needs of our most vulnerable tenants	Current cost of service is £1,053,000 and has not been reviewed since the scheme was introduced. No evidence that the current service is delivering VFM, that the current service users are satisfied with the service and that the scheme is being delivered in a fair and consistent manner to our most vulnerable tenants	Service has not been reviewed for a number of years and not necessarily delivered to our most needy tenants. Service far outweighs that provided by other three star organisations and continues to be free to service users.	Estates and Caretaker Services Manager	01/04/2010	4	3	12	Full review with option appraisal underway. Various options being considered for future delivery.	Head of Estates	31/03/2011	2	3
24	HIM5: Inability to meet Rent collection targets.	Reduction in HRA income & Company management fee. Reduction in funding services. Impact on Inspection.	Levels of adherence to procedures, staffing levels, competency, training, increasingly difficult collection conditions.	Rent & Leasehold Service Manager	01/04/2009	2	5	10	Procedures, management controls, partnership working, weekly & monthly monitoring drilling down to causes. Review of processes Business Plan. Individual targets. on line rent statements See HB actions below	Rent and Leasehold Service Manager and Rents Operations Managers, Rent Account Managers	31/03/2011	3	3

25	HIM6: Failure to support tenants to access Housing Benefit and maximise income generally	Failure to meet collection targets. Reduction in HRA income and Company management fee. Increase in poverty amongst tenants. Increased evictions. Increased in tenants accessing door step lenders	ICT interface is solid. Benefit processing performance. Level of communication. Changes in Benefit regulations. Potential for expansion of Local Housing Allowance.	Rent & Leasehold Service Manager	01/04/2009	2	5	10	NCH/ Benefits Protocol prescribes joint working & relationship/ escalation measures if required. HB Leen system review City-wide. Financial Inclusion Strategy and Business Plan FIO' s - SP bid for additional FIO's On line access to HB calculator. Money Matters leaflet. -Benefit awareness campaign. Money Matters.	Rent and Leasehold service Manager	31/03/2011	2	3
26	HIM12: Failure to deliver Value for Money when service outcomes are measured against customer expectation and similar organisations.	Higher costs/ low collection performance could result in higher rents/ loss of services & low customer satisfaction. Could lead to service being out sourced	Level of costs incurred until collection performance reaches target. Previous culture of non payment/collection within organisation and amongst tenants	Rent & Leasehold Service Manager	01/04/2009	4	3	12	Demonstrate VFM by improving performance & reducing costs per the Rents Business Plan when performance reaches target. Culture change programme. Revised procedures. Numerous examples of VFM in the section. Benchmarking group attendance	Rent and Leasehold service Manager	31/03/2011	3	3
27	HIM13: Failure to make significant progress in the collection of Former Tenants Arrears.	More money needs to be set aside for the provision of bad debt.Reputation of Service.	Specialist resource lacking. Lack of awareness of issues. Effect on re-housing of former tenants. Abandements increasing.	Rent & Leasehold Service Manager	01/04/2009	4	3	12	Business Improvement Request. 'Spend to Save initiative. Specialist training. Robust procedures. Bid being considered by N.C.C. for two new posts dealing with FTA's.	Rent and Leasehold Service Manager and Rent Operations Managers	31/03/2011	3	3
28	SP7: Failure to implement the findings of the Supported housing review	Failure to improve service delivery in line with the needs of the Service User. Low customer satisfaction with limited opportunity for customers to participate in future plans for the service. Possible outsourcing of the service. Loss of SP contract	Level of input from staff and understanding of the service. Level of interest and 'buy-in' from customer groups during key consultation.	Supported Housing Manager	01/05/2009	5	5	25	SIP Action 3.4 Action Plan based on recommendations from consultancy work produced for Board.	Supported Housing Manager/ AD TEM	31/03/2011	2	3
29	TEM5.1: Failure to achieve KPIs including customer care, ASB and visits.	Poor service provision and poor performance information. Possibly open to legal challenge. Reduced customer satisfaction	Training . Capability issues Availability of resources - time and £ Performance by partners and other departments which impact upon perceptions and service delivery	Assistant Director - TEM	01/04/2009	2	5	10	SIP 1.12, 1.16 ,1.17, 3.4, 3.5, 3.7, 3.11, 3.19, 3.21 EPDRs and 1 to 1s implemented throughout TEM with clear training plans developed. Development of mobile technology. New PI's developed Protocols with partner organisations Business Plan/Service Improvement Plan. ASB VMS results improving. REACT introduced and training has taken place. Accommodation strategy and budget issues link to sharing of resources. Better use of team brief and potential testing/assessments Review of performance management underway	Area Housing Managers	31/03/2011	1	5
30	TEM5.2: Failure to work together with all parts of the Company as One Team.	Uncoordinated and inconsistent service provision, e.g. task duplication and staff frustration with colleagues and restructure.	Ability of customers and staff to differentiate and avoid confusion as to the service provider.	Assistant Director - TEM	01/04/2009	4	3	12	SIP 3.20 Better communication and understanding of roles and impact on teams and customers - at all levels of the Company. Work planned to ensure TEM work more effectively with Property Services eg decants and exchanges. Brainstorming sessions at EDMT on cross cutting areas	Area Housing Managers	31/03/2011	3	3
31	TEM5.3: Failure to manage housekeeping at Area Housing Offices.	Inconsistent service provision for customers. Disorganised staff Accuracy of records. Untidy Offices	Ability to manage vacancy rates during elongated restructure. Capacity to make improvements to back office accommodation.	Assistant Director - TEM	01/04/2009	4	3	12	SIP 3.5 Marketing strategy Office of month and mystery shopping DDA works in some offices Review of all marketing materials Children play areas. Accommodation Strategy to be implemented Housefile procedure reviewed and to be relaunched. Regular 'spring' cleans in offices. ISO and audits. Ongoing audit of housefiles.	Area Housing Managers	31/03/2011	2	3
32	TEM5.4: Failure to effectively manage staff and performance and improve consistency of procedures.	Inconsistent or non existent service provision for customers. Demotivated and unfocused workforce. Possible increase in grievance, disciplinaries and sickness.	Ability to implement a transparent company structure. Level of and impact of publicity. Degree of adequate management skills. Ability to clarify and uncomplicated capability procedure. Level of consistent performance information. Capability of all managers to apply procedures consistently	Assistant Director - TEM	01/04/2009	4	5	20	SIP 3.19, 3.21 Training Plan, easy to use capability procedure, management training for managers and agreed and consistent performance information. Develop PIs for clericals, advisors and managers. Develop new procedures in line with ISO guidelines. Culture change programme. Training handbook launched and PDPs in place - Skills matrix in place. Better coordinated team briefs with testing/assessments	Area Housing Managers	31/03/2011	3	5
33	VA14: Failure to have a robust performance management framework in place.	Increased ART. Increased numbers of lettable voids & reduced revenue collection. Reduction in customer satisfaction levels.	Ability to embed performance management amongst void & allocations team members to deliver service improvement.	City Lettings Manager	01/04/2009	3	4	12	Implementation of robust performance management framework to improve performance [SIP Ref. 3.15]. Training for new staff [SIP Ref. 1.9]. LEAN Systems Review to commence Aug-09 [SIP Ref. 3.2].	City Lettings Manager	31/03/2011	2	3
34	VA16: Failure to control costs and remain within agreed budgets.	Increased void times and increased cost of average void. Reduced revenue collection.	Limited Budget Provision. Adequacy of systems in place to monitor costs of service & average void costs. Ability to manage budget overspends & the high average cost of repairing void properties.	City Lettings Manager	01/04/2009	4	4	16	Improved budgetary controls & forecasting for costs of void properties [SIP Ref. 3.21]. Strengthened monitoring mechanisms and use of finance support. Review painting & decorating provision [SIP Ref. 4.1]. Revised lettable standard	Service Improvement Manager (Prop Services)	31/03/2011	3	3

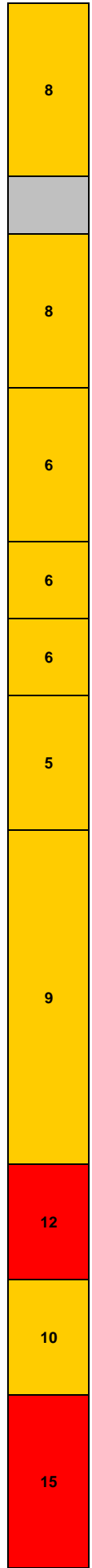
35	VA17: Failure to improve security arrangements for void properties.	Security arrangements for void properties do not meet the required standard. Increase in unsecured properties leading to increased vandalism and cost of refurbishment to lettable standard. Blight on estates which causes low customer satisfaction.	Ability to closely performance manage contractor. Level and frequency of on-site quality inspections undertaken to measure quality of service.	City Lettings Manager	01/04/2009	2	4	8	Revision and improvement to the quality of security arrangement for void properties in order to meet the required standard [SIP Ref. 3.24]. Consideration of the practicality and likely success of punitive action against contractor(s) to recover NCH losses. Monthly meeting with contractor, including property inspections	Voids Technical Project Manager	31/03/2011	2	4
Off-Plan Objectives - Other duties, responsibilities & challenges. (Insert here, and below, any Directorate or Service Area objectives that are not linked to the Corporate Objectives above).													
36	CES8: Failure to ensure that health and safety is adhered to and issues not reported or dealt with by caretakers that could lead to slips or trips hazards. Also failure to carry out prescribed fire safety checks that could put our tenants and leaseholders at risk	Insurance claims received (last case from 2008) cost £6k in settlement and £18k costs)	Ensure all checks are completed and accurately recorded in caretaker log books and monthly fire checks on DELCAM	CEO All employees	01/04/2010	4	5	20	Caretakers log all repair calls made Fire safety checks completed and recorded daily and weekly. Monthly checks undertaken by monitoring officers to ensure checks are being completed.	Estates and Caretaker services Manager	31/03/2011	4	2
37	LH9: Lost income from recharge and service charge payments due to lack of adequate 'in house' collection systems (SIP 3.2).	If SLA with Sundry Debtors is ended and inadequate collection arrangements have been made income streams will be interrupted.	Notice has been served on SLA, and no 'in house' collection systems exist at present.	Leaseholder & Rechargeable Repairs Manager	11/06/2009	5	4	20	SIP Action 3.2 to end the SLA will actually bring this risk about. SIP Action 3.1 will mitigate against some of it (service charges) but plans for recharging module of Northgate are very formative. Currently working with NCC to improve reporting for performance stats including collection rates. This information is reported on a quarterly basis to the Performance Team.	Leaseholder & Rechargeable Repairs Manager	31/03/2011	3	2
38	LH10: Adverse effect on the proposed revision of the management charge	If fee is revised there is a risk of the NCH receiving bad publicity of increasing the fee	Ensure customers understand the process and why it is necessary to revise the charge	Leaseholder & Rechargeable Repairs Manager	11/06/2009	4	3	12	Training and full consultation with leaseholders. Publicity campaign explaining our reasons for the proposed change	Leaseholder & Rechargeable Repairs Manager	31/03/2011	3	2
39	LH12: The cost of services provided are not recovered through the service charges	The lease states the cost of a service for lift replacement but not the principle of a sinking fund	NCH to approach Legal Services at NCC to propose to amend the wording in the lease.	Leaseholder & Rechargeable Repairs Manager	11/06/2009	4	4	16	Make recommendations to the NCC of proposed changes	Leaseholder & Rechargeable Repairs Manager	31/03/2011	3	2
40	HIM14: Closure of payment desks at all officers bar Bulwell, Clifton & Mary Potter. Cessation of Rent Collector service.	Potential loss of revenue. Increased arrears. Increased dis-satisfaction.	Some tenants will find it difficult to change despite best practice payment methods being offered. Dis-satisfaction & potential loss of revenue likely to be short-term risks during change period.	Head of Rents	01/04/2010	3	5	15	Good communication of plans & places to pay. Effective promotion of alternatives. Equality Impact Assessment & dedicated Risk Register for project. Close monitoring of accounts during changeover period in particular, including home visits for all dropped or late payments.	Rent Operations Managers/ Performance Improvement Manager	31/03/2011	1	5
41	SP8: The 'Credit Crunch' and down turn in the UK's economy increases the need for supported housing resources above those available.	High impact on quality of service delivery and related customer satisfaction. Inability to take on new business and/or secure additional future income streams. Services are provided to customers without the full costs being recovered. Inability to maintain provision of a 2/3 star service to customers.	Level of funding and required current and future year budget savings. secure TSA accreditation. Level of staffing resources. Level of associated budget provision to cope with call traffic. Degree to which the Supported housing structure is 'Fit for Purpose' and related efficiencies. Ability to identify and clarify what customers are receiving for their service charge and make adequate and timely recoveries. Ability to embed VFM across the Supported Housing Service Area and engage key managers and supervisors in the process.	Supported Housing Manager	01/01/2009	4	3	12	Ensure a correct charging structure is in place that reflects the charge of service delivery. Three monthly checks that all invoices are created and paid on time. Action plan to be created and cost analysis to be created. VMS focus group established to meet monthly to look at ensuring NCH meets the needs of customers with the services we deliver. Regular performance data to be analysed showing any drop in performance within NOC. Supported Housing Manager is a member of the newly reformed VFME Group which meets monthly.	Supported Housing Manager	31/03/2011	3	3
42	TEM6.2: Failure to effectively monitor SLA's and ensure they deliver VFM	SLA's do not deliver VFM for customers leading to increased service charges. Poor customer satisfaction with neighbourhoods and issues relating to SLA's.	Costs of all SLA's not known. Terms of some SLA's are vague Customers not fully engaged in determining standards for SLA's or monitoring those standards Unsure costs match expenditure	Assistant Director - TEM	01/04/2009	4	4	16	SIP 3.1, 3.2, 3.6, 3.22 Liaison Meetings with partners VMS and STATUS survey feedback Review of service charges with NCC underway Benchmarking. SIP responsibility delegated to AHMs. Peer reviews	Assistant Director - TEM	31/03/2011	3	4
43	TEM6.3: Being vulnerable to compensation claims	Potential includes abandoned, cash collection, disposal of goods, decants - repairs and decommissioning, inappropriate advice, successions, staff injury/stress, mutual exchanges - repairs and health and safety	Number of recent and ongoing claims in most of these areas.	Assistant Director - TEM	01/04/2009	5	5	15	SIP 3.19 Fully review and update all procedures. Use team briefings to update and train staff on new procedures. Investigate individual cases and ensure lessons are learned and that competency issues are discussed at EPDRs and One to Ones. TEAM scrutiny	Area Housing Managers	31/03/2011	2	5
44	TEM6.5: Failure to meet health and safety requirements.	Unsafe working practices and conditions. Possible danger to customers and staff. Possible legal challenges and non compliance with insurance requirements.	Capacity to implement health and safety procedures and monitor & develop consistency of knowledge.	Assistant Director - TEM	01/04/2009	4	5	20	SIP 3.17 Comprehensive programme of risk assessments and training. Appropriate levels of support and guidance from support services. Training plan being developed Renewed H&S Policy being produced. H and S standard agenda item at EDTM. Programme of office health and safety inspections underway.	Area Housing Managers	31/03/2011	3	5

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