

# Report

Report to:	<b>Housing and Technical Resources Committee</b>
Date of Meeting:	<b>8 November 2023</b>
Report by:	<b>Executive Director (Housing and Technical Resources)</b>

Subject:	<b>Update of the Housing and Technical Resources Risk Register and Risk Control Plan</b>
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## 1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ provide an update to Committee on the Risk Register and Risk Control Actions for Housing and Technical Resources

## 2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that the contents of the Resource Risk Register, be noted; and
- (2) that the outstanding Risk Control Actions, be noted

## 3. Background

- 3.1. The Council's Risk Management Strategy promotes consideration of risk in service delivery, planning and decision making processes. The Strategy requires Resources to record and review risks and control actions regularly. Housing and Technical Resources follows the guidance in developing, monitoring and updating the Risk Register on an ongoing basis.
- 3.2. The purpose of the Register is to ensure that the Resource is fully aware of its top risks, that these risks are prioritised and that controls are in place to eliminate or minimise the impact of the risks. New risks are identified throughout the year via the Resource Risk Management Group or Resource Management Team.
- 3.3. The Resource scores the risks in accordance with the Council scoring mechanism, based on likelihood and impact. This results in risks being scored between 1 and 25 (low to very high).
- 3.4. Risks are scored on their inherent score (risk if we do nothing) and their residual risk (risk after applying controls). The Council's scoring matrix is attached at Appendix 1.
- 3.5. The last update of the Housing and Technical Resources Risk Register was reported to Committee on 14 December 2022.
- 3.6. The Resource's top Risk Register and Risk Control Plan has been reviewed. This work was completed in August 2023.

- 3.7. The Central Risk Management Team annually reviews Resource compliance with the Risk Management Strategy. The outcome of the 2022/2023 review identified that Housing and Technical Resources achieved 100 per cent compliance, scoring 45 out of a possible 45.

#### **4. Resource Risk Management**

- 4.1. Each Resource has a Resource Risk Management Group which has responsibility for the promotion and management of risk.
- 4.2. The Housing and Technical Resources Risk Management Group continues to meet on a regular basis.
- 4.3. The work of the Group over the last year has focused on the review and update of the Resource Risk Register and ensuring that the register reflected the Council Plan and individual Service Plans.

#### **5. Risk Register**

- 5.1. Work has been completed by the Resource Risk Management Group to finalise the review of the Resource Risk Register. The update considered risks at a service level as well as strategic Council risks.
- 5.2. The Resource Risk Register is monitored on an ongoing basis to allow:-
- ◆ new risks to be added and for the control measures
  - ◆ scores of the existing risks to be reviewed in light of new information
- 5.3. Risks can result from internal or external influences, for example, impact of projected funding cuts, legislative changes or internal service changes.
- 5.4. The development process for the Resource Plan requires a risk assessment process to be undertaken as appropriate, resulting in relevant actions within the Resource Plan having a corresponding risk identified within the Risk Register.
- 5.5. The main changes to the register are summarised below:-
- ◆ five new risks have been added:-
    - ◆ implications of the Scottish Fire and Rescue Service Unwanted Fire Alarm Signals Policy within the Council's non-domestic estate
    - ◆ failure to comply with or meet the expected standards, scrutiny levels or improvement as identified by regulatory bodies
    - ◆ inability of the Council to effectively comply with current Tolerable Standard within Scottish Housing Quality Standard, Element 11 – Electrical Installations, Element 11A – Smoke and Heat Alarms and Element 11B – Carbon Monoxide Alarms
    - ◆ inability of the Council to relet void properties within agreed timescales, stemming from the pressure on resources through the impact of severe weather in December 2022 and the decision to transfer resources to concentrate on moving tenants back into their homes; and
    - ◆ inability to maintain infrastructure, assets and properties in a safe and well maintained condition due to budget constraints and failure to achieve objectives of asset/property reviews

- ◆ the risk description on 'Funding' has been updated to highlight that there will be continued pressures, which will require meaningful transformation and consideration of risk appetite, if we are required to manage services and demand with a diminishing resource
- ◆ the risk score for 'refugee resettlement and the asylum seeker dispersal programmes' has increased from 12 to 16, to reflect the difficulties faced by the Council in managing the risk. This has been exacerbated by demands from other high need groups including homeless households. The risk card has also been updated to reflect the heightened data security risk (concern over Russian interference in relation to Ukrainian Displaced Persons programme)
- ◆ adverse weather risk has been updated to cover potential damage to Council properties and housing stock from weather related events
- ◆ the 'health, safety and wellbeing of employees' risk card removes reference to the increased requirements due to the pandemic
- ◆ the 'Homes+' programme risk has been updated to include other external factors such as slow down of the private market in delivery of Turnkey contracts and to recognise the downturn in supply of existing houses that might meet the demands of the Council being offered for sale by current owners
- ◆ the 'Failure to provide suitable temporary and settled accommodation for homeless applicants' risk card residual score has increased from 4 to 12 and the risk updated to reflect 'out of local authority' presentations due to changes in legislation
- ◆ the 'sustainable development and climate change' risk wording has been expanded to include inability to achieve decarbonisation targets/timescales and in a way which supports a fair and just transition. This risk has also increased from 12 to 15 to bring in line with Council top risk scoring
- ◆ the 'Failure to improve tenants' sustainability' has been updated to reflect elements of the Council top risk in relation to Market and Provider capacity with a focus on the ability to meet the needs of people in their own homes
- ◆ four risks have been rescored from medium to low given the reduced risk to the Resource:-
  - ◆ failure to ensure the Corporate Asset Management Plan is progressed
  - ◆ failure to implement Local Housing Strategy (LHS)
  - ◆ failure to deliver City Deal projects and realise anticipated economic benefits
  - ◆ failure to achieve results and demonstrate continuous improvement, through leadership, good governance and organisational effectiveness
- ◆ risk descriptions, controls and actions have been updated as required on individual risks, following discussion with risk owners

5.6. Risks scored 15 to 25 are considered to be very high risks and risks scored 8 to 12 are considered to be high risks. Very high and high risks are monitored closely. The top risks identified for the Resource, that is those that are residually scored as being very high and high, are attached at Appendix 2.

- 5.7. Appendix 3 provides a comparison of risk scores for 2022 and 2023. This appendix also details changes in risk descriptions.
- 5.8. Risks evaluated residually as being medium or low risk will be monitored to ensure that they continue to be adequately managed.

## **6. Insurance Hotspots**

- 6.1. The following areas of work have been progressed over the last year to mitigate insurance hotspots.

### Property

- ◆ a property insurer survey programme has been undertaken the Council's insurers. A report was subsequently prepared detailing a number of actions to address fire and security risks
- ◆ continued awareness raising and advice for tenants in respect of council house fires, via the Housing News and social media
- ◆ awareness raising for tenants on how to avoid burst pipes and the importance of tenants' contents insurance
- ◆ ongoing work of Security Co-Ordinator, undertaking surveys and identification of measures to improve security of council properties, vehicles and assets

### Motor

- ◆ roll out of 'Challenging Driver Behaviour' learn on line course for drivers
- ◆ continued fact-finding investigations into accidents

### Combined Liability

- ◆ health and safety/training review has been undertaken by the Council's claims handlers, Gallagher Bassett

- 6.2. Progress with implementation and effectiveness of actions will be reported back to the Committee, via future insured risks reports.

## **7. Scope and Appetite for Risk**

- 7.1. The Council aims to be risk embracing, that is it will accept a tolerable level of risk in seeking service efficiencies and in agreeing control measures.
- 7.2. The level of risk facing the Council is measured both before (inherent risk) and after (residual risk) consideration of controls. The council should never carry a very high residual risk exposure as this would indicate instability but a low residual risk exposure should also be avoided as this indicates lack of innovation.
- 7.3. The Council's universal risk tolerance levels were updated as part of the review of the risk management strategy last year, with the ideal risk profile defined as:-
- ◆ no more than 10 per cent of residual risks at a very high level
  - ◆ no more than 15 per cent of risks at a high level
  - ◆ around 50 to 60 per cent of residual risks at a medium level
  - ◆ no more than 30 per cent of residual risks at a low level
- 7.4. Table 1 below shows the top risks heat map, ie, it details the total number of risks for each individual residual risk score. Table 2 below notes the overall risk profile for the top risks.

**Table 1 – Housing and Technical Resources Top Risks Heat Map**

<b>Likelihood</b>	<b>5</b> Almost Certain		<b>1</b>	<b>2</b>	<b>2</b>	
	<b>4</b> Likely			<b>4</b>	<b>2</b>	
	<b>3</b> Possible	<b>1</b>	<b>6</b>	<b>4</b>		
	<b>2</b> Unlikely		<b>4</b>		<b>3</b>	
	<b>1</b> Rare		<b>2</b>	<b>1</b>		
		<b>1</b> Negligible	<b>2</b> Minor	<b>3</b> Moderate	<b>4</b> Major	<b>5</b> Catastrophic
		<b>Impact</b>				

**Table 2 – Housing and Technical Resources Risk Profile**

<b>Risk Category</b>	<b>Risk Rating</b>	<b>Number of residual risks</b>	<b>Percentage of residual risks</b>
<b>1</b>	Very high	<b>6</b>	<b>12.5%</b>
<b>2</b>	High	<b>12</b>	<b>31.3%</b>
<b>3</b>	Medium	<b>10</b>	<b>37.5%</b>
<b>4</b>	Low	<b>4</b>	<b>18.8%</b>

7.5. The profile noted in Table 2 is outwith the ideal universal risk exposure defined by the Risk Management Strategy, however, this risk exposure is considered reasonable given the number of high level risks currently being faced by the Resource and across the Council.

7.6. Housing and Technical Resources has ensured that all inherent risks scored at a very high and high level have cost effective control measures in place. Where further control measures are required, these are included within the Resource Risk Control Plan.

## **8. Risk Control Actions**

8.1. No risk control actions were due for delivery.

## **9. Major projects, Partnerships or Change**

9.1. Within Housing and Technical Resources 2 partnerships have been identified. Both of these are considered to be low risk.

9.2. Appropriate risk management arrangements are in place for the Community Safety Partnership and Hub South West Partnership.

## **10. Next Steps**

10.1. The Resource Risk Management Group will continue to meet on a regular basis. The Risk Register will be reviewed on an ongoing basis by the Group to ensure that risks remain valid for the appropriate service areas and to identify new areas of risk that affect the Resource. An update report will be provided to Committee on an annual basis.

## **11. Employee Implications**

11.1. Time will be required by the Resource Risk Management Group in the management of the Resource Risk Register and Risk Control Plan.

## **12. Financial Implications**

- 12.1. There are no direct financial implications associated with the Resource's top risks. There are a number of proposed risks which are classified under the heading of financial. Where this is the case, the appropriate controls and actions have been included in the risk control cards and progress will be monitored.

## **13. Climate Change, Sustainability and Environmental Implications**

- 13.1. Sustainable development issues are included within the Council's top Risk Register through being linked directly to the Council plan objective 'make communities safer, stronger and sustainable'.

## **14. Other Implications**

- 14.1. Failure to demonstrate that risk is actively considered and managed cannot only lead to avoidable financial loss but could also affect delivery of services and could affect the Resources' reputation.

## **15. Equality Impact Assessment and Consultation Arrangements**

- 15.1. This report does not introduce a new policy, function or strategy or recommend a change to existing policy, function or strategy and therefore, no impact assessment is required.
- 15.2. Consultation on the content of this report has been undertaken with the Resource Management Team.

**Stephen Gibson**

**Executive Director (Housing and Technical Resources)**

10 October 2023

### **Link(s) to Council Values/Priorities/Outcomes**

- ◆ Accountable, effective, efficient and transparent

### **Previous References**

- ◆ Housing and Technical Resources Committee – 21 September 2021
- ◆ Housing and Technical Resources Committee – 14 December 2022

### **List of Background Papers**

- ◆ None

### **Contact for Further Information**

If you would like to inspect the background papers or want further information, please contact:-

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## Appendix 1 – Risk scoring matrix and likelihood and impact definitions

### Likelihood

Score	1	2	3	4	5
Description	Rare	Unlikely	Possible	Likely	Almost certain
Likelihood of occurrence	1 in 10 years	1 in 3 years	1 in 2 years	Annually	Monthly
Probability of occurrence	The event may occur in certain circumstances	The event could occur	The event may occur	The event will probably occur	The event is expected to occur or occurs regularly

### Impact

	Reputation	Financial	Service delivery/ Time to recover	Compliance	Safety
<b>1 Negligible</b>	Public concern restricted to local complaints	<£50,000 per annum	No impact to service quality; limited disruption to operations.	No external interest	Minor injury – no lost time
<b>2 Minor</b>	Minor adverse local/public/media attention and complaints	£50,000-£250,000 per annum	Minor impact to service quality; minor service standards are not met; short term	Very minor attention from legislative /Regulatory body	Minor injury – resulting in lost time
<b>3 Moderate</b>	Adverse national media Public attention	£250,000 to £500,000 per annum	Significant fall in service quality; major partnership relationships strained; serious disruption in service standards	Short-term attention from legislative/regulatory body	Major injury or ill health resulting in lost time
<b>4 Major</b>	Serious negative national or regional criticism	£500,000 to £1million per annum	Major impact to service delivery; multiple service standards are not met; long term disruption to operations; multiple partnerships affected	Medium-term attention from legislative/regulatory body	Fatality; Or injuries to several people
<b>5 Catastrophic</b>	Prolonged international, regional and national condemnation	>£1million per annum	Catastrophic fail in service quality and key service standards are not met; long term catastrophic interruption to operations; several major partnerships are affected	National impact with rapid intervention of legislative/regulatory body	Multiple fatalities; Or injuries to large number of people

The assessments for impact and likelihood combine to provide an overall inherent risk score on the scale of between 1 and 25, using the Council's recognised risk matrix.

**Risk matrix**

<b>Likelihood</b>	<b>5</b> Almost Certain	5	10	15	20	25
	<b>4</b> Likely	4	8	12	16	20
	<b>3</b> Possible	3	6	9	12	15
	<b>2</b> Unlikely	2	4	6	8	10
	<b>1</b> Rare	1	2	3	4	5
		<b>1</b> Negligible	<b>2</b> Minor	<b>3</b> Moderate	<b>4</b> Major	<b>5</b> Catastrophic
		<b>Impact</b>				

The risk score is calculated as follows:

**Likelihood score x Impact score = Risk Score**



**Appendix 2 - Housing and Technical Resources Risk Register (as at 31 August 2023).**  
**Extract of risks with residual score category of Very High and High**

<b>Risk Category</b>	<b>Key risk</b>	<b>Inherent Risk Score</b>	<b>Sample of Controls</b>	<b>Residual Risk Score</b>
<b>1 Very High (15-25)</b>	<p>1. Reduction in external funding and fees/income received by the Council, as well as the increased demand for services and increased cost of services including impact of price increases and inflation, results in increasing budget gaps.</p> <p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• Failure to deliver key services / projects</li> <li>• Failure to achieve Resource savings targets</li> <li>• Failure to collect Rent/income</li> <li>• Increased level of arrears</li> <li>• Failure to effectively manage the processes and practices to reduce the impact of cost of living crisis</li> </ul>	25	<ul style="list-style-type: none"> <li>• Embedded structure and systematic approach to savings identification.</li> <li>• Revise working arrangements and deployment of staff resources.</li> <li>• Close partnership working with Department for Work and Pensions and other agencies.</li> <li>• Robust rent collection and arrears management processes to reflect all circumstances.</li> <li>• Robust arrangements in place to monitor service delivery and outturns against budgets.</li> <li>• Regular reporting to Housing and Technical Resources Committee and Corporate Management Team.</li> </ul>	20
	<p>2. Inability of the Council to effectively balance the provision of accommodation and support to households who arrive in South Lanarkshire as part of refugee resettlement and the asylum seeker dispersal programmes, including those for unaccompanied children, whilst also meeting demands from other high need groups including homeless household</p> <p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• Statutory requirements not fulfilled</li> <li>• Failure to provide suitable accommodation</li> </ul>	20	<ul style="list-style-type: none"> <li>• Dedicated resources within Housing and Technical Resources – Resettlement Team to co-ordinate approach in implementation of national programmes.</li> <li>• Established partnership working practices which are closely monitored at a local and national level</li> <li>• A range of partnership structures in place to support implementation</li> <li>• Work actively to procure additional accommodation and support services and establish appropriate funding routes (including</li> </ul>	16

	<ul style="list-style-type: none"> <li>• Failure to provide the required support based on individuals needs</li> <li>• Maintain good relationships / partnerships with National / Local Governments and Community Planning Partners</li> <li>• Failure to resource support mechanisms required</li> <li>• Heightened data security risk (concern over Russian interference in relation to Ukrainian Displaced Persons programme).</li> </ul>		<p>Scottish and UK Government funding) which mitigate impact to council.</p> <ul style="list-style-type: none"> <li>• On data protection plans in progress to join national app holding all sensitive information securely, meantime review of processes in place in conjunction with Digital team</li> </ul>	
	<p>3. Implications of the Scottish Fire and Rescue Service Unwanted Fire Alarm Signal Policy within council's non-domestic estate</p> <p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• Building users behaviour</li> <li>• Poor housekeeping</li> <li>• Faulty electrical equipment</li> <li>• Failure to maintain plant and equipment</li> <li>• Wilful fire raising</li> <li>• Criminality</li> <li>• Failure to adhere to building regulations/statutory legislative requirements</li> <li>• Poor/inadequate fire risk assessments</li> </ul>	25	<ul style="list-style-type: none"> <li>• Upgrading or reprogramming existing fire alarm systems within affected non-domestic premises (where appropriate)</li> <li>• Publication of updated Guidance Document for Property Responsible Persons, aligning with national guidance issued by the SFRS and Fire Industry Association on 23 July 2023.</li> <li>• Preparation of special management and personnel bulletins detailing changes</li> <li>• Special managers Q&amp;A session being offered to managers who wish to ask specific questions, aimed at managers that are preparing investigation plan.</li> <li>• Establishment of a new training module for relevant managers and staff</li> </ul>	16
	<p>4. The council is unable to support households most impacted by the cost of living crisis resulting in increasing levels of poverty, debt, and damage to health</p> <p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• increase council tax and rent arrears</li> <li>• an increase in consumer debt</li> </ul>	25	<ul style="list-style-type: none"> <li>• Support from Tenancy Sustainment for tenants facing difficulty paying their rent</li> <li>• Provision of housing benefit and Discretionary Housing Payments support</li> <li>• Debt and money advice from the Money Matters Advice Service</li> <li>• Energy support from dedicated energy advisors</li> </ul>	20

	<ul style="list-style-type: none"> <li>• an increase in the use of prepaid energy meters</li> <li>• detrimental impact on mental and physical health.</li> </ul>			
	<p>5. Inability of the Council to effectively resource a void property within agreed timescales to meet the demands stemming from the severe weather crisis in December 2022 and the Resource decision to transfer resources to concentrate on getting tenants back into their homes</p> <ul style="list-style-type: none"> <li>• Significant limitation on our ability to meet housing need including those of homeless households</li> <li>• Negative impact on statutory/regulatory requirements</li> <li>• Reputation damage</li> <li>• Financial implications</li> <li>• Reduction/suspension in key services being delivered</li> </ul>	20	<ul style="list-style-type: none"> <li>• Regular reporting to RMT on a weekly basis analysing trends</li> <li>• Increase voids scrutiny and improved monitoring of live voids in advance of weekly report for Property Services.</li> <li>• Redeployment of existing resources where required.</li> <li>• Progressing work to properties on a priority basis.</li> <li>• Voids Review Group established, with the following actions being progressed:-</li> <li>• Preferred supplier approach review in relation to utilities at voids stage is underway</li> <li>• Severe weather planning in place, agreed responsibilities across Resource and type of stock/ equipment requirements identified.</li> <li>• Sub-contactors to supplement building services workload has been reviewed during periods of high demand ie increased voids numbers.</li> <li>• Review of Building Services – resources/structure</li> </ul>	15
	<p>6. Inability to delivery sustainable development and climate change objectives and timescales in such a way to support a fair and just transition</p> <p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• inadequate or lack of funding</li> <li>• lead to slippage against targets and timescales</li> <li>• failure by the Council to meet carbon reduction and sustainability targets</li> </ul>	20	<ul style="list-style-type: none"> <li>• Climate change and sustainability governance (committee and steering group)</li> <li>• Council's Sustainable Development and Climate Change Strategy and Action Plan</li> <li>• Carbon Management Plan</li> <li>• Local Heat and Energy Efficiency Strategy to be developed by December 2023</li> <li>• Long-term capital programme that tackles climate change mitigation and adaptation</li> </ul>	15

	<ul style="list-style-type: none"> <li>• failure to deliver energy efficiency would see an increase in tenants paying more money for fuel to heat their homes</li> <li>• SLC Properties will fail to have energy efficient homes and not meet EESSH2 compliance.</li> </ul>		<ul style="list-style-type: none"> <li>• Energy efficiency investment programmes and strategic energy reviews of all domestic and non-domestic properties</li> <li>• Report 6 monthly to RMT.</li> <li>• Resource Energy framework and action plan.</li> <li>• Energy management software in properties.</li> <li>• Renewable energy ie new house build programme</li> <li>• Environmental projects</li> <li>• Reduction in carbon emissions, zero carbon targets</li> <li>• Compliance built into future projects</li> <li>• Capital budget spend/funding.</li> </ul>	
<b>2</b> <b>High</b> <b>(8-12)</b>	<p>7. Implications of Fire within Council Properties</p> <ul style="list-style-type: none"> <li>• Poor / inadequate fire risk assessments/precautions</li> <li>• Failure to adhere to building regulations/statutory legislative requirements</li> <li>• Tenants' lifestyle</li> <li>• Tenants' failure to insure their own contents</li> <li>• Owners' failure to insure their own property</li> <li>• Building Users behaviour</li> <li>• Wilful Fire Raising</li> <li>• Criminality</li> <li>• Faulty electrical equipment</li> <li>• Failure to maintain plant and equipment</li> <li>• Property damage</li> <li>• Loss of rent</li> <li>• Financial costs for reinstatement</li> </ul>	25	<ul style="list-style-type: none"> <li>• Scottish Fire and Rescue Service (SFRS) Home Fire Safety Visits encouraged including at tenancy sign up/within temporary accommodation/within supported accommodation, including sheltered housing</li> <li>• Tenancy Agreement – restrictions</li> <li>• Promotion of home contents insurance – booklet and flyers</li> <li>• Joint article to be produced in conjunction with SFRS and Housing Services for inclusion in Housing News</li> <li>• Ongoing liaison with SFRS and staff training</li> <li>• Common Sense Initiative – communal areas fire safety posters</li> <li>• Legislative compliance checks – gas / electrical etc</li> <li>• Fire risk assessments.</li> <li>• Health and Safety audits undertaken</li> <li>• All new schools have sprinkler or fire suppression systems</li> <li>• Cyclical visits within schools</li> </ul>	12

		<ul style="list-style-type: none"> <li>• Programmes of work to install controlled door entry systems</li> <li>• Outcomes of public inquiries</li> </ul>	
8. Failure to provide suitable temporary and settled accommodation for homeless applicants	16	<ul style="list-style-type: none"> <li>• Full review of temporary accommodation portfolio completed linked to development of a Temporary Accommodation Strategic Plan (TASP).</li> <li>• Managed temporary accommodation and letting targets for both council and RSLs lets are set and actual outturn monitored.</li> <li>• Regular performance reported to Resource Management team</li> <li>• Performance is reported to Scottish Government, Scrutiny by Scottish Housing Regulator and Assurance statement.</li> <li>• Pursuing opportunities to increase housing stock, including funding available to humanitarian programmes</li> </ul>	12
<p>9. The council does not have the appropriate emergency / business continuity plans; contingency arrangements or partnerships in place to respond to/or recover from a pandemic/endemic event.</p> <p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• Lack of robust business continuity plans/resilience arrangements</li> </ul>	25	<ul style="list-style-type: none"> <li>• Emergency Response Commitments as a Category One responder.</li> <li>• Temporary testing centres identified by Resource.</li> <li>• Monitoring of national guidance.</li> <li>• Resource / Service Recovery Plans and Service Restart Framework.</li> <li>• Business Continuity Plans.</li> <li>• IT software licences to allow agile working procured.</li> </ul>	12

	<ul style="list-style-type: none"> <li>• Restriction on service delivery – statutory and non-statutory</li> <li>• Clarity/timing of Government guidance</li> <li>• Ineffective communication by employee and service users</li> <li>• Workforce absences/shortage</li> <li>• Lack of mobile IT devices</li> <li>• Lack of PPE</li> </ul>		<ul style="list-style-type: none"> <li>• IT – Roll out of Microsoft Teams throughout the Council.</li> <li>• IT – Increased numbers of agile workers and increased number of laptops/tablets.</li> <li>• Guidance on Health and Safety Risk Assessments/Safe Systems of Work for Covid-19 has been issued.</li> <li>• Introduction of Virtual Call Centre.</li> <li>• Tenancy Sustainment Fund Assistance.</li> <li>• Health and Wellbeing Group established.</li> </ul>	
	<p>10. Procurement activity is affected by supply chain issues; a lack of resources; non-compliance or legal challenge</p> <p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• Failure to fulfil statutory requirements</li> <li>• Failure to achieve best value.</li> <li>• Service delivery affected/fails.</li> <li>• Cyber Attacks - failure to protect our data systems or assets held by Council</li> <li>• Serious organised crime - proceeds of crime or money laundering</li> <li>• Lack of trained personnel</li> </ul>	25	<ul style="list-style-type: none"> <li>• Full contract wording includes SLC expectations from contractors.</li> <li>• Guidance on new legislation including the Bribery Act and the linkages with procurement issued by Legal Services. Council has a security framework in place.</li> <li>• Contractor vetting (Health and Safety), construction line and financial checks undertaken for all contractors.</li> <li>• Meetings with contractors to review performance/appraisals.</li> <li>• iProc used extensively by all Resources.</li> <li>• Learn online employee training – Quick quote/procurement awareness.</li> <li>• Standard procurement documents/processes held on intranet and reviewed/updated on an ongoing basis. These are used consistently across Resources.</li> <li>• Review of procedures for financial appraisals.</li> <li>• Performance monitoring of all significant contracts.</li> </ul>	12
	<p>11. Failure to address fuel poverty in council houses</p>	16	<ul style="list-style-type: none"> <li>• Capital programme in place - Housing Investment Programme and central heating installations, new windows and doors and insulation measures.</li> </ul>	9

	<ul style="list-style-type: none"> <li>• Target to eradicate / alleviate fuel poverty may not be achieved.</li> <li>• household incomes are out with the Councils control</li> <li>• Low income will continue to face high energy costs and fuel poverty</li> <li>• Households in the private sector not taking up energy efficiency opportunities</li> </ul>		<ul style="list-style-type: none"> <li>• All new builds are to a standard exceeding the energy rating target which radically lowers the running costs for the properties</li> <li>• Funding Energy Efficient Scotland: Area Based Schemes and ECO has allowed SLC to do more with home owners and able to measure against publish targets</li> <li>• Increasing access to gas network through infrastructure investment</li> <li>• Energy support from dedicated energy advisors</li> </ul>	
	<p>12. The Council fails to meet statutory and legislative duties in respect of public protection</p> <p>(Council Top Risk)</p> <p>Failure to deliver statutory and legislative duty to deliver services that protect everybody within our communities:</p> <ul style="list-style-type: none"> <li>• Child Protection</li> <li>• Adult Protection</li> <li>• Prevent people supporting terrorism or extremism (Counter terrorism and Security)</li> <li>• Environmental services</li> </ul>	16	<ul style="list-style-type: none"> <li>• Multi-agency child protection committee in place</li> <li>• Multi-agency adult protection committee in place</li> <li>• Multi-agency procedures adopted to provide guidance to staff</li> <li>• Multi- agency MAPPA arrangements in place</li> <li>• Significant case review protocol in place</li> <li>• Data sharing agreements in place to support alert messaging and sharing key information</li> <li>• Multi-agency Prevent case discussions take place</li> <li>• Training to raise awareness – Learn on line modules</li> <li>• Existing partnership working with Police Scotland and other organisations (Community Planning Partnership)</li> </ul>	9
	<p>13. Increasing levels of adverse weather</p> <p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• Inability of the Council to deliver its core services</li> <li>• Failure to maintain Council assets</li> <li>• Increase in the number of insurance claims received</li> </ul>	16	<ul style="list-style-type: none"> <li>• Emergency Planning arrangements in place and contact details updated.</li> <li>• Severe Weather Group established to control the delivery of the service.</li> <li>• Decant properties identified.</li> <li>• Additional Labour/Trades identified.</li> <li>• Additional Plant/Transport.</li> <li>• Additional stock.</li> </ul>	9



	<ul style="list-style-type: none"> <li>• A potential overspend in budget as the Council responds to emergencies</li> <li>• Damage to public and private property</li> </ul>		<ul style="list-style-type: none"> <li>• Additional sub-contractors identified if work content becomes high.</li> <li>• Additional admin staff to deal with calls/enquiries/complaints.</li> <li>• Better housing stock through capital programmes.</li> <li>• 24 hour control centre.</li> <li>• General Met Office alerts to Contingency Planning Officers.</li> </ul>	
	<p>14. Inability of the Council to effectively comply with current Tolerable Standard within Scottish Housing Quality Standard, Element 11 – Electrical Installations, Element 11A – Smoke and Heat Alarms and Element 11B – Carbon Monoxide Alarms.</p> <ul style="list-style-type: none"> <li>• Tenant and resident safety requirements</li> <li>• Statutory requirements</li> <li>• Regulatory requirements</li> </ul>	15	<ul style="list-style-type: none"> <li>• Ongoing monitoring of legislative compliance programme.</li> <li>• Resource Plan updated Q2 and Q4 and reported to HTR Committee.</li> <li>• New process being implemented being flagged 100 days in advance of fixed electrical testing certificate expiring.</li> <li>• Proactively targeting upgrading of legislative compliance for relevant aspects via capital programme and void stage.</li> <li>• Implementation of forced entry programme to address no access issues</li> <li>• Engagement with Tenant Participation Co-ordination Group</li> <li>• Rolling social media campaigns for access to properties via Housing News, South Lanarkshire View and other relevant digital platforms</li> <li>• Development of customer portal on new HOME project</li> <li>• Routinely update bank of tenants' email addresses</li> </ul>	10
	<p>15. Inability to maintain infrastructure, assets and properties in a safe and well maintained condition due to budget constraints and failure to achieve objectives of asset/property reviews</p>	16	<ul style="list-style-type: none"> <li>• Undergoing a ward by ward review of assets to identify core assets, unsustainable assets and potential opportunities.</li> <li>• Remove liability for unsustainable properties</li> </ul>	9



	<p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• Maintain and repair existing assets in a safe and well maintained condition due to lack of funding and budget constraints</li> <li>• Health and Safety issues emerging from inspection</li> <li>• Deliver corporate asset management plan (separate risk card)</li> <li>• Standard maintenance not being carried</li> <li>• Future / continued investment in these areas uncertain</li> <li>• Building closures</li> <li>• Meet aims for Social and Health Agenda, as identified in the Council Plan</li> </ul>		<ul style="list-style-type: none"> <li>• Dispose of unsuitable buildings and identify redundant assets</li> <li>• Consideration to be given to repurposing or redevelopment of assets.</li> <li>• Engagement through Community Asset Transfer</li> <li>• Annual single survey programme which identifies the risks and investment required.</li> <li>• Annual update to Asset Management Plan.</li> <li>• Ongoing service reviews to identify risks and opportunities.</li> <li>• Town centre master planning and engagement with private owners.</li> <li>• Office accommodation strategy in place to maximise use of retained properties for sharing with partners.</li> </ul>	
	<p>16. Failure to ensure Health, Safety and wellbeing of employees and protection of service users and members of the public in the delivery of council services.</p> <p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• Increased claims intimated against the council</li> <li>• Involvement in Fatal Accident Inquiries</li> <li>• Increased employee absence</li> <li>• HSE Involvement - prohibition notice, improvement notices.</li> <li>• Prosecution or organisation/employee under Corporate Homicide legislation or Health and Safety at Work Act.</li> <li>• Industrial disease claims</li> <li>• Historical claims</li> </ul>	20	<ul style="list-style-type: none"> <li>• Occupational Health and Safety Management System embedded throughout the Council.</li> <li>• Risk Assessments and Safe Systems of Work developed and implemented.</li> <li>• Resource, Service and Trade Union communication and consultation arrangements in place.</li> <li>• Health and Safety Training matrices (Specific training requirements for employees)</li> <li>• Claims lessons learned reports.</li> <li>• Resource and Service Health and Safety Groups meet on a regular basis within all Resources.</li> <li>• Management of Occupational Road Risk Policy and associated documents</li> <li>• Analysis of statistics to identify trends and advise on mitigations to reduce risks.</li> <li>• Violent incident reporting procedures.</li> <li>• Record management and record retention schedules.</li> </ul>	8

	<p>17. Failure to achieve the outcomes of the Community Plan</p> <p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• Failure to tackle inequalities in priority areas</li> <li>• Failure to comply with statutory requirements</li> <li>• Failure to improve outcomes for communities</li> </ul>	20	<ul style="list-style-type: none"> <li>• Participation in CP Outcomes Lead and Progress Groups.</li> <li>• Delivery of Local Housing Strategy and Strategic Housing Investment Plan</li> <li>• Safer South Lanarkshire Steering Group undertake a monitoring role and report progress regularly to Safer South Lanarkshire Board.</li> <li>• Delivery of the Anti-Social Behaviour Strategy.</li> <li>• Promotion and delivery of Anti-Social Behaviour services</li> <li>• Promotion of Equality and Diversity through Resource Co-ordination Group</li> <li>• Fuel poverty – work towards achieving national targets</li> <li>• Promotion of a community engagement approach and events</li> <li>• Cross Resource Security Working Group meet quarterly</li> <li>• Specific targets within Resource plan, reported quarterly</li> <li>• Local Child Poverty Action Plan Report</li> </ul>	8
	<p>18. Failure to achieve the outcomes of the Council Plan</p> <p>(Council Top Risk)</p> <ul style="list-style-type: none"> <li>• Failure to reduce inequalities in priority areas</li> <li>• Failure to comply with statutory requirements</li> <li>• Not improving outcomes for individuals/families</li> </ul>	16	<ul style="list-style-type: none"> <li>• Resource Risk Register maintained, monitored and reported to Committee</li> <li>• Annual performance reporting and annual performance spotlights</li> <li>• Governance arrangements via the Executive Committee, PRSF and Resource Committees of the council</li> <li>• Resource Plan and Service Plans are prepared annually</li> <li>• Resource Plans are reported and monitored by Committee.</li> </ul>	8

### Appendix 3 : Comparison of the 2023 and 2022 Housing and Technical Resources Risk Register

Risk Category	Key risk description	2022 Residual risk score	2023 Residual risk score	Change in residual risk scores	Changes to key risk descriptions
<b>Very High (15-25)</b>	1. Reduction in external funding and fees/income received by the Council, as well as the increased demand for services and increased cost of services including impact of price increases and inflation, results in increasing budget gaps.	20	20	=	Wording updated to remove effects of pandemic. Wording around price increases streamlined.
	2. Inability of the Council to effectively balance the provision of accommodation and support to households who arrive in South Lanarkshire as part of refugee resettlement and the asylum seeker dispersal programmes, including those for unaccompanied children, whilst also meeting demands from other high need groups including homeless household	12	16	↑	Wording amended to include unaccompanied children, and meeting demand from other high need groups.
	3. Implications of the Scottish Fire and Rescue Service Unwanted Fire Alarm Signal Policy within council's non-domestic estate	N/A	16	New Risk	
	4. The council is unable to support households most impacted by the cost-of-living crisis resulting in increasing levels of poverty, debt, and damage to health	20	20	=	
	5. Inability of the Council to effectively resource a void property within agreed timescales to meet the demands stemming from the severe weather crisis in December 2022 and the Resource decision to	N/A	15	New	

Risk Category	Key risk description	2022 Residual risk score	2023 Residual risk score	Change in residual risk scores	Changes to key risk descriptions
	transfer resources to concentrate on getting tenants back into their homes				
	6. Inability to delivery sustainable development and climate change objectives and timescales in such a way to support a fair and just transition	12	15	=	Wording expanded to include the inability to delivery and timescales in such a way to support fair and just transition
<b>High (8-12)</b>	7. Implications of Fire within Council Properties	12	12	=	Wording changed to Implications of Fire within Council Properties
	8. Failure to provide suitable temporary and settled accommodation for homeless applicants	4	12	↑	
	9. The council does not have the appropriate emergency / business continuity plans; contingency arrangements or partnerships in place to respond to/or recover from a pandemic/endemic event.	12	12	=	
	10. Procurement activity is affected by supply chain issues; a lack of resources; non-compliance or legal challenge	12	12	=	
	11. Failure to address fuel poverty in council houses	6	9	↑	
	12. The Council fails meet statutory and legislative duties in respect of public protection	9	9	=	
	13. Increasing levels of adverse weather	9	9	=	

Risk Category	Key risk description	2022 Residual risk score	2023 Residual risk score	Change in residual risk scores	Changes to key risk descriptions
	14. Inability of the Council to effectively comply with current Tolerable Standard within Scottish Housing Quality Standard, Element 11 – Electrical Installations, Element 11A – Smoke and Heat Alarms and Element 11B – Carbon Monoxide Alarms.	N/A	10	New	
	15. Inability to maintain infrastructure, assets and properties in a safe and well maintained condition due to budget constraints and failure to achieve objectives of asset/property reviews	N/A	9	New	
	16. Failure to ensure Health, Safety and wellbeing of employees and protection of service users and members of the public in the delivery of council services.	8	8	=	
	17. Failure to achieve the outcomes of the Community Plan	8	8	=	
	18. Failure to achieve the outcomes of the Corporate Plan	8	8	=	
<b>Medium (4-6)</b>	19. Failure to fulfil emergency response commitments befitting the Council's status as a Category One (emergency) responder.	6	6	=	
	20. Failure to comply with or meet the expected standards, scrutiny levels, or improvement as identified by regulatory bodies	N/A	4	New Risk	
	21. Information Governance not subject to adequate control	6	6	=	

Risk Category	Key risk description	2022 Residual risk score	2023 Residual risk score	Change in residual risk scores	Changes to key risk descriptions
	22. Failure to deliver the Council's "Homes+" council house supply programme and impact on ability to meet housing need	6	6	=	
	23. The council fails to maximise the benefits of the Community Wealth Building Strategy	6	6	=	
	24. Failure to implement the new Integrated Housing and Property Management System	6	6	=	
	25. Failure to deliver the Council's Capital Programme	6	6	=	
	26. Failure to improve tenants' sustainability	4	4	=	
	27. Failure to implement planned maintenance programmes	4	4	=	
	28. New and amended legislation	4	4	=	
Low (1-3)	29. Failure to ensure the Corporate Asset Management Plan is progressed	4	3	↓	
	30. Failure to implement Local Housing Strategy (LHS)	4	2	↓	
	31. Failure to deliver City Deal projects and realise anticipated economic benefits	6	3	↓	
	32. Failure to achieve results and demonstrate continuous improvement, through leadership, good governance and organisational effectiveness	6	3	↓	