

Appendix A Strategic Register Housing and Finance

Report for 2021/2022

Filtered by Service: Housing, Finance

Not Including Projects records, Including Control Action records

Key to Performance Status:

Control Action:	No longer required	No Data available	Not Effective	in Planning / Progress	Completed	Working and Effective
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Risks:	No Data (0+)	High (12+)	Medium (6+)	Low (1+)
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Risk: Management of investments Security of the Council's surplus cash resources, with the preservation of the capital sum, is of paramount importance. The objective of is to optimise investment returns commensurate with the containment of risk	Risk Code: fin-RK-0060
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Pure Status: Medium (8)	Pure Risk Impact: Major	Pure Risk Likelihood: Unlikely
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Residual Status: Low (3)	Residual Risk Impact: Serious	Residual Risk Likelihood: Remote
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Service: Finance

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Investments made - CHAPs Payments	Any investments made direct by council staff are approved by a senior officer, any associated investment is authorised through an electronic control process (password and security code) to release funds	Simon Davey	05/10/2009	05/05/2021
Working and Effective	Lending lists and investment limits	The Strategy includes detailed procedures including authorised lending institutions and investment limits. These steps are designed to limit the council's exposure in the event of an institution failing.	Simon Davey	05/10/2009	05/05/2021
Working and Effective	Reconciliation, monitoring and performance reporting	Supporting documents detailing investments made and repaid to be reconciled with the main accounting system and together with the portfolio managers report investment performance is to be monitored and	Simon Davey	29/10/2009	05/05/2021
Working and Effective	Retention of records	Records relating to the purchase/sale of investments together with portfolio performance reports from the Council's Fund Manager to be retained in accordance with the retention and disposal of documents	Simon Davey	29/10/2009	05/05/2021
Working and Effective	Treasury Management Strategy and associated procedures	The Council has an up to date Strategy with detailed associated procedures which are followed	Simon Davey	02/10/2009	05/05/2021

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Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
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Responsible Officer: Simon Davey

Review Note:

Risk: Funding from grants not received risk impacting on the Council budget That the Council does not receive grants and contributions to which it is entitled to meet, or help meet, its expenses having a negative impact on the Council's budget. **Risk Code: fin-RK-0061**

Pure Status: High (12) Pure Risk Impact: Serious Pure Risk Likelihood: Very Likely

Residual Status: Low (3) Residual Risk Impact: Serious Residual Risk Likelihood: Remote

Service: Finance

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Budgetary Control on grant and contributions to be received	Projects and schemes which are approved on the basis of external funding will be recorded as such with a revenue or capital budget. The receipt of this funding will be monitored as part of the budget	Simon Davey	02/10/2009	05/05/2021
Working and Effective	Income Reant Register	Finance Team monitor an income grant register to record all monies received.	Simon Davey	31/03/2017	05/05/2021
Working and Effective	Receipt of Section 106 funds	Employment of 106 officer to ensure funds due to the Council are charged and checks by accountancy to ensure monies received tied back to agreements	Simon Davey	02/10/2009	05/05/2021
Working and Effective	Revenue Support Grant and NNDR pool distribution received.	Cash Flow monitoring by Accountancy to ensure this money is received monthly against predetermined schedule.	Simon Davey	02/10/2009	05/05/2021

Responsible Officer: Simon Davey

Review Note:

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Risk: Electronic transfer/payment of monies Failure to ensure the correct amounts are paid and reach the correct destination.			Risk Code: fin-RK-0064		
Pure Status: High (16)		Pure Risk Impact: Major	Pure Risk Likelihood: Very Likely		
Residual Status: Low (4)		Residual Risk Impact: Major	Residual Risk Likelihood: Remote		
Service: Finance					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Audit Regime	Internal and external audit review and testing to ensure controls are operating effectively.	Simon Davey	31/03/2017	05/05/2021
Working and Effective	Cheque & Bacs payments	Controls are in place with independent officer approval linking back to originating totals to agree payments to be made for each run.	Simon Davey	05/10/2009	05/05/2021
Working and Effective	Housing Benefit payments	Payments are only made following the assessment of a claim. The system will hold the calculation and evidence required to make the payment and a claimant file will exist with documentary evidence.	Simon Davey	05/10/2009	05/05/2021
Working and Effective	Investment Transfers	Two officers are involved in any investment transfer confirming banking instruction. HoF agrees monthly reconciliation of investments made and repayments	Simon Davey	28/05/2014	05/05/2021
Working and Effective	Payments are made to the correct person or business for the correct amount.	Invoice payments (including refunds and cheque requisitions) are raised and paid in accordance with the certification and authorisation process as outlined in the Council's Financial Standing Orders	Simon Davey	05/10/2009	05/05/2021
Responsible Officer: Simon Davey					
Review Note:					

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Risk: Failure to monitor budgets Failure to keep the Council's spending within approved budgets and resources available to it could lead to financial and reputational ruin.				Risk Code: fin-RK-0073	
Pure Status: Medium (8)		Pure Risk Impact: Major		Pure Risk Likelihood: Unlikely	
Residual Status: Low (4)		Residual Risk Impact: Major		Residual Risk Likelihood: Remote	
Service: Finance					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Audit Regime	Internal and external audit review and testing to ensure controls are operating effectively.	Simon Davey	31/03/2017	05/05/2021
Working and Effective	Budget monitoring reports to Cabinet	The Cabinet will receive reports during the year giving the financial position of the Council against the approved budget, any courses of action proposed and the effects on the Council's balances.	Simon Davey	05/10/2009	05/05/2021
Working and Effective	Monthly monitoring reports to budget managers	The finance team will generate monthly reports to budget managers giving statements of financial position against budget and meetings will held to discuss variations and any necessary course of action	Simon Davey	05/10/2009	05/05/2021
Working and Effective	The holding of adequate reserves to cover unknown/unplanned costs	The Council has approved balances set aside for the General Fund and Housing Revenue Account to deal with unknown/unplanned events i.e emergency situations or uneven cash flow.	Simon Davey	05/10/2009	05/05/2021
Responsible Officer: Simon Davey					
Review Note:					

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Risk: Fraud, theft and/or irregularity of financial resources The risk of fraud, theft and or irregularity of the Council's financial resources and the opportunities to disguise and cover up the fraudulent act. **Risk Code: fin-RK-0081**

Pure Status: High (12) Pure Risk Impact: Serious Pure Risk Likelihood: Very Likely

Residual Status: Low (3) Residual Risk Impact: Serious Residual Risk Likelihood: Remote

Service: Finance

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Adequate Financial Controls	The Council has in place adequate financial controls including regular reconciliations, segregation of duties, delegated authorities and spending limits.	Simon Davey	08/10/2009	05/05/2021
Working and Effective	Appropriate policies, strategies and fraud response plans	The Council has adequate policies, strategies, and fraud response plans including Regulatory Enforcement and Prosecution Policy.	Simon Davey	08/10/2009	05/05/2021
Working and Effective	Audit professionals completing a wide-ranging audit plan	The Council has a wide-ranging audit plan covering all the Council's activities, including Anti-Fraud testing. The plan covers all levels of risk, including medium and lower risks and includes spot checks on transactions and controls in place. Analytical reviews are undertaken of payments to identify any possible fraudulent activities	Simon Davey	08/10/2009	05/05/2021
Working and Effective	Budgetary Control	Income received and/or monies paid are assigned to budget heads. Budgets are monitored by managers and accountants and each budget will deliver a specific purpose. Material expenditure not in accordance with the purpose the budget is held will be identified and income not received will also be identified.	Simon Davey	08/10/2009	05/05/2021
Working and Effective	Corporate Fraud and Compliance Team	The Corporate Fraud and Compliance Team are working on a strategy to focus resources to reflect the national picture of emerging fraud. Monitoring of outcomes through reporting to SMT.	Simon Davey	31/03/2017	05/05/2021
Working and Effective	Dedicated 'Fraudline'	Dedicated 'Fraudline' which is publicised in council leaflets, magazines and on the website.	Simon Davey	08/10/2009	05/05/2021
Working and Effective	External Audit Review	External Audit (Grant Thornton) undertake a review of controls and assess the quality of assurance provided from the Council's internal audit function (SWAP). They will also carry out an independent audit of the authorities accounts.	Simon Davey	01/05/2013	05/05/2021
Working and Effective	Insurance cover	Appropriate insurance is held to mitigate any losses	Simon Davey	28/05/2014	05/05/2021

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Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Participation in the National Fraud Initiative	The Council participates in the National Fraud Initiative	Simon Davey	08/10/2009	05/05/2021
Working and Effective	Segregation of Duties	Segregation of Duties divides responsibilities between individuals and enforces internal check. Ie, one person verifies the work of another.	Simon Davey	20/01/2010	05/05/2021

Responsible Officer: Simon Davey

Review Note:

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Risk: Fraud, theft and/or irregularity of physical assets The risk of theft and or irregularity with regards the Council's physical assets, including mis-use of assets, and the opportunities to disguise and cover up the theft and/or irregularity.					Risk Code: fin-RK-0082
Pure Status: Medium (9)	Pure Risk Impact: Serious		Pure Risk Likelihood: Likely		
Residual Status: Low (4)	Residual Risk Impact: Major		Residual Risk Likelihood: Remote		
Service: Finance					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Appropriate insurance obtained	The Council insures the majority of its assets against damage and theft	Simon Davey	28/05/2014	05/05/2021
Working and Effective	Appropriate policies, strategies and fraud response plans	The Council has adequate policies, strategies, and fraud response plans including Anti-Fraud & Corruption Policy and Whistle Blowing Policy. Anti-Fraud Leaflets available in Council offices.	Simon Davey	08/10/2009	05/05/2021
Working and Effective	Asset Tagging (Smart Water and physical stickers on ICT equipment)	The Council tags its assets with DNA water (Smart Water) and physical tags ICT equipment. Street Scene	Simon Davey	08/10/2009	05/05/2021
Working and Effective	Assets on Balance Sheet subject to audit	External Auditor will examine Balance Sheet of the Council and undertake checks on assets held and asset values to determine accuracy of Accounts.	Simon Davey	01/05/2013	05/05/2021
Working and Effective	Audit Professionals completing a wide-ranging audit plan	Wide ranging audit plan covering all the Council's activities, including elements of Housing and Street Scene. The plan covers all levels of risk, including medium and lower risks and includes spot checks.	Simon Davey	08/10/2009	05/05/2021
Working and Effective	Capital Accounting Controls and Capital Accounting Audit	The Council has effective capital accounting controls and the audit plan contains a review of capital accounting on an annual basis.	Simon Davey	08/10/2009	05/05/2021
Working and Effective	Dedicated 'Fraudline'	Dedicated 'Fraudline' which is publicised in council leaflets, magazines and on the website. Callers leave details of any theft or irregularity anonymously.	Simon Davey	08/10/2009	05/05/2021
Working and Effective	Disposal of Assets Policy / Electronic Inventory	The Council has a Disposal of Assets Policy which proposes the implementation of an electronic inventory.	Simon Davey	08/10/2009	05/05/2021
Working and Effective	Fixed Asset Registers (Financial, Housing, ICT and Street Scene)	The Council has a fixed asset register (maintained by Financial Services).	Simon Davey	08/10/2009	05/05/2021
Responsible Officer: Simon Davey					
Review Note:					

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Risk: Delay in processing the Housing Benefit payments Failure of the 4 weekly pay run for housing benefits delaying the payment				Risk Code: fin-RK-0109	
Pure Status: High (12)		Pure Risk Impact: Major		Pure Risk Likelihood: Likely	
Residual Status: Low (3)		Residual Risk Impact: Serious		Residual Risk Likelihood: Remote	
Service: Finance					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Additional staff can run payments	More staff within finance can now run BACCS payments	Simon Davey	31/03/2017	05/05/2021
Working and Effective	Audit Regime	Internal and external audit review and testing to ensure controls are operating effectively.	Simon Davey	31/03/2017	05/05/2021
Working and Effective	Liaison meetings	Regular liaison meeting between managers and staff and without outside agencies to scrutinise and resolve workflow issues	Libby Jarrett	30/10/2009	05/05/2021
Working and Effective	Monitoring performance	Performance to be monitored on a regular/routine basis and communicated to staff, management and members	Simon Davey	30/10/2009	05/05/2021
Working and Effective	Temporary staffing	To monitor workloads and to take on additional temporary staff to deal with backlogs subject to financial resources being available	Simon Davey	30/10/2009	05/05/2021
Responsible Officer: Simon Davey, Libby Jarrett					
Review Note:					

Risk: Reduction in Housing Benefit subsidy To avoid reduction in the level of housing benefit subsidy received as a result of high level of 'local authority error' or the incorrect treatment of benefit expenditure from subsidy claim				Risk Code: fin-RK-0110	
Pure Status: High (16)		Pure Risk Impact: Major		Pure Risk Likelihood: Very Likely	
Residual Status: Medium (6)		Residual Risk Impact: Serious		Residual Risk Likelihood: Unlikely	
Service: Finance					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Level of subsidy due monitored	The level of subsidy due monitored on a regular basis	Libby Jarrett	30/10/2009	05/05/2021
Working and Effective	Sample testing	On a regular and routine basis a sample of Processed claims are accuracy checked	Libby Jarrett	30/10/2009	05/05/2021
Working and Effective	Staff development	Staff are fully trained on the implications of incorrect calculation of benefit	Libby Jarrett	30/10/2009	05/05/2021
Responsible Officer: Simon Davey, Libby Jarrett					
Review Note:					

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Risk: Failure to collect all income due to the council - council tax, business rates, rent, fines & Sundry Failure to calculate, record, bill and collect sums due to the council from taxpayers and businesses, rent due and car parking fines could have a negative impact on the Council's budget.					Risk Code: fin-RK-0158
Pure Status: High (12)		Pure Risk Impact: Serious	Pure Risk Likelihood: Very Likely		
Residual Status: Medium (6)		Residual Risk Impact: Serious	Residual Risk Likelihood: Unlikely		
Service: Finance					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Audit Regime	Internal and external audit review and testing to ensure controls are operating effectively.	Libby Jarrett	31/03/2017	05/05/2021
Working and Effective	Collection routines	The effectiveness of differing collection routines be kept under review with resources to be used in the most efficient manner, maximising collection via direct debt.	Libby Jarrett	31/03/2012	05/05/2021
Working and Effective	Ensure debts due are promptly collected	Each system covering debt recovery will raise a bill to the correct individual or business and have a systems in place to take recovery action as appropriate for non payment.	Libby Jarrett	02/10/2009	05/05/2021
Working and Effective	Ensure debts due are properly recorded	The council has systems in place to record the different areas of debt; Council Tax, Business Rates, Council House Rents and Car Park Fines. Each of these systems will have controls	Libby Jarrett	02/10/2009	05/05/2021
Working and Effective	Ensure that any write-offs or credits are correctly applied	Systems and controls are in place to ensure the write off of debt or credits applied to bills are correct and authorised appropriately.	Libby Jarrett	02/10/2009	05/05/2021
Working and Effective	Performance Monitoring	Individual and collective performance will be monitored, discussed at officer performance review meetings with overall performance being reported to members.	Libby Jarrett	30/10/2009	05/05/2021
Working and Effective	Segregation of duties	Segregation of duties aims to prevent fraud and error by dividing tasks and associated privileges for a process between staff. In small teams (eg NNDR and Council) it is recognised that this objective can be difficult so other checks are implemented such as senior officers reviewing sample changes etc.	Libby Jarrett	08/02/2010	05/05/2021
Responsible Officer: Simon Davey, Libby Jarrett					
Review Note:					

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Risk: If the Council does not have adequate insurance in place losses incurred could not be accommodated If the Council does not have adequate insurance in place there is a risk that losses incurred could not be accommodated within financial reserves held by the Council.					Risk Code: fin-RK-0159
Pure Status: Low (4)		Pure Risk Impact: Significant	Pure Risk Likelihood: Unlikely		
Residual Status: Low (4)		Residual Risk Impact: Major	Residual Risk Likelihood: Remote		
Service: Finance					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Ensure all appropriate assets and Liabilities are identified and covered	As part of an annual process services will be contacted to ensure all assets and liabilities are identified.	Simon Davey	31/03/2017	05/05/2021
Working and Effective	Ensure insurance policies in place and renewed annually	Service level agreement in place with Teignbridge District Council to cover this function. Procedures are in place for reporting incidents by staff and public. Liaison with Health and Safety officer re staff and public safety.	Simon Davey	30/08/2011	05/05/2021
Responsible Officer: Simon Davey					
Review Note:					

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Risk: Business Rate Retention Scheme for local authorities From 01/04/13 the Council will retain 50% in business rate growth (subject to a 50% levy) or if there is a reduction it will have to meet 50% of the loss. The financial risk of growth or decline is now held at a local level rather than smoothed out at a national level. There are many factors outside the authorities direct control that influence this position.					Risk Code: fin-RK-0174
Pure Status: High (12)		Pure Risk Impact: Major	Pure Risk Likelihood: Likely		
Residual Status: Medium (9)		Residual Risk Impact: Serious	Residual Risk Likelihood: Likely		
Service: Finance					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Ensure appropriate reserves are in place	It will be ensured that the Council will maintain appropriate reserve levels to accommodate any unforeseen losses in income. Also a prudent approach has been taken in budgeting the Business Rate income available to the Council and a separate Business Rate volatility as been established.	Simon Davey	21/09/2012	05/05/2021
Working and Effective	Maximise receipts	We are in a Devon Pool in order to maximise receipts to the Council	Simon Davey	21/09/2012	05/05/2021
Working and Effective	Proactive Monitoring	We will be closely working with NNDR Team, Planning and the Valuation Office to ensure we have early warnings of movements in business numbers or valuation details. We closely monitor NNDR gross debit compared with the budget and collection rates to ensure the Council gets an early warning of variations which may effect the Council's financial position.	Simon Davey	21/09/2012	05/05/2021
Responsible Officer: Simon Davey					
Review Note: This is an important income stream to the Council and the Government are looking to rebase resulting in a significant loss of growth income to the Council. This is now likely to be delayed and another year (2023/24) but it an unknown hence a higher risk.					

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Risk: New Homes Bonus Grant The Council's income now relies on income from new homes bonus monies which is directly related to new house building in the district. There is a risk of lower growth than estimated

Risk Code: fin-RK-0183

Pure Status: High (12) **Pure Risk Impact: Major** **Pure Risk Likelihood: Likely**
Residual Status: Medium (9) **Residual Risk Impact: Serious** **Residual Risk Likelihood: Likely**

Service: Finance

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Council is aware of the importance of this income stream	Officers involved in housing delivery appreciate the link to homes bonus.	Simon Davey	31/03/2017	05/05/2021
Working and Effective	Non over reliance of NHB income	The Council's budget for day to day service delivery is only met in part from this income with the Council holding a Reserve to mitigate the loss in this income allowing a two year period to reshape its budget.	Simon Davey	28/05/2014	05/05/2021
Working and Effective	Sensible estimate of NHB income	A prudent view is taken in projecting the level income that is to be received. A reasonable estimate can be made of growth in Cranbrook which is one of the main contributors to growth in our district.	Simon Davey	28/05/2014	05/05/2021

Responsible Officer: Simon Davey

Review Note: The Government has consulted on the future of this scheme which is an important income stream therefore future funding levels are unknown.

Risk: Fraud re housing grants Without appropriate controls on approving grants and monitoring budgets there is risk of fraud and to the Councils finances

Risk Code: HOU-RK-0040

Pure Status: High (12) **Pure Risk Impact: Serious** **Pure Risk Likelihood: Very Likely**
Residual Status: Low (4) **Residual Risk Impact: Significant** **Residual Risk Likelihood: Unlikely**

Service: Housing

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Capital expenditure monitoring	Capital expenditure monitoring is carried out through the capital expenditure monitoring group	John Golding	01/10/2009	05/05/2021
Working and Effective	Monitoring of grant approvals	Procedures for approving individual grants in place to identify fraud and errors	John Golding	01/10/2009	05/05/2021

Responsible Officer: John Golding

Review Note: The systems in place are constantly monitored this ensures that any fraudulent active will be picked up quickly. Periodic audits are undertaken by SWAP.

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Risk: Home Safeguard system failure An IT failure would result in the Council being unable to receive emergency calls from clients with Home Safeguard alarm equipment installed in their homes. This could result in emergency calls remaining unanswered and the worst case scenario of a death of an elderly or vulnerable client.					Risk Code: HOU-RK-0043
Pure Status: High (16)		Pure Risk Impact: Major	Pure Risk Likelihood: Very Likely		
Residual Status: Medium (8)		Residual Risk Impact: Major	Residual Risk Likelihood: Unlikely		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Disaster recovery process	Ability to transfer calls to Exeter City Council's call centre in Exeter.	Sue Bewes	01/10/2009	05/05/2021
Working and Effective	Maintenance contract	Contract with software supplier with 4 hour response time.	Sue Bewes	01/10/2009	05/05/2021
Working and Effective	Staff trained on system failure	Staff manual and training provided for staff to action in an emergency	Sue Bewes	01/10/2009	05/05/2021
Working and Effective	Upgraded / New UPS system	Upgrade and installation of new UPS system at same time as PNC6 system installed to ensure no break in service/availability in power/back up is experienced.	Sue Bewes	28/10/2009	05/05/2021
Working and Effective	UPS system	Uninterrupted Power Supply installed	Sue Bewes	01/10/2009	05/05/2021
Responsible Officer: Sue Bewes					
Review Note:					

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Risk: Loss of rental income Significant loss or non collection of rental income will have a major impact on the Housing Revenue Account and our ability to deliver housing services to our tenants. **Risk Code: HOU-RK-0045**

Pure Status: High (12) **Pure Risk Impact: Serious** **Pure Risk Likelihood: Very Likely**

Residual Status: Medium (9) **Residual Risk Impact: Serious** **Residual Risk Likelihood: Likely**

Service: Housing

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Intervention when arrears occur	Clear and robust procedures for intervention when tenant arrears escalate beyond a specified level.	Sue Bewes	28/10/2009	05/05/2021
Working and Effective	New tenancy 'sign up'	Early guidance to new tenants on expectations for rent payments and the implications of non payment. Tenant Handbook and Systems Thinking redesign emphasises this approach.	Sue Bewes	02/10/2009	05/05/2021
Working and Effective	Procedures for income management	Comprehensive and up to date procedures for income management that staff are trained in and understand fully.	Sue Bewes	28/10/2009	05/05/2021
Working and Effective	Promote help that can be provided	Promote Credit Unions and use of Discretionary Housing Payments	Sue Bewes	31/03/2013	05/05/2021
Working and Effective	Provision made for increased bad debt	Provision made for increased bad debt	Sue Bewes	31/03/2013	05/05/2021
Working and Effective	Rent payment methods	Operating a number of payment methods for tenants including direct debit availability for all tenants.	Sue Bewes	28/10/2009	05/05/2021
Working and Effective	Segregation of duties	Annual audit reports refer to segregation of duties (rent collection and debt creation) and this is a mitigated risk in a small Rental Section where existing controls attempt to prevent fraud.	Sue Bewes	12/05/2010	05/05/2021
Working and Effective	Systems Thinking Regime	Tenant Handbook and Systems Thinking redesign.	John Golding	02/10/2009	05/05/2021
Working and Effective	Welfare Advisors appointed	Welfare Advisors appointed to provide advice and information to tenants	Sue Bewes	31/03/2013	05/05/2021

Responsible Officer: Sue Bewes

Review Note:

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Risk: Failure of Responsive Repairs contractor Failure of performance under the Partnering Agreement by one of our responsive repair contractors leading to an inability to perform day to day repairs to tenants homes.				Risk Code: HOU-RK-0046	
Pure Status: High (12)		Pure Risk Impact: Serious	Pure Risk Likelihood: Very Likely		
Residual Status: Medium (9)		Residual Risk Impact: Serious	Residual Risk Likelihood: Likely		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Ability to transfer work between contractors	Any difficulty with contractors can be resolved by utilising the other partner.	John Golding	02/11/2009	05/05/2021
Working and Effective	Contract conditions	Adherence to the contract conditions and close liaison with contractors.	John Golding	02/10/2009	05/05/2021
Working and Effective	Contract performance monitoring	Regular and comprehensive contract monitoring and use of satisfaction surveys. Tenants involved in contract monitoring.	John Golding	02/10/2009	05/05/2021
Responsible Officer: John Golding					
<p>Review Note: The current Integrated Asset Management contractor has mobilised effectively and entered a period of struggling to maintain acceptable performance. An Improvement Plan has been put in place and has improved performance. Our partners appears financially sound and we undertake periodic checks. The pandemic has impacted on cashflow.</p> <p>Our risk has increased by working exclusively with one contractor, so more frequent checks on their financial health will be performed.</p>					

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Risk: New-Build Council Homes The risks associated with being a developer of council homes, especially with regards potential abortive costs, cost overruns, failure to obtain planning permission and loss of HCA grant. **Risk Code: HOU-RK-0047**

Pure Status: High (16) **Pure Risk Impact: Major** **Pure Risk Likelihood: Very Likely**

Residual Status: Medium (9) **Residual Risk Impact: Serious** **Residual Risk Likelihood: Likely**

Service: Housing

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
in Planning / Progress	Development expertise	Ensure that we have the necessary development expertise through the appointment of external consultants and we engage appropriate internal advice on planning, legal, and property matters.	John Golding	02/10/2009	05/05/2021
in Planning / Progress	Homes and Community Agency (HCA) bids and grants	Ensure that we can comply with all the bidding requirements set by the HCA as part of the Investment Management System.	John Golding	02/10/2009	05/05/2021
Completed	Joining Partnership South West development consortium	Can call on development expertise of experienced housing association developers.	John Golding	15/09/2011	05/05/2021
Working and Effective	Robust development proposals	Ensure that building proposals have been carefully assessed and realistic prior to bids for HCA grant, planning permission, tender etc.	John Golding	02/10/2009	05/05/2021

Responsible Officer: John Golding

Review Note: We attempt to de-risk projects by careful analysis and accurate costings with contingencies. We have officers with experience in development project appraisal and financial viability assessments. We are likely to undertake more projects as this is a priority for the council, although we need to prioritise compliance (tenant safety) spend and climate change investment, which leaves limited capacity to undertake development.

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Risk: A major homelessness incident Major homeless incident caused through fire, flood or some other major incident that stretches our resources and ability to house a large number of homeless households at one time.			Risk Code: HOU-RK-0048		
Pure Status: Medium (8)		Pure Risk Impact: Major	Pure Risk Likelihood: Unlikely		
Residual Status: Medium (8)		Residual Risk Impact: Major	Residual Risk Likelihood: Unlikely		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Devon County Council	There is a relationship between East Devon District Council and the County when dealing with an emergency (their Emergency Planning Team), take over responsibility.	John Golding	02/11/2009	05/05/2021
Working and Effective	Emergency and Rest Centre Plan	Follow the guidance provided in the Emergency Plan and plan for establishing a Rest Centre during a major incident.	John Golding	02/10/2009	05/05/2021
Working and Effective	Out of hours contact	Ensure that Home Safeguard have the necessary contact details for emergencies that occur outside normal office hours and that key staff are contactable.	John Golding	02/10/2009	05/05/2021
Working and Effective	Training for an emergency	Ensure staff likely to be called are familiar with what is expected of them during a major emergency.	John Golding	02/10/2009	05/05/2021
Responsible Officer: John Golding					
Review Note: Emergency Rest Centre Plan produced and adopted to sit alongside the Emergency Plan and response. Some experience in the team in dealing with emergency incidents and training undertaken by the Service managers.					

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Risk: Safeguarding Children Failure to notify the responsible authority when staff suspect a child is at risk.		Risk Code: HOU-RK-0049			
Pure Status: High (12)	Pure Risk Impact: Major	Pure Risk Likelihood: Likely			
Residual Status: Medium (9)	Residual Risk Impact: Serious	Residual Risk Likelihood: Likely			
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Email reminder from Strategic Lead	Following the audit review of the Council's arrangements for safeguarding the Strategic Lead sends global email reminding staff to be vigilant and apply the adopted policy.	John Golding	02/11/2009	05/05/2021
Working and Effective	Liaison with the Children's Trust	Close liaison and joint working with the Children's Trust and Social Services to ensure that we are up to date with developments in child protection.	John Golding	02/10/2009	05/05/2021
Working and Effective	Safeguarding Children Policy	Ensure that all staff are aware of the policy and their responsibility to report suspicions of the need for child protection.	John Golding	02/10/2009	05/05/2021
Working and Effective	Staff training	DVD training available	John Golding	02/11/2009	05/05/2021
Responsible Officer: John Golding					
Review Note: Our Safeguarding Policy identifies the actions we need to take as an organisation where we consider a person is at risk. This is backed up by procedures and guidance. Relies on being vigilant and acting on safeguarding concerns.					

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Risk: Safeguarding adults A failure to take action when staff suspect a case of abuse of older people having regard to our Safeguarding Older People policy.				Risk Code: HOU-RK-0050	
Pure Status: High (12)		Pure Risk Impact: Serious	Pure Risk Likelihood: Very Likely		
Residual Status: Medium (9)		Residual Risk Impact: Serious	Residual Risk Likelihood: Likely		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Devon County 'Pathways'	Introduced a TAP (tenant assessment process) for all residents in sheltered housing.	Sue Bewes	28/10/2009	05/05/2021
Working and Effective	Risk Assessments	Review and update Support Plans and Risk Assessments for all residents receiving nursing related support on an annual basis.	Sue Bewes	02/10/2009	05/05/2021
Working and Effective	Safeguarding Older People Policy	Ensure all staff are aware of the adopted policy for spotting, reporting and dealing with suspected abuse situations.	Sue Bewes	02/10/2009	05/05/2021
Working and Effective	Scheme Manager's Procedure Manual	All Scheme Managers are provided with a handbook/procedure manual to guide them	Sue Bewes	28/10/2009	05/05/2021
Working and Effective	Training 'POVA' provided by Devon County Council	All staff who are in direct and indirect contact with vulnerable people to receive the POVA training with updates every three years through DCC Training Programme.	Sue Bewes	28/10/2009	05/05/2021
Responsible Officer: Sue Bewes					
Review Note:					

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Risk: Lone working - Housing Service Failure to protect staff who are lone working in the community.			Risk Code: HOU-RK-0051		
Pure Status: High (16)		Pure Risk Impact: Major	Pure Risk Likelihood: Very Likely		
Residual Status: Medium (8)		Residual Risk Impact: Major	Residual Risk Likelihood: Unlikely		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Bespoke Lone Working Arrangements	Each section within Housing have their own Lone Working procedures and practices.	Andrew Mitchell	28/10/2009	05/05/2021
Working and Effective	Health & Safety Advisor	The Council has an officer dedicated to ensuring the Health & Safety of Employees who gives advice where necessary.	Andrew Mitchell	28/10/2009	05/05/2021
Working and Effective	Home Safeguard monitoring of lone workers	The lone worker monitoring facility through the PNC6 system at Home Safeguard.	Andrew Mitchell	28/10/2009	05/05/2021
Working and Effective	Lone Working Policy and associated training	Ensure that all staff are aware of and follow the Lone Working Policy and procedures designed to protect their safety. Ensure all relevant staff attend training.	Andrew Mitchell	02/10/2009	05/05/2021
Responsible Officer: Sue Bewes					
Review Note:					

Risk: Failure to achieve Housing Strategy targets Housing Strategy not being 'fit for purpose' and/or targets and actions contained within the action plan are not delivered, damaging our reputation and the housing opportunities for residents.			Risk Code: HOU-RK-0056		
Pure Status: High (12)		Pure Risk Impact: Major	Pure Risk Likelihood: Likely		
Residual Status: Low (4)		Residual Risk Impact: Significant	Residual Risk Likelihood: Unlikely		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
No Data available	Assign actions to lead managers	Individual managers are responsible for reporting progress on key actions.	Andrew Mitchell	02/10/2009	05/05/2021
No Data available	Monitoring performance	Clear monitoring regime in place for monitoring compliance with the actions within the timescales and milestones stated in the Housing Strategy.	Andrew Mitchell	02/10/2009	05/05/2021
No Data available	SPAR.net monitoring	Individual managers assigned responsibility for reporting on progress in respect of key actions.	Andrew Mitchell	02/10/2009	05/05/2021
Responsible Officer: Andrew Mitchell					
Review Note:					

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Risk: Failure to provide accurate or helpful housing/homelessness advice Erroneous or incorrect housing advice given which could result in a tenant or owners losing their home and/or the Council failing to fulfil its legal duties. This could result in adverse publicity and/or legal action, or an Ombudsman complaint upheld against us.					Risk Code: HOU-RK-0069
Pure Status: High (12)		Pure Risk Impact: Serious	Pure Risk Likelihood: Very Likely		
Residual Status: Low (4)		Residual Risk Impact: Significant	Residual Risk Likelihood: Unlikely		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
No Data available	Procedures	Ensure that clear procedures and good practice advice is available and accessible by staff working in the field.	Andrew Mitchell	05/10/2009	05/05/2021
No Data available	Scrutinise decisions	Managers to regularly scrutinise decisions made by staff and sample check advice being provided.	Andrew Mitchell	05/10/2009	05/05/2021
No Data available	Staff supervision	Ensure that staff are properly supervised and can call on a manager for advice and support.	Andrew Mitchell	05/10/2009	05/05/2021
No Data available	Staff training	Ensure that housing staff who give advice undergo comprehensive training on the legal framework they are operating within, case law and housing options.	Andrew Mitchell	05/10/2009	05/05/2021
Responsible Officer: Andrew Mitchell					
Review Note: EDDC are meeting it's legislative obligations by operating an accessible housing and homelessness advice service, full details of how to access the service are included in the EDDC website					

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Risk: Maintain a Housing Register Comply with the legislation and guidance in respect of access to housing through a Housing Register.			Risk Code: HOU-RK-0070		
Pure Status: High (12)		Pure Risk Impact: Serious	Pure Risk Likelihood: Very Likely		
Residual Status: Low (2)		Residual Risk Impact: Significant	Residual Risk Likelihood: Remote		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Devon Home Choice	Work in partnership with other local authorities and Registered Social Landlords to ensure compliance with government guidance.	Andrew Mitchell	05/10/2009	05/05/2021
Working and Effective	Policy and procedures	Ensure that documented policy and procedures are in place and regularly reviewed.	Andrew Mitchell	05/10/2009	05/05/2021
Working and Effective	Staff training	Ensure that staff are fully trained in the management and administration of the housing register.	Andrew Mitchell	05/10/2009	05/05/2021
Responsible Officer: Andrew Mitchell					
Review Note: The Devon Home Choice (DHC) system continues to be an effective and transparent mechanism to allocate accommodation. The DHC Partnership is working and effective, with regular participation from staff at EDDC at both the DHC operational and management board meetings.					

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Risk: Failure to protect against tenancy fraud Failure to protect the council and its existing and prospective tenants against tenancy fraud, which may be the granting of a property to an inappropriate person or where a tenant illegally sublets.					Risk Code: HOU-RK-0091
Pure Status: High (12)		Pure Risk Impact: Serious	Pure Risk Likelihood: Very Likely		
Residual Status: Medium (9)		Residual Risk Impact: Serious	Residual Risk Likelihood: Likely		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Occupancy checks on tenants in temporary and general accommodation	Periodic and targeted occupancy checks undertaken to determine the appropriate occupier is residing in the property.	Sue Bewes	13/10/2009	05/05/2021
Working and Effective	Social housing fraud initiative	Subscribing to the national fraud prevention initiative and following Audit Commission advice.	Sue Bewes	13/10/2009	05/05/2021
Working and Effective	Tenancy Fraud Strategy	Strategy agreed by the Housing Review Board to be implemented.	Sue Bewes	04/05/2011	05/05/2021
Working and Effective	Tenancy 'sign up' checks	Undertaking a series of checks on identity and circumstances at tenancy 'sign up' to ensure the tenancy is being grant to an appropriate person.	Sue Bewes	13/10/2009	05/05/2021
Responsible Officer: Sue Bewes					
Review Note:					

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Risk: Fraud re Rent Collection Lack of segregation of officers who create and collect debts gives rise to a potential for fraud.			Risk Code: HOU-RK-0137		
Pure Status: Medium (6)		Pure Risk Impact: Significant	Pure Risk Likelihood: Likely		
Residual Status: Medium (6)		Residual Risk Impact: Significant	Residual Risk Likelihood: Likely		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Internal procedures	Our adopted Rent Management procedures and management of the section attempts to minimise the risk of employee fraud. Accruing accounts are sent to Accountancy monthly to enable the General Ledger to be updated. Quarterly rent statements are sent to tenants who can verify payments on their accounts.	Sue Bewes	13/05/2010	05/05/2021
Working and Effective	Manual controls	There are manual controls in place that reconcile the following financial elements Housing Benefits from the Academy system interface, rent account payments on the interface from the cashiers system, the weekly rents and service charges debits that are raised weekly within Open Housing, Direct Debit payments and refunds of overpaid rent. Apart from Direct Debits and refunds all the other elements are reconciled weekly and Direct Debits and refunds are reconciled on a monthly basis.	Sue Bewes	13/05/2010	05/05/2021
Working and Effective	Open Housing software system	The Open Housing software contains a number of checks and reporting mechanisms that allow the administrator to check on usage. The system has full audit trails and any transaction within the system can be traced to the user.	Sue Bewes	13/05/2010	05/05/2021
Completed	Systems Thinking review	No change to patch working will be made until a Systems Thinking review has carefully assessed the implications for customers and good practice. Consultation will be undertaken before the current arrangements are changed.	Sue Bewes	13/05/2010	05/05/2021
Responsible Officer: Sue Bewes					
Review Note:					

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Risk: Loans taken out for self-financing Ability to repay debt on loans taken out under the self-financing regime introduced by the Localism Act					Risk Code: HOU-RK-0171
Pure Status: Medium (6)	Pure Risk Impact: Serious		Pure Risk Likelihood: Unlikely		
Residual Status: Medium (6)	Residual Risk Impact: Serious		Residual Risk Likelihood: Unlikely		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Business planning	Forward planning on main income and expenditure requirements	John Golding	02/11/2017	05/05/2021
Working and Effective	Set aside provision for repayment	Create a fund for the repayment of loans	John Golding	31/03/2013	05/05/2021
Working and Effective	Tracking Welfare Reform	We are following changes in legislation and keeping tenants informed.	John Golding	10/10/2013	05/05/2021
Responsible Officer: John Golding					
Review Note: We have created a robust Business Plan, including a Volatility Fund to help protect against future financial problems. The greatest threat at the moment is tenants experiencing poverty and Welfare Reform resulting in tenants reduction in benefit that prevents them paying their rent.					

Risk: Right to Buy Right to Buy sales differ from the predictions in the HRA Business Plan					Risk Code: HOU-RK-0172
Pure Status: Medium (6)	Pure Risk Impact: Significant		Pure Risk Likelihood: Likely		
Residual Status: Medium (6)	Residual Risk Impact: Significant		Residual Risk Likelihood: Likely		
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Cancel agreement with MHCLG on RTB spending commitment	Cancel the agreement with the MHCLG and repay receipts with interest.	John Golding	31/03/2013	05/05/2021
Not Effective	Costs could be reduced to maintain HRA viability	Costs could be reduced, probably in the major repairs area to ensure that the HRA maintains a surplus.	John Golding	31/03/2013	05/05/2021
in Planning / Progress	Loans could be increased to keep the HRA viable	Loans could be increased to ensure income is not compromised.	John Golding	31/03/2013	05/05/2021
Responsible Officer: John Golding					
Review Note: Right to Buy sales have continued to erode our housing stock as a result of changes to Government incentives on the level of discount offered potential/eligible purchasers. Sales are monitored closely and reported regularly to the Housing Review Board. Sales numbers are not undermining the Business Plan but we are keeping this situation under review. Spending RtB receipts is also carefully monitored as our attempt to replace some of the stock lost.					

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Risk: Unforeseen expenditure on council homes Unplanned need to spend on repairs and maintenance			Risk Code: HOU-RK-0173		
Pure Status: Medium (9)		Pure Risk Impact: Serious		Pure Risk Likelihood: Likely	
Residual Status: Medium (9)		Residual Risk Impact: Serious		Residual Risk Likelihood: Likely	
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	HRA Business Plan	The HRA Business Plan captures known items of major expenditure and is designed to maintain the Council's assets.	John Golding	31/03/2013	05/05/2021
Working and Effective	Improvement programmes	We devise five year improvement programme to ensure that the housing stock is fit for purpose.	John Golding	31/03/2013	05/05/2021
Completed	Insurance	Council homes are insured.	John Golding	31/03/2013	05/05/2021
Working and Effective	Stock survey information	We use stock condition information to predict major expenditure and plan spend over a number of years.	John Golding	31/03/2013	05/05/2021
Responsible Officer: John Golding					
<p>Review Note: We have seen weather related water penetration damage during previous winters. Compliance issues around asbestos, fire proofing, gas safety and legionella can highlight unplanned expenditure. Budget surpluses and reserves will allow for a certain amount of unforeseen expenditure. Additional funding on fire prevention works, lift replacement, and climate change has been budgeted for when the need for spend arises. The planned stock condition survey may reveal some unexpected costs in respect of catch up repairs.</p>					

Risk: Failure of a private water supply Contamination of a private water supply.			Risk Code: HOU-RK-0180		
Pure Status: Medium (9)		Pure Risk Impact: Serious		Pure Risk Likelihood: Likely	
Residual Status: Medium (6)		Residual Risk Impact: Significant		Residual Risk Likelihood: Likely	
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Advice	The Council provides advice to the owners of private water supplies.	John Golding	31/03/2013	05/05/2021
Working and Effective	Risk assessment	All private water supplies are being risk assessed and advice given to the owners.	John Golding	31/03/2013	05/05/2021
Working and Effective	Water supply sampling	A regime of water supply testing through sampling is in place.	John Golding	31/03/2013	05/05/2021
Responsible Officer: John Golding					
<p>Review Note: A testing regime is in place, but we are unable to control the quality of private water supplies. We advise and guide supply owners. We adhere to national guidance and good practice advice.</p>					

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Risk: Sheltered housing improvements Implement programme of upgrading sheltered housing and making 'fit for purpose'.				Risk Code: HOU-RK-0181	
Pure Status: Medium (6)		Pure Risk Impact: Significant		Pure Risk Likelihood: Likely	
Residual Status: Medium (6)		Residual Risk Impact: Significant		Residual Risk Likelihood: Likely	
Service: Housing					
Control Action records					
Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Funding availability	The HRA Business Plan and annual budgets contain identified budgets for this work.	Sue Bewes	31/03/2013	05/05/2021
Working and Effective	Tenant involvement	Tenants are consulted on the improvements planned.	Sue Bewes	31/03/2013	05/05/2021
Responsible Officer: Sue Bewes					
Review Note:					

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Risk: Failure to satisfy a compliance requirement Failure to maintain gas safety, fire risk, asbestos register, solid fuel servicing, and legionella testing to meet legal requirements. **Risk Code: HOU-RK-0203**

Pure Status: High (12) **Pure Risk Impact: Major** **Pure Risk Likelihood: Likely**

Residual Status: High (12) **Residual Risk Impact: Major** **Residual Risk Likelihood: Likely**

Service: Housing

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Annual gas servicing	Landlords gas appliances are serviced on a 11 month cycle to ensure that all appliances have a current LGSR certificate. OpenHousing and Liberty Gas schedules produced in advance of servicing deadlines and legal action taken where entry is refused. Boilers and appliances in communal building are included on the schedule.	John Golding	27/06/2017	05/05/2021
Working and Effective	Asbestos register	An Asbestos Register is maintained and made available to contractors. Asbestos surveys are undertaken on void properties and a programme is in place to cover all of the Housing Portfolio.	John Golding	27/06/2017	05/05/2021
Working and Effective	Fire Risk Assessments	All buildings with communal areas are subject to an annual Fire Risk Assessment undertaken by a competent person. Records are maintained and recommendations implemented.	John Golding	27/06/2017	05/05/2021
Working and Effective	Legionella testing	A programme of legionella testing is undertaken in voids and communal buildings, and advice provided to tenants.	John Golding	27/06/2017	05/05/2021
Working and Effective	Soild Fuel appliances	A schedule of annual servicing is performed on all solid fuel appliances. A contract is being let to ensure servicing meets our requirements.	John Golding	27/06/2017	05/05/2021
Working and Effective	Sufficient qualified staff	We require sufficient, qualified surveyors and property maintenance staff to ensure that we are fully compliant with the legal framework and good practice guidance arond buildig and tenant safety.	John Golding	11/03/2021	05/05/2021

Responsible Officer: John Golding

Review Note: We have adopted policies and procedures covering compliance issues, and contracts have been framed to ensure continuing compliance. This work is a priority for the Service. We have appointed a Compliance Manager who monitors programmes and raise alerts when problems occur. We have performance indicators showing the real time compliance position. There is a requirement to be constantly vigilant.

We need sufficient, suitably qualified staff in post and working to clear policies and programmes, to ensure compliance with building and tenant safety standards.