



To: Housing and Community Safety Policy Board

On: 17 May 2016

Report by: Director of Development and Housing Services

Heading: Development and Housing Services Risk Register 2016/17

1. Summary

- 1.1 In keeping with 'Risk Matters', the Council's combined Risk Management Policy and Strategy, the Development and Housing Services Risk Register (Appendix 1) is refreshed on an annual basis and is submitted to the Housing and Community Safety Policy Board for approval
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2. Recommendations

- 2.1 It is recommended that the Board
- (i) Approves the Development and Housing Service 2016/17 Risk Register
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3. Background

- 3.1 The business and social environment that Development & Housing operates within and provides services to, continues to be a challenging and dynamic one and the Service Risk Register must continually evolve in order to keep pace with, and accurately reflect the ongoing financial challenges.
- 3.2 Renfrewshire Council actively promotes good and sensible risk management practice. In doing so the council aims to deliver high quality services for all service users, achieve high standards of performance, make the most of opportunity, and provide a safe environment for those it employs, contracts or partners with in providing a wide range of services.

- 3.3 Good risk management is about seeking to prevent harm or loss, seeking to ensure the right things happen and that 'risk-aware' not 'risk-averse' decisions are made in all aspects of council services.
- 3.4 The process to identify key risks seeks to focus on the significant challenges and uncertainties that may impact on the service's ability to deliver its key priorities and the risks are aligned to the themes of the council's business plan. The resulting service risk register is used to record, monitor and review the management of the key risks.
- 3.5 A number of methods have been employed and information sources reviewed to facilitate a broad and thorough approach to identifying the service's risks and these methods are outlined in the attached report.
- 3.6 Risks have been evaluated using the council's standard risk matrix and involves multiplying the likelihood of occurrence of a risk by its potential impact. This produces an evaluation of risk as either 'low', 'moderate', 'high' or 'very high'. The profile of service risk going forward from April 2016 is shown in the table below:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	4	8	1	13

- 3.7 In appraising the proposed service risk register, the Service's Senior Management Team have identified specific risks that they perceive to be the 'top five' for the service.

TOP 5 Risk/Opportunity Risk Areas	Likelihood	Impact	Score	Evaluation
1) Financial Sustainability	04	05	20	Very High
2) Opportunity Management - Key Regeneration Outcomes	03	05	15	High
3) Opportunity Management - Key Cultural & Heritage Outcomes	03	05	15	High
4) Pressures on Short Stay Income through Welfare Reform changes (homelessness)	03	04	12	High
5) Welfare Reform impact on the HRA	04	03	12	High

- 3.8 In preparing this paper for the Board, the service's Senior Management Team considers that the proposed risk register suitably reflects the service's risk management focus for the forthcoming year.
- 3.9 In relation to individual risks recorded, the Senior Management Team believe that appropriate control measures are in place to prevent and/or mitigate adverse effects and that further planned action is appropriate to the level of risk. Where no new actions are defined for any particular risk, this is indicative of a level of confidence in the current control measures in place and a consequent decision to tolerate the risk at this time. Robust monitoring arrangements are in place to track the progress of planned actions.

Implications of the Report

1. **Financial :** Recurring costs associated with the measures in place for each risk are considered proportionate to the level of risk, and new planned actions are also considered to be cost effective.

The financial requirements to support the service risk register should be met within the budget of each relevant risk owner, nevertheless, any unplanned and unbudgeted cost pressures that arise in relation to any of the risks identified will be subject to review in consultation with the Chief Executive and the Director of Finance and Resources.

2. **HR & Organisational Development:** Any risks relating to HR and Organisational Development issues are reflected within Appendix 1.
 3. **Community Planning:** Any risks relating to the Community Planning themes are reflected within Appendix 1.
 4. **Legal:** Any risks that may have legal implications are reflected within Appendix 1.
 5. **Property/Assets:** Any property-related risks are reflected within Appendix 1.
 6. **Information Technology:** Any risks relating to ICT are reflected within Appendix 1.
 7. **Equality & Human Rights:** The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
 8. **Health & Safety:** Any risks relating to health, safety and wellbeing are reflected within Appendix 1.
 9. **Procurement:** Any risks relating to procurement are reflected within Appendix 1.
 10. **Risk:** For member assurance, all areas of the service have been consulted to ensure that the relevant risks have been identified. The risk scores are believed to be as realistic as possible taking account of the type of risks recorded and the effectiveness of the measures in place to manage them.
 11. **Privacy Impact:** Any risks relating to privacy matters are reflected within Appendix 1
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List of Background Papers

- (a) Background Paper 1: Development and Housing Services Risk Register 2015/16
- (b) Background Paper 2: Corporate Risk Register 2015/16

The foregoing background papers will be retained within Development and Housing Services for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officer within the service is John McIntyre, Finance Manager, 0141 618 6162, John.McIntyre@renfrewshire.gov.uk

Author: John McIntyre, Finance Manager, 0141 618 6162
John.McIntyre@renfrewshire.gov.uk



Development and Housing Services Risk Register

April 2016

Document Title:	Corporate Risk Register 2016			1
Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
Date Effective:	18/05/2016	Review Dates:	Quarterly by CRMG to 31/03/2017	

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1. Summary update on previous year's Service Risk Register

- 1.1 When the 2015/16 Development and Housing Services risk register was approved by Board on 12 May 2015, 16 risks were recorded and the evaluation of the risks at that time outlined the service's risk profile as:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	4	11	1	16

- 1.2 In relation to the service's capacity and tolerance for risk this indicated that the service had 15 risks (moderate and high) that could be tolerated, albeit the 11 high risks were recognised as being significant.

- 1.3 Notably however, the service continued to have one very high risk, which ordinarily would not be an acceptable position. Nevertheless, it was acknowledged that this risk, relating to the financial sustainability of the council, had been carefully managed at that level since the beginning of the period of austerity and it continued to reflect the external pressures that the council had to respond to, by way of managing available resources with demographic and service changes and demand.

- 1.4 The Board received a progress report on all corporate risks on 10 November 2015. At that time the risk profile was updated as noted below:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	4	10	1	15

- 1.5 At the year-end, the risks actively being managed by the service remained evaluated as:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	4	8	1	13

- 1.6 A number of required actions were identified and carried out as planned throughout the year. These actions were believed to be proportionate and cost effective in relation to the level of each risk. At the mid year report in November 2015, progress against planned actions was largely in line with expectation. At the year-end, all actions linked to the service risks and due to be undertaken in-year were completed. Any overdue or longer term actions are pulled through to the revised service risk register to monitor and ensure completeness.
- 1.7 The majority of the risks from the 2015/16 service risk register remain core issues for the service to address and they therefore continue to be reflected within the revised risk register in order to be effectively managed in order to support service objectives.
- 1.8 It should be noted that the cost of controlling the risks and undertaking further action have been met within budget and the council has therefore continued to achieve cost effective risk management over the course of the year despite ongoing cost pressures.

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2. The current business environment and key impact areas for the Council

- 2.1 In her recent statement following the approval of the council's [budget for 2016/17](#), the Chief Executive highlighted the significant financial challenge facing the council as a result of a reduction in local government funding at a time of increasing demands on council services. She further explained however that while Renfrewshire Council is not alone in facing this challenge, the council is in a unique position of setting a positive budget that focuses on investment and improvement and has avoided reductions and loss of services, and a reduction in staff numbers.
- 2.2 In "An overview of local government in Scotland 2016," Audit Scotland reiterates that financial sustainability continues to be at risk as councils face the combined challenges of reduced funding, increasing cost pressures and rising demand for services from an ageing and growing population.
- "The scale of the challenge in 2016/17 and beyond has significantly increased because of the local government funding settlement."
 - "In 2016/17, Scottish Government revenue funding for councils is 11% lower (in real terms) than in 2010/11."
 - "In a climate of reducing resources the importance of scrutiny has never been greater."
 - "Councils with good medium and longer-term financial plans and strategies are better equipped to manage these risks effectively."
- 2.3 **Looking back** over a number of years it is now possible to see how the proactive approach taken by the council, the rigor applied to financial planning, the benefits and savings delivered through the Better Council Change Programme and the dedication of staff to meet the demands of the pace of change has served the council well in managing highly significant organisational risk and opportunities. The council is well placed going forward to continue to provide excellent services for local people, make significant investment in the community and protect vulnerable residents.
- 2.4 **Looking forward** the Council will progress the City Deal project to enhance excellent connectivity, attract inward investors and visitors, and create new jobs. 2016 will also focus on Paisley's bid to be UK City of Culture 2021. Over the next three years the council will invest £149m in capital projects, will reduce financial pressure on local people, improve outdoor spaces and help deliver major regeneration projects.
- 2.5 In response to all of the above the risk register is regularly and robustly reviewed and revised as necessary to ensure that it suitably reflects the current business environment, capturing the key challenges for the council whether aligned to the corporate priorities or inherent in the current day to day business environment of the council, or indeed other matters of importance that may be imminent or as yet on the horizon.
- 2.6 As in previous years, a number of methods have been employed and information sources reviewed (some of which have already been referred to in the preceding paragraphs), to stimulate a thorough approach to identifying the corporate risks. These are outlined in Table 2.7.1 overleaf.

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Table 2.6.1: Methodology for identifying corporate risks

✔ Consultation	(1) The Corporate Risk Management Group met to consider generic themes that apply across the majority of the council's services and that may impact on the council's key objectives (2) Appraisal of service priorities to identify key challenges for delivery that may result in significant impact to central resources
✔ Benchmarking	(3) Discussion with other service CRMG representatives (4) Regular liaison with the Council's Risk Manager
✔ Review of key reports specific to the council	(5) Audit Scotland: Renfrewshire Council Assurance and Improvement Plan 2014–17 (6) Audit Scotland: Renfrewshire Council, Annual report on the 2014/15 Audit (7) A Better Future, A Better Council – Progress report to Council, Dec 2015 (8) Local Government Finance Settlement 2016/17: Report to Leadership Board, Feb 2016 (9) Revenue Budget and Council Tax 2016/17 Report to Council 3 March 2016
✔ Review of key external reports	(10) PWC: The (local) state we're in 2016 (annual survey on local government's financial challenges) (11) Audit Scotland: An overview of local government in Scotland 2016 (March 2016)
✔ Consideration of legislative changes	No material legislative changes at this time (that the council is not already addressing)

2.7 While many of the risks that feature in the revised corporate risk register have been rolled forward from 2015/16, the focus and scoring of some has been revised to ensure they accurately take account of any changes in context. This section highlights various changes that have taken place.

2.7.1 New risks coming onto the service risk register

Opportunity Management: Key Regeneration Outcomes:

This risk pulls together the various regeneration activities being progressed, including the City Deal Programme which was previously a separate risk as noted in 2.8.3 below, improvements to our Town Centres, our targeted approach to the regeneration of specific communities, the building of new homes and the encouragement of additional development and investment into Renfrewshire. All high profile regeneration programmes/ projects require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.

Opportunity Management: Key Cultural & Heritage Outcomes:

This risk deals with the implementation of the key aspects of the Paisley Town Centre Heritage Asset Strategy as well as the progress with the Paisley bid for UK City of Culture in 2021. All high profile cultural and heritage programmes/ projects require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.

2.7.2 Risks with increasing or decreasing scores/ evaluation:

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- The score relating to Pressures on Short Stay Income through Welfare Reform changes (homelessness) has been reduced to 12 from 16 for 2016/17 to reflect the reduced likelihood of impacts this year as a result of the temporary 'freeze' on some elements of Universal Credit in respect of supported and temporary accommodation. This is likely to increase again next year if the legislation remains unchanged when the freeze is lifted.

2.7.3 Risks moving off the service risk register (or merging with others)

- The City Deal Programme and Regeneration Initiatives are now being captured within the new "Opportunity Management - Key Regeneration Outcomes" risk as noted above.
- Corporate Events Management has been removed from the Development and Housing Services risk register as this function has been transferred to the Chief Executives department.
- Procurement Compliance and Procurement Timescales have been de-escalated from the service risk register in recognition of the business as usual approach to managing these risks.

2.7.4 Risks with updates to definition or change in focus:

- Unemployment and Economy has been redefined to Unemployment only, with the Economy element of this risk being rolled into the Key Regeneration Outcomes risk noted above. The score has also been reduced from 15 to 9 to reflect this change in focus as well as the significant progress made in tackling unemployment in Renfrewshire over the last few years.

2.8 The service risk register continues to bring to sharp focus the significant risks facing the council and this should be balanced with recognition of the opportunities that the council continues to pursue along with the benefits that also continue to be delivered. As with previous years, the risk register continues to be aligned with the themes of the council's business plan:

 Better Future - Place	 Driving physical and economic regeneration	 Protecting the public
	 Building on our culture and heritage	 Creating a sustainable Renfrewshire
 Better Future - People	 Reducing the level and impact of poverty	 Raising attainment and closing the attainment gap
	 Supporting and sustaining people into employment	 Improving care, health and wellbeing
 Better Council	 Supporting our employees	 Continuing to be a well run council

2.9 Many of the risks continue to be inter-related and inter-dependent. Given the interdependencies between the service's opportunities, risks and benefits, the oversight that the Senior Management Team and the Corporate Risk Management Group applies on an ongoing basis in terms of close monitoring and review of the service risks and progress of associated action, is essential for understanding the complexity of the current risk environment of the council, particularly during a continued period of challenge and considerable organisational change.

2.10 On the basis of the review of the business context for the council, the Senior Management Team, has therefore agreed the key risks to be recorded within the service risk register going forward from April 2016.

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3. The Service risk profile and Top Risks going forward from April 2016

3.1 The detailed service risk register from April 2016 is provided in the attached appendix. The risk register is set out with risks aligned to the themes of the new council's business plan.

3.2 By way of summarising the information contained within the detailed service risk register, the remainder of this section provides:

- Table 3.2.1: the service risk profile in terms of low, moderate, high and very high risks
- Table 3.2.2: all service risk areas ranked in descending order of significance;
- Table 3.2.3: the service's TOP 5 risks with a brief narrative overview.
- Table 3.2.4: an overview of how risks relate to the themes of the council's business plan.

Table 3.2.1: Service Risk Profile

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	4	8	1	13

*Refer to Table 3.2.3 for details relating to the very high risk

Table 3.2.2: Service risk areas in order of significance

Risk areas	Likelihood	Impact	Score	Evaluation
1) Financial Sustainability	04	05	20	Very High
2) Opportunity Management - Key Regeneration Outcomes	03	05	15	High
3) Opportunity Management - Key Cultural & Heritage Outcomes	03	05	15	High
4) Pressures on Short Stay Income through Welfare Reform changes (homelessness)	03	04	12	High
5) Welfare Reform impact on the HRA	04	03	12	High
6) Energy Efficiency Standard for Social Housing (EESH)	04	03	12	High
7) Unemployment	03	04	12	High
8) Planning and Development Activity	03	04	12	High
9) Supporting and managing our people (health, safety and wellbeing)	03	04	12	High
10) Information management and ICT systems	02	05	10	Moderate
11) Climate change, sustainability and adaptability	02	04	8	Moderate
12) Incident Response and Management	02	04	8	Moderate
13) Business Continuity	02	04	8	Moderate

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Table 3.2.3: TOP 5 Service Risks

Title	Risk	Overview
Financial Sustainability	<p>Risk Statement If significant cost pressures and reducing available resources are not successfully planned for and managed effectively over the medium to longer term, there is a serious risk of unplanned/ reactive budget realignments that could jeopardise the financial stability of the council with significant impact on availability and quality of front-line services and capital resource.</p> <p>On 3 March 2016 the Council approved the 2016/17 Revenue Budget and Council Tax which confirmed a balanced budget position for 2016/17. The Council has continued to take a number of decisions as part of the ongoing Better Council Change Programme and Debt Smoothing Strategy which support the release of savings over the period 2016/17 – 2017/18 and there is an expectation of a budget gap of up to £6 million or beyond remaining over the two year period to 2017/18, subject to further decisions taken by members.</p>	
Key Regeneration Outcomes	<p>Risk Statement All high profile regeneration programmes/ projects require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.</p> <p>This risk pulls together the various regeneration activities being progressed, including the City Deal Programme, improvements to our Town Centres, our targeted approach to the regeneration of specific communities, the building of new homes and the encouragement of additional development and investment into Renfrewshire.</p>	
Key Cultural & Heritage Outcomes	<p>Risk Statement All high profile cultural and heritage programmes/ projects require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.</p> <p>This risk deals with the implementation of the key aspects of the Paisley Town Centre Heritage Asset Strategy as well as the progress with the Paisley bid for UK City of Culture in 2021.</p>	
Pressures on Short Stay Income through Welfare Reform changes (homelessness)	<p>Risk Statement Many of the proposed Welfare Reform changes will have a direct impact on the income recovered while using short stay accommodation to fulfil the Council's statutory homelessness obligations. With Universal Credit starting to rollout on 22 June 2015, any failure to mitigate the impact and review service provision methods could result in significant additional costs to the Council.</p> <p>Although still in the top 5, this risk score has been reduced from 16 to 12 for 2016/17 to reflect the reduced likelihood of impacts this year as a result of the temporary 'freeze' on some elements of Universal Credit in respect of supported and temporary accommodation. This is likely to increase again next year if the legislation remains unchanged when the freeze is lifted.</p>	
Welfare Reform impact on the HRA	<p>Risk Statement There are significant welfare-related legislative changes planned in the short and medium term which will create additional demand pressures on services, particularly in relation to rent arrears, homelessness and lettings.</p> <p>Although the impact of Under Occupancy is now mainly managed through DHPs, there is still uncertainty over how this will be applied/funded at a National level in future years. The payment of Benefits directly to tenants through Universal Credit started rolling out in Renfrewshire on 22 June 2015. Although initially restricted to single applicants in receipt of JSA, the rollout will continue over the next few years. This will increase the rent that must be collected from tenants from £15m to £43m per annum once fully implemented. Failure to collect this rent will jeopardise the financial viability of the Housing Revenue Account (HRA).</p>	

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Table 3.2.4: Relationship with the council's business plan

1: A Better Future - PLACE		
01 Driving Physical & Economic Regeneration	DHRR16.01.01 Opportunity Management - Key Regeneration Outcomes	<u>Context:</u> (i) City Deal and making sure local people & business benefit as much as possible. (ii) Working with RSL partners to deliver more affordable homes in Renfrewshire. (iii) Progressing Community Growth Areas across Renfrewshire (iv) Delivering actions that will improve our Town and Village centres. (v) Using new approaches to attract new development and investment.
	DHRR16.01.02 Unemployment	<u>Context:</u> (1) Immediate considerations such as tackling worklessness and youth unemployment (2) Supporting local Businesses and start-ups. (3) Employability initiatives. (4) Maximising external funding. (5) Other public focused issues that may emerge from the Council Plan / SOA indicators.
02 Building on our Culture & Heritage	DHRR16.02.03 Opportunity Management - Key Cultural & Heritage Outcomes	<u>Context:</u> (i) Developing the bid for Paisley to be the 2021 UK City of Culture (ii) Implementing the Renfrewshire Tourism Framework and Action Plan. (iii) Delivering the Paisley Town Centre Heritage Asset Strategy (iv) The Paisley Museum and Museum Store developments
	DHRR16.02.04 Planning and Development Activity	<u>Context:</u> (1) Maximising the benefits for the area through targeted activity. (2) Promoting investment in additional housing (3) Growing population levels. (4) Securing development that benefits the natural environment and biodiversity of Renfrewshire.
04 Creating a Sustainable Renfrewshire	CRR16.04.07 Climate change, sustainability and adaptability	<u>Context:</u> (i) Protecting and enhancing the Green Belt and strengthening landscape character in Renfrewshire (ii) Growing Renfrewshire's population (iii) Protecting and sustaining human health and enhancing human well being. (iv) Promoting activity to increase trips undertaken by walking, cycling and public transport (v) Protecting and enhancing the water environment and flood risk management (vi) Improving air quality and reducing the level of airborne pollutants (vii) Reducing green-house gas emissions (viii) Reducing Renfrewshire's carbon foot print (ix) Increasing energy efficiency
	DHRR16.04.05 Energy Efficiency Standard for Social Housing (EESH)	<u>Context:</u> EESH was effective from April 2015 with the first milestone set for 31 December 2020. There will be a mid term progress review in 2017. Estimated delivery cost for the Council over and above normal lifecycle replacements will be circa £21m to December 2020 before deduction of any external grant support and owner contributions.

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2: A Better Future - PEOPLE

05 Reducing the level and impact of Poverty	DHRR16.05.06 Pressures on Short Stay Income through Welfare Reform changes (homelessness)	<p><u>Context:</u></p> <p>(1) Loss of income as a result of household LHA rates being used for Benefit entitlement as opposed to using property size rates.</p> <p>(2) Potential for loss or reduction of the weekly admin element of the short stay rent.</p> <p>(3) Continuing uncertainty over what criteria will be used to determine who will be paid benefit direct.</p> <p>(4) Impact of proposal to cease payment of Housing Benefit to applicants under 21 years old.</p> <p>(5) The continuing rollout of Universal Credit from 22 June 2015 to single applicants who qualify for JSA impacts on:-</p> <p>a) The weekly admin element that can be recovered will reduce from £60 to £45 and uncertainty exists over how the £45 can be claimed.</p> <p>b) Universal Credit cases are charged using current LHA rates while others still use the Jan 2011 rates per DWP rules.</p> <p>c) The possibility of paying rent directly to tenants introduces debt recovery issues as some homeless clients have more chaotic lifestyles or additional support needs.</p> <p>d) Uncertainty over the impact that monthly assessment periods will have on a very mobile client group.</p> <p>This potential 'loss' of income as a result of Universal Credit needs to be planned for.</p>
	DHRR16.05.07 Welfare Reform impact on the HRA	<p><u>Context:</u></p> <p>1) Under Occupancy is now predominately managed through DHPs.</p> <p>2) Universal Credit started to roll out in Renfrewshire on 22 June 2015 where housing benefit previously paid directly to the Council is now be paid to tenants who qualify for Universal Credit, initially single applicants who qualify for JSA.</p> <p>3) Changes to the housing system and operational processes will be required to identify and support those in receipt of Universal Credit.</p> <p>4) Uncertainty over Alternative Payment Arrangements (APAs) and the sharing of information regarding tenants now being paid through Universal Credit.</p> <p>5) Impact of proposal to cease payment of Housing Benefit to applicants under 21 years old.</p> <p>6) Resource impact of administering Universal Credit payments, managed payments and third party deductions from the DWP.</p>

3: A Better Council

10 Continuing to be a Well Run Council	HPRR16.10.08 Financial Sustainability	<p><u>Context:</u></p> <p>Due to effective financial planning, the council is well placed to address the financial challenges forecast over the shorter term, however there are significant and rising pressures forecast from 2016/17 onwards. Consequently the risk remains very high and continues to be subject to significant and regular scrutiny.</p> <p>Ongoing challenges include:</p> <p>(1) Demand/ changing demographics</p> <p>(2) Reduction in resources available to deliver services</p> <p>(3) New 'Self Directed Support' agenda requires the council to make funds available to clients with no guarantee that they will use council services</p> <p>(4) Financial/ efficiency savings, inflation rates and reduced income from asset sales</p> <p>(5) Workforce/ Rising employee and pension costs, meeting increased demand with reduced workforce</p> <p>(6) Investment/ for roads, schools, housing stock to support existing services and economic growth.</p> <p>(7) Maintaining assets/ backlog maintenance and repair for the estate</p> <p>(8) Environmental/ uncertain energy and fuel costs, emission reduction targets</p> <p>(9) Potential financial impact of the extension of Universal Credit</p> <p>(10) Potential financial impact of the fiscal frame work underpinning the Scotland Bill</p> <p>(11) Potential financial impact arising from the Integration of Health and Social Care Services in Renfrewshire</p>
	DHRR16.10.09 Incident Response and Management	<p><u>Context:</u></p> <p>(1) In response to, for example, severe weather, flooding, public health outbreak, etc.</p>
	DHRR16.10.10 Business Continuity	<p><u>Context:</u></p> <p>(1) Ensuring service continuity during periods where there is non availability of premises, employees or systems impacting on service functions.</p>

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	DHRR16.10.11 Supporting and managing our people (health, safety and wellbeing)	<u>Context:</u> (1) Supporting employee attendance, safety, and well being (2) Ensuring compliance with the Council's equality framework (3) Ensuring arrangements in place to deal with the scope, breadth, complexity and pace of change. (4) Ensuring effective communication / consultation with stakeholders. (5) Maintaining excellent employee and trade union relations. (6) Implementing new corporate working models. (7) Modernising terms and conditions and changing job roles and service delivery models. (8) Supporting management and employee development through the consistent application of the Council's learning and development framework Maintaining service standards with reduced employee resources.
	DHRR16.10.12 Information management and ICT systems	<u>Context:</u> (1) Applying corporate protocols to ensure integrity and accuracy of data. (2) Working effectively with ICT colleagues to develop ICT capacity / available technology to support service development and the change agenda.

3.3 The risk treatment activity planned for 2016 and beyond is shown within the service risk register in the appendix that follows. This activity (proportionate to the level of each risk) will further contribute to either the prevention of the risk occurring, where possible, or mitigating their potential effects. Where there are no actions linked to a risk this indicates that the risk is being managed as 'business as usual' taking account of the control measures currently in place.

3.4 The service risk register continues to underpin the key priorities of the council's Annual Strategic Audit Plan. Actions relating to planned audits for 2016/17 have been aligned to the relevant risks in the appendix. Any improvement actions arising from 2015/16 internal audit work will continue to be integrated into the risk register as audit reports are finalised.

3.5 A midyear progress report on the service risk register will be reported in due course to the Housing and Community Safety Policy Board. Information on specific significant risks will be reported to the Senior Management Team as required on an exceptional basis.

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Development and Housing Services Risk Register

Appendix A



Report Type: Risks Report
Report Author: Finance Manager

Priority 1: A Better Future - PLACE Objective 01 Driving Physical & Economic Regeneration

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
<p>DHRR16.01.01 Opportunity Management - Key Regeneration Outcomes</p> <p>Context:</p> <ul style="list-style-type: none"> *City Deal and making sure local people & business benefit as much as possible from these. *Working with Housing Association partners to build more affordable homes in Renfrewshire. *Progressing Community Growth Areas across Renfrewshire *Delivering actions that will improve our Town and Village centres. *Using new approaches to attract new development and investment. <p>TOP 5 RISK</p>	<p>All high profile regeneration programmes/projects require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.</p>	<p>Director of Development & Housing Services</p>	<p>City Deal</p> <ul style="list-style-type: none"> *All projects will be managed using the Council's established Project Management Framework and the City Deal Assurance Framework. *Internal governance is now in place via the City Deal Programme Board (chaired by the Chief Executive) and the Leadership Board. *Dedicated City Deal Project Team with Programme Director and relevant experience of delivering major infrastructure projects in place and making good progress. *Masterplanning exercise underway and initial discussions held with Airport on implementation of the Investment Area. <p>Town Centre Regeneration</p> <ul style="list-style-type: none"> *Paisley Heritage Asset Strategy approved in January 2014 *Paisley BID (Business Improvement District) Steering Group established, the Council is represented on the BID. *Simplified Planning Zone established in Renfrew Town Centre in Aug 2015. *Bid submitted to HLF (Dec 2015) for funding for redevelopment of Paisley Museum. *Johnstone town hall project being implemented. Significant renewal project of old town hall/swimming pool/library complex. Brings together Council services into a new civic centre piece for the town. *Well received charette process held in Erskine in Feb 2016 including proposals for town centre. *Retail incubator established in Paisley Town Centre. *Bid submitted Feb 2016 to HLF / HES for further townscape heritage priority projects in Paisley Town Centre. *Preparation and consultation on Town Centre Strategies for 	03	05	15 High

			<p>Linwood, Johnstone, Erskine, Braehead and Renfrew in 2015.</p> <p><u>Community Regeneration</u> The Council has identified a number of priority regeneration projects in local residential communities through the SHIP process. These include:</p> <ul style="list-style-type: none"> *Paisley West End – Council is partnering with a RSL to bring forward a masterplan for this residential community during 2016. *Johnstone Castle – replacement of significant number of unpopular tenemental properties and provision of new build social rented properties for local residents. *Bishopton – around 2,500 homes being provided in a new community on brownfield site which will also contain education and community facilities. Approx. 25% of the new housing will be in the affordable category. <p><u>House building and encouragement of investment</u></p> <ul style="list-style-type: none"> *Setting ambitious targets for new build housing in Renfrewshire. *Promotion/Marketing of Renfrewshire as a place to invest eg. attending MIPIM conference with Invest in Glasgow team, March 2016. *Review of Council's land and property assets to facilitate new development and commencing discussions with CPP partners on joint approaches to property solutions. 			
Action Codes	Linked Actions					
DHRR16.01.01a	Evaluate the potential for an Airport Investment Area Steering Group with key partners.		Head of Regeneration; Project Director - City Deal	30 Sept 2016		
DHRR16.01.01b	Produce a Town Centre Vision for Paisley in 2016.		Head of Regeneration	31-Mar-2017		
DHRR16.01.01c	Apply for Purple Flag status in 2016 for Paisley Town Centre focusing on quality, accessibility and safety for users.		Strategic Change Manager	31-Mar-2017		
DHRR16.01.01d	Progress the Proposed new Paisley Lending Library in town centre.		Head of Regeneration	31-Dec-2017		
DHRR16.01.01e	Makers space (MAKLAB) proposed for Paisley town centre in 2016.		Economic Devt Manager	31-Mar-2017		
DHRR16.01.01f	Open the UK City of Culture Bid Base in Paisley High Street in summer 2016.		Project Director - City of Culture	30 Sept 2016		
DHRR16.01.01g	Submit Outline Business Cases for the 3 City deal projects for approval.		Project Director - City Deal	31-Dec-2016		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR16.01.02 Unemployment Context: (1) Immediate considerations such as tackling worklessness and youth unemployment (2) Supporting local Businesses and start-ups. (3) Employability initiatives. (4) Maximising external funding. (5) Other public focused issues that may emerge from the Council Plan / SOA indicators.	The Economic climate is having a significant impact on businesses and employment opportunities both locally and nationally. If the council and its key partners do not effectively manage these challenges there is a risk of increased poverty, homelessness, youth worklessness, unemployment and businesses failing.	Head of Regeneration	Invest in Renfrewshire *The business and employability teams are experienced in delivering similar programmes. *Administrative processes and awards of grants have been audited and checked by legal services. *Partnership agreements are signed with all companies involved with the programme. *A sound procurement process is in place for the programme. <u>Employability Initiatives</u> The Renfrewshire Employability Programme (REP) concludes in 2015 and is being replaced by various employability initiatives which will see a greater focus on particular groups who are furthest from the labour market and the services offered will be more intensive and with greater barrier removal support over the next three years. This will be delivered through a mix of in-house delivery, partnership funding and contracted activity and in order to recognise the changing demographics of the unemployed population the range of youth services will now be available to people up to the age of 29 while an enhanced programme of Adult Employability Services will also be developed partly in relation to the emerging programmes which are being delivered through the City Deal. *The Renfrewshire Employability Hub has been developed to provide a more integrated level of support to young unemployed people.	03	04	12 Moderate
Action Codes	Linked Actions	Assigned To				Status
DHRR16.01.02a	Deliver the Renfrewshire Employability Partnership Programme as the Council's response to the shared services agenda.	Economic Development Manager				31-Mar-2017
DHRR16.01.02b	Through implementation of the Invest in Renfrewshire programme - develop an enhanced role in tackling the economic and social challenges impacting on individuals and businesses.	Economic Development Manager				31-Mar-2017
DHRR16.01.02c	Deliver Business Gateway services in Renfrewshire in partnership with Inverclyde and East Renfrewshire Councils	Economic Development Manager				31-Mar-2017

Priority 1: A Better Future - PLACE
Objective 02 Building on our Culture & Heritage

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR16.02.03 Opportunity Management - Key Cultural & Heritage Outcomes	All high profile cultural and heritage programmes/ projects require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.	Director of Development & Housing Services	<p>City of Culture</p> <ul style="list-style-type: none"> *Partnership Board and Executive Group set up to co-ordinate the Bid process in 2015. *Engagement with local community and stakeholders to escalate during 2016. *UK City of Culture Bid Base to open in Paisley High Street in summer 2016. *Culture Events and Heritage Fund launched Feb 2016 for community groups to apply for financial support for building cultural capacity. *Multiple cross stakeholder groups established and progressing spring 2016 * Programme producers have been appointed to actively pursue funding in development phase. <p>PTCHAS</p> <ul style="list-style-type: none"> *Paisley Heritage Asset Strategy approved in January 2014 *Paisley BID (Business Improvement District) Steering Group established, the Council is represented on the BID. *Retail incubator established in Paisley Town Centre. <p>Museum</p> <ul style="list-style-type: none"> * Bid submitted to HLF (Dec 2015) for funding for redevelopment of Paisley Museum. Decision expected summer 2016. 	03	05	15 High
TOP 5 RISK						
Action Codes	Linked Actions		Assigned To			
CE.SIP	Provide branding and promotions to support the 2021 Bid		Head of Marketing			
CE.SIP	Implement the Renfrewshire Tourism Framework		Head of Marketing			
CE.SIP	Launch our marketing campaign to promote Renfrewshire as a world class destination		Head of Marketing			
DHRR16.02.03a	Develop fund raising strategy to support museum development and City of Culture programme.		Head of Finance			

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR16.02.04 Planning and Development Activity Context: (1) Maximising the benefits for the area through targeted planning and development activity. (2) Promoting investment in additional housing (3) Sustaining population levels. (4) Sustainable development to ensure the natural environment and biodiversity of Renfrewshire is protected.		Effective, targeted planning and development activity is required to :- a) Maximise benefits for the area and its residents. b) Promote investment in additional housing which contributes towards sustaining population levels. c) Ensure the natural environment and biodiversity of Renfrewshire is protected through sustainable development.	Head of Planning	<ul style="list-style-type: none"> * Detailed permissions in place for the development of 2,000 homes at Renfrew Riverside. * All relevant consents have been approved for Ordnance Factory site at Bishopston. * Masterplan produced for the Johnstone South West Community Growth Area. * Ongoing modernisation of the Planning System designed to support sustainable investment. * Creation of Glasgow Airport Improvement Zone. * The Local Housing Strategy sets out how the Council and its partners intend to meet housing need and demand across all tenures in Renfrewshire. * The Strategic Housing Investment Plan (SHIP) identifies the housing requirements across Renfrewshire. * Local Development Plan updated to identify locations and sites for housing development. 	03	04	12 Moderate
Action Codes	Linked Actions						Status
DHRR16.02.04a	Implement the Objectives of the Local Development Plan						31-Mar-2017
DHRR16.02.04b	Support Development at key business and employment locations identified in the Strategic Development Plan						31-Mar-2017

Priority 1: A Better Future - PLACE
Objective 04 Creating a Sustainable Renfrewshire

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
<p>CRR16.04.07 Climate change, sustainability and adaptability</p> <p>Context: *Protecting and enhancing the Green Belt and strengthening landscape character in Renfrewshire *Stabilising Renfrewshire's population *Protecting and sustaining human health and enhancing human well being. *Ensuring better integration between transport and land use planning and increasing the proportion of trips undertaken by walking, cycling and public transport *Protecting and enhancing the water environment and promoting sustainable flood risk management *Improving air quality and reducing the level of airborne pollutants *Reducing green-house gas emissions *Reducing Renfrewshire's carbon foot print *Increasing energy efficiency</p>	<p>If the council does not make the most of opportunities associated with climate change, sustainability and adaptability, there is a risk of missed opportunities for maximising savings and the potential for financial penalties.</p>	<p>Director of Development & Housing Services</p>	<p>Top 5 controls: *The Council has used the Climate Change Assessment Tool – helps public sector organisations in Scotland self-evaluate their performance under the public sector duties of the Climate Change (Scotland) Act 2009 *The Carbon Management Plan has specific objectives to reduce emissions and these are included in other key documents such as the Council Plan *Implementation of the Corporate Asset Management Strategy ensures that property assets are managed effectively and efficiently through the provision of relevant management and performance information *The Energy Management Team: -ensure energy management initiatives are aligned to the capital investment programme and corporate asset strategy to optimise use of property estate and reduce overall running costs and energy consumption levels -promote reductions in energy usage and advise employees and residents about energy efficiency *Through the Procurement Unit, sustainability and community benefits are considered in the development of all contract strategies</p>	<p>02</p>	<p>04</p>	<p>8 Moderate</p>
Action Codes	Linked Actions	Assigned To				
CRR16.04.07	Undertake a review of all climate change declarations submitted by other authorities during 2015 to identify good practice and inform further potential council activity	tbc				
CRR16.04.07a	Internal Audit to review carbon management	Chief Auditor				
FR.SIP	Implement the key actions in the Carbon Management Plan to increase energy efficiency, reduce energy consumption and to reduce carbon emissions across the property estate	Head of Property Services				
		Due Date			Status	
		30-Jun-2017				
		30-Jun-2017				
		31-Mar-2017				

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR16.04.05 Energy Efficiency Standard for Social Housing (EESH) <u>Context:</u> EESH was effective from April 2015 with the first milestone set for 31 December 2020. There will be a mid term progress review in 2017. Estimated delivery cost for the Council over and above normal lifecycle replacements will be circa £21m to December 2020 before deduction of any external grant support and owner contributions.		Delivery of all of the EESH measures will require access to external funding sources such as Energy Company Obligation (ECO). If the council does not secure sufficient funding to deliver all EESH measures, some tenants may potentially remain or fall into fuel poverty with the potential for adverse publicity and reputational damage.	Director of Housing and Development Services	Energy Efficiency Standard for Social Housing (EESH) * Opportunities are being investigated to secure external grant funding for energy improvements to meet new energy standards. * The Scottish Government has confirmed that a review will take place in 2017 to establish if landlords have been successful in securing funding for the investment. Temporary exemptions may be possible where it can be demonstrated that external funding has been sought but cannot be secured. As a result, where EESH measures cannot be applied in the short to medium term, some tenants may potentially remain or fall into fuel poverty.	04	03	12 Moderate
Action Codes	Linked Actions						
			Assigned To	Due Date	Status		

Priority 2: A Better Future - PEOPLE

Objective 05 Reducing the level and impact of Poverty

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR16.05.06 Pressures on Short Stay Income through Welfare Reform changes (homelessness) Context: (1) Loss of income as a result of household LHA rates being used for Benefit entitlement as opposed to using property size rates. (2) Potential for loss or reduction of the weekly admin element of the short stay rent. (3) Continuing uncertainty over what criteria will be used to determine who will be paid benefit direct. (4) Impact of proposal to cease payment of Housing Benefit to applicants under 21 years old. (5) The continuing rollout of Universal Credit from 22 June 2015 to single applicants who qualify for JSA impacts on:- a) The weekly admin element that can be recovered will reduce from £60 to £45 and uncertainty exists over how the £45 can be claimed. b) Universal Credit cases are charged using current LHA rates while others still use the Jan 2011 rates per DWP rules. c) The possibility of paying rent directly to tenants introduces debt recovery issues as some homeless clients have more chaotic lifestyles or additional support needs. d) Uncertainty over the impact that monthly assessment periods will have on a very mobile client group. This potential 'loss' of income as a result of Universal Credit needs to be planned for. TOP 5 RISK	Many of the proposed Welfare Reform changes will have a direct impact on the income recovered while using short stay accommodation to fulfil the Council's statutory homelessness obligations. With Universal Credit starting to rollout on 22 June 2015, any failure to mitigate the impact and review service provision methods could result in significant additional costs to the Council.	Director of Housing and Development Services	*Financial modelling has been completed to quantify the impact of each element of the Welfare Reform proposals. *The Council is lobbying through various channels to get the vulnerable nature of homeless clients recognised with an exclusion from the Direct Payment proposals. *Reviewed the current stock of temporary accommodation with a view to reconfiguring the supply to mitigate the impact of under occupation. The likelihood score has been reduced to 3 for 2016/17 to reflect the temporary 'freeze' on some elements of Universal Credit in respect of supported and temporary accommodation. This is likely to increase again next year if the legislation remains unchanged when the freeze is lifted.	03	04	12 Moderate
Action Codes	Linked Actions	Assigned To	Due Date	Status		
DHRR16.05.06a	Update financial modelling to quantify the potential impact on the provision of short stay accommodation of the proposal to cease the payment of Housing Benefit to those under 21 years old.	Finance Business Partner	31-Sept-2016			

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR16.05.07 Welfare Reform impact on the HRA Context: 1) Under Occupancy is now predominately managed through DHPs. 2) Universal Credit started to roll out in Renfrewshire on 22 June 2015 where housing benefit previously paid directly to the Council is now be paid to tenants who qualify for Universal Credit, initially single applicants who qualify for JSA. 3) Changes to the housing system and operational processes will be required to identify and support those in receipt of Universal Credit. 4) Uncertainly over Alternative Payment Arrangements (APAs) and the sharing of information regarding tenants now being paid through Universal Credit. 5) Impact of proposal to cease payment of Housing Benefit to applicants under 21 years old. 6) Resource impact of administering Universal Credit payments, managed payments and third party deductions from the DWP. TOP 5 RISK	There are significant welfare-related legislative changes planned in the short and medium term which will create additional demand pressures on services, particularly in relation to rent arrears, homelessness and lettings. Although the impact of Under Occupancy is now mainly managed through DHPs, there is still uncertainty over how this will be applied/funded at a National level in future years. The payment of Benefits directly to tenants through Universal Credit started rolling out in Renfrewshire on 22 June 2015. Although initially restricted to single applicants in receipt of JSA, the rollout will continue over the next few years. This will increase the rent that must be collected from tenants from £15m to £43m per annum once fully implemented. Failure to collect this rent will jeopardise the financial viability of the Housing Revenue Account (HRA).	Head of Planning & Housing Services	*The potential impact of the roll out of Universal Credit has been modelled and is updated regularly to reflect any new information from DWP or other parties. *Additional staffing resource is being recruited to ensure that DWP UC payments can be processed. *The Council continues to be represented in discussions at a national level on a range of Welfare reform issues. *The Council has invested significantly in advice services and front line provision to support citizens affected by welfare reform changes. *Community Planning Partnership ensures cohesive working among partners. *Additional corporate investment in place for 2015/16 to continue to provide enhanced debt advisory services. *Well developed income management arrangements in place to monitor rental income levels and arrears levels. *DaHS have integrated additional resources into neighbourhood services to ensure that any impact is minimised and income can be maximised. *Detailed 30 year Business Plan can be updated to model the impact of pressures or changes on the longer term viability of the HRA. *Ongoing training for staff on changes to Housing Benefit regulations. *Funds have been allocated to support the delivery of financial assistance and employment opportunities for affected tenants. *The administration arrangements and spend in relation to Scottish Welfare Fund and Discretionary Housing Payments are monitored and reviewed on an ongoing basis.	04	03	12 Moderate
Action Codes	Linked Actions	Assigned To			Due Date	Status
DHRR16.05.07a	Update financial modelling to quantify the potential impact on the HRA of the proposal to cease the payment of Housing Benefit to those under 21 years old.	Finance Business Partner			31-Sept-2016	
DHRR15.02.10b	Review policies in relation to allocations and support available to reflect the potential impact of ceasing the payment of Housing Benefit to those under 21.	Housing Services Manager			31-Mar-2017	
DHRR16.05.07b	Attend the Council's Welfare Reform Steering Group to ensure that the wider impacts of Welfare Reform are identified and planned for.	Finance Business Partner			31-Mar-2017	

Priority 3: A Better Council
Objective 10 Continuing to be a Well Run Council

Context		Risk Statement	Owned by	Current Risk Control Measures	L'hood	Impact	Evaluation
DHRR16.10.08 Financial Sustainability		If significant cost pressures and reducing available resources are not successfully planned for and managed effectively over the medium to longer term, there is a serious risk of unplanned/ reactive budget realignments that could jeopardise the financial stability of the council with significant impact on availability and quality of front-line services and capital resource	Director of Devt and Housing Services	Top 5 controls: <ul style="list-style-type: none">• Council approved Medium Term Financial Strategy including key planning principles with regards use of reserves, addressing costs growth, investment in early intervention and preventative spend areas and the use of capital receipts.• Well developed budget planning, budget setting and budget monitoring arrangements at both officer and member level; clear decision making and escalation process in place with regards budget management and reporting to Officer groups and Boards• As part of medium term financial planning arrangements there is continuous development of saving workstreams to ensure that the Council has an appropriate range of projects underway which will provide a sufficient scope and depth of saving options for elected members as part of delivering a balanced budget year on year. There is also close monitoring of agreed savings to ensure risk of double counting is minimised• Regular updates provided to CMT and Council with regards the national fiscal position, likely developments and the impact on the council through close liaison with national groups and the Scottish Government Other controls: <ul style="list-style-type: none">• Well developed debt strategy which ensures over the medium term the Council's current and future debt levels are prudent and sustainable in the context of reducing resources and that opportunities for recurring savings are taken advantage of as part of examining the profile of debt payments over the long term• Well developed forecasts for energy consumption and related costs based on national contract prices; role as a partner in the development of a waste management shared service allows the council to influence key decisions and be clear on related costs.• Improving asset management planning has clarified priority areas for investment in the council's estate, supported by dedicated sources in both the capital plan and revenue budget.• Early intervention for tenants going into arrears is provided as well as advice and support to maximise Housing Benefit entitlement to increase tenancy sustainment. Financial Performance and trends are reviewed on a 4 weekly basis.	04	05	20 V.High
<u>Context:</u> Due to effective financial planning, the council is well placed to address the financial challenges forecast over the shorter term, however there are significant and rising pressures forecast from 2016/17 onwards. Consequently the risk remains very high and continues to be subject to significant and regular scrutiny. Ongoing challenges include: (1) Demand/ changing demographics (2) Reduction in resources available to deliver services (3) New 'Self Directed Support' agenda requires the council to make funds available to clients with no guarantee that they will use council services (4) Financial/ efficiency savings, inflation rates and reduced income from asset sales (5) Workforce/ Rising employee and pension costs, meeting increased demand with reduced workforce (6) Investment/ for roads, schools, housing stock to support existing services and economic growth. (7) Maintaining assets/ backlog maintenance and repair for the estate (8) Environmental/ uncertain energy and fuel costs, emission reduction targets (9) Potential financial impact of the extension of Universal Credit (10) Potential financial impact of the fiscal framework underpinning the Scotland Bill (11) Potential financial impact arising from the Integration of Health and Social Care Services TOP 5 RISK							
Action Codes	Linked Actions				Assigned	Due	Status

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR16.10.09 Incident Response and Management Context: (1) In response to, for example, severe weather, flooding, public health outbreak, etc.	Any ineffective preparation and planning for potential disruptive events such as those reflected within the Community Risk Register (CRR), that directly relate to this service's obligations (*) may result in the service's inability to effectively respond and manage the event in a way that minimises harm to the community, our employees and the reputation of the service. (*) Not all statutory, nevertheless include: -Co-ordination and evaluation of available houses and other assets for temporary accommodation; -Use of Emergency Repairs Helpline; -Provision of skilled tradesmen for emergency repairs, cordoning off property, etc.	Director of Housing and Development Services	* Ongoing review of civil contingency arrangements. * Quarterly departmental Crisis and Resilience Management Group meetings. * Development and Housing Services representation on the Corporate Crisis and Resilience Management Group. * Participation in corporate training events such as pandemic flu exercise. * Building Standards annual review of dangerous buildings and emergency callout procedures. * Civil Contingency Plans.	02	04	8 Moderate
Action Codes	Linked Actions					Status

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR16.10.10 Business Continuity Context: (1) Ensuring service continuity during periods where there is non availability of premises, employees or systems impacting on service functions.	Non availability of (1) premises, either through fire or flood etc; (2) key staff or significant numbers of front-line staff; and/ or (3) systems (telephony, power failure etc) may result in adverse impact on service provision	Finance and Resources Manager	<ul style="list-style-type: none"> * Business Continuity Plans in place. * Restoration documents reviewed by restoration leads. * Quarterly reporting of crisis and resilience activity to the SMT * Business Continuity Exercise and Training Manual implemented and Civil Contingencies Service ensures that exercise schedules are adhered to. * ICT Disaster Recovery Plan in place. Technical controls are in place to prevent and limit the effects of IT systems unavailability. 	02	04	8 Moderate
Action Codes	Linked Actions					
DHRR16.10.10a	Ensure Business Continuity arrangements are robust and embedded within the service.					
				Assigned To Finance Business Partner	Due Date 31-Mar-2017	Status

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR16.10.11 Supporting and managing our people (health, safety and wellbeing) Context: (1) Supporting employee attendance, safety, and well being (2) Ensuring compliance with the Council's equality framework (3) Ensuring arrangements in place to deal with the scope, breadth, complexity and pace of change. (4) Ensuring effective communication / consultation with stakeholders. (5) Maintaining excellent employee and trade union relations. (6) Implementing new corporate working models. (7) Modernising terms and conditions and changing job roles and service delivery models. (8) Supporting management and employee development through the consistent application of the Council's learning and development framework Maintaining service standards with reduced employee resources.	Any gaps in communicating effectively with our employees, building on good employee and trades union relationships, ensuring equalities and supporting attendance, may impact adversely on some of our employees in terms of their quality of working life.	Director of Housing and Development Services	*Regular communications from Chief Executive and via Renfo re changes that may impact on employees. *DaHS specific issues are covered in the 'In The Loop' newsletter produced throughout the year. *Corporate communication strategy in place for Better Council Programme. *Health and safety issues are a standing item at both SMTs and at Team Talks. *A proactive health and safety management system is in place supported by internal and external Health & Safety Audit/ Inspection programmes (i.e. BSI: BS OHSAS 18000:2007). *Managing Absence Policy in place and absence stats monitored. *Specialised supporting attendance team in place to take forward improvements in attendance levels and implement the supporting attendance action plan. *Occupational health available for all staff. *New structures to best enable flexible working and align skills and resources to meet service demand have been adopted. *Regular trade union liaison meetings. *Methodologies and processes have been developed and adopted to manage change.	03	04	12 Moderate
Action Codes	Linked Actions			Assigned To	Due Date	Status
DHRR16.10.11a	Continue to implement and monitor the impact of policies and activities aimed at reducing staff absence levels.			Finance Business Partner	31-Mar-2017	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR16.10.12 Information management and ICT systems Context: (1) Applying corporate protocols to ensure integrity and accuracy of data. (2) Working effectively with ICT colleagues to develop ICT capacity / available technology to support service development and the change agenda.	If the service's information governance, management arrangements and ICT systems are not sufficiently robust there is a risk that the availability, confidentiality and integrity of the information may be compromised, the council's reputation is seriously affected, financial penalties are enforced upon the Council and that the service's ICT needs/ objectives are not met.	Director of Housing and Development Services	<p>*The department supports and complies with all the controls and policies applied across the Council and those operated by IT Services which protect the availability, confidentiality and integrity of data.</p> <p>*Weekly reconciliations are carried out on the financial systems and the Housing Management System.</p> <p>*Any projects involving changes or upgrades to current systems are planned with assistance from IT Services as required and detailed testing is carried out before any go live is actioned.</p> <p>*Regular system backups are co-ordinated by IT Services to minimise the impact of data loss through any system failure.</p> <p>*IT Development Plan and associated projects to modernise the way we work.</p> <p>*Specialist support and project management expertise is provided for all major projects by Finance and Corporate Services.</p> <p>*IT liaison meetings take place with major suppliers to mitigate our reliance on certain IT suppliers.</p> <p>*Online training package in place for Information Security.</p> <p>*Awareness campaigns have been delivered highlighted the importance of data security. The authorised signatory database has been reviewed and updated.</p>	02	05	10 Moderate
Action Codes	Linked Actions		Assigned To		Due Date	Status

Risk Matrix for Adverse Impact

Introduction

Risk should be analysed consistently across the council in terms of the significance of its impact and the likelihood of occurrence. The Risk Matrix is therefore the tool that is to be used for this purpose. The impact element of the same matrix may be used for the grading of adverse events, complaints or claims.

Impact

When considering the consequences of a potential risk, all scenarios must be considered. It may even be appropriate to consider the worst case scenario, however, those undertaking the risk analysis must be able to provide a robust rationale and have evidence to support their selection. For example, if 'death' could be the ultimate potential impact in relation to a specific problem, the risk assessors must have knowledge that this outcome has occurred in the past either internal or external to Renfrewshire Council. (A full list of descriptions to assist in analysing consequence is contained on the following two pages of this appendix);

Likelihood

Similarly when considering the likelihood of occurrence, the risk assessor's judgement must be based on the prevalence of the event/ circumstance and outcome, backed up by experience and data such as relevant incidents/ events, complaints and/ or claims.

Evaluation

As shown in the matrix below, Impact x Likelihood produces an evaluation of the significance of risk, described as 'Low', 'Moderate', 'High' or 'Very High'.

How a risk is evaluated will determine how the risk is then treated:

Likelihood	Consequent Impact				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
5 Almost Certain	5	10	15	20	25
4 Likely	4	8	12	16	20
3 Possible	3	6	9	12	15
2 Unlikely	2	4	6	8	10
1 Remote	1	2	3	4	5

Low (1-3),

Moderate (4-9),

High (10-16), or

Very High (17-25)

Consequence Impact

"Domains"	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
Objectives and Projects	<ul style="list-style-type: none"> ▪ Barely noticeable reduction in scope / quality / schedule 	<ul style="list-style-type: none"> ▪ Minor reduction in scope / quality / schedule 	<ul style="list-style-type: none"> ▪ Reduction in scope or quality, project objectives or schedule. 	<ul style="list-style-type: none"> ▪ Significant reduction in ability to meet project objectives or schedule. 	<ul style="list-style-type: none"> ▪ Inability to meet project objectives, reputation of the organisation seriously damaged and failure to appropriately manage finances.
Injury (physical and psychological) to clients/staff.	<ul style="list-style-type: none"> ▪ Adverse event leading to minor injury not requiring first aid. 	<ul style="list-style-type: none"> ▪ Minor injury or illness, first-aid treatment needed. No staff absence required. 	<ul style="list-style-type: none"> ▪ Significant injury requiring medical treatment and/or counselling. 	<ul style="list-style-type: none"> ▪ Major injuries or long term incapacity/ disability (loss of limb), requiring medical treatment and/or counselling. 	<ul style="list-style-type: none"> ▪ Incident leading to death or major permanent incapacity.
Client experience / outcome	<ul style="list-style-type: none"> ▪ Reduced quality of client experience / outcome not directly related to service delivery. 	<ul style="list-style-type: none"> ▪ Unsatisfactory client experience / outcome directly related to service provision – readily resolvable 	<ul style="list-style-type: none"> ▪ Unsatisfactory client experience / outcome, short term effects – expect recovery < 1Wk 	<ul style="list-style-type: none"> ▪ Unsatisfactory client experience / outcome, long term effects - expect recovery > 1Wk 	<ul style="list-style-type: none"> ▪ Unsatisfactory client experience / outcome, continued ongoing long term effects.
Complaints / claims	<ul style="list-style-type: none"> ▪ Locally resolved complaint 	<ul style="list-style-type: none"> ▪ Justified complaint peripheral to direct service provision 	<ul style="list-style-type: none"> ▪ Below excess claim. ▪ Justified complaint involving inappropriate service. 	<ul style="list-style-type: none"> ▪ Claim above excess level. ▪ Multiple justified complaints. 	<ul style="list-style-type: none"> ▪ Multiple claims or single major claim.
Staffing and competence	<ul style="list-style-type: none"> ▪ Short term low staffing level (< 1 day), where there is no disruption to service. 	<ul style="list-style-type: none"> ▪ Ongoing low staffing level results in minor reduction in quality of client care ▪ Minor error due to ineffective training / implementation of training. 	<ul style="list-style-type: none"> ▪ Late delivery of key objective / service due to lack of staff. ▪ Moderate error due to ineffective training / implementation of training. ▪ Ongoing problems with staffing levels 	<ul style="list-style-type: none"> ▪ Uncertain delivery of key objective / service due to lack of staff. ▪ Major error due to ineffective training / implementation of training. 	<ul style="list-style-type: none"> ▪ Non delivery of key objective/ service due to lack of staff. ▪ Loss of key staff. ▪ Critical error due to insufficient training/ implementation of training.
Service / business interruption	<ul style="list-style-type: none"> ▪ Interruption in a service which does not impact on the delivery of client care or the ability to continue to provide service 	<ul style="list-style-type: none"> ▪ Short term disruption to service with minor impact on client care. 	<ul style="list-style-type: none"> ▪ Some disruption in service with unacceptable impact on client care. ▪ Temporary loss of ability to provide service. 	<ul style="list-style-type: none"> ▪ Sustained loss of service which has serious impact on delivery of client care resulting in major contingency plans being invoked. 	<ul style="list-style-type: none"> ▪ Permanent loss of core service or facility. ▪ Disruption to facility leading to significant "knock on" effect.

"Domains"	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
Financial	<ul style="list-style-type: none"> Negligible organisational financial loss (£< 1k). 	<ul style="list-style-type: none"> Minor organisational financial loss (£1-10k). 	<ul style="list-style-type: none"> Significant organisational financial loss (£10-100k). 	<ul style="list-style-type: none"> Major organisational financial loss (£100k-1m). 	<ul style="list-style-type: none"> Severe organisational financial loss (£>1m).
Inspection / assessment / audit	<ul style="list-style-type: none"> Small number of recommendations which focus on minor quality improvement issues. 	<ul style="list-style-type: none"> Minor recommendations made which can be addressed by low level of management action. 	<ul style="list-style-type: none"> Challenging recommendations but can be addressed with appropriate action plan. 	<ul style="list-style-type: none"> Enforcement Action. Low rating. Critical report. 	<ul style="list-style-type: none"> Prosecution. Zero Rating. Severely critical report.
Adverse publicity / reputation	<ul style="list-style-type: none"> No media coverage, little effect on staff morale. 	<ul style="list-style-type: none"> Local Media – short term. Minor effect on staff morale / public attitudes. 	<ul style="list-style-type: none"> Local Media – long term. Impact on staff morale and public perception of the organisation. 	<ul style="list-style-type: none"> National Media (< 3 days). Public confidence in the organisation undermined. Usage of services affected. 	<ul style="list-style-type: none"> National Media (> 3 days). MP / MSP Concern (Questions in Parliament).
Council / Personal Security, and Equipment	<ul style="list-style-type: none"> Damage, loss, theft (£< 1k). 	<ul style="list-style-type: none"> Damage, loss, theft (£1-10k). 	<ul style="list-style-type: none"> Damage, loss, theft (£10-100k). 	<ul style="list-style-type: none"> Damage, loss, theft (£100k-1m). 	<ul style="list-style-type: none"> Damage, loss, theft (£>1m).

Likelihood

	1 Remote	2 Unlikely	3 Possible	4 Likely	5 Almost Certain
Probability	<ul style="list-style-type: none"> Will only occur in exceptional circumstances 	<ul style="list-style-type: none"> Unlikely to occur but definite potential exists 	<ul style="list-style-type: none"> Reasonable chance of occurring – has happened before on occasions 	<ul style="list-style-type: none"> Likely to occur – strong possibility 	<ul style="list-style-type: none"> The event will occur in most circumstances