

Repairs service -redesign

| | | Impact | | | | |
|------------|---|--------|----|----|----|----|
| | | 1 | 2 | 3 | 4 | 5 |
| Likelihood | 5 | 5 | 10 | 15 | 20 | 25 |
| | 4 | 4 | 8 | 12 | 16 | 20 |
| | 3 | 3 | 6 | 9 | 12 | 15 |
| | 2 | 2 | 4 | 6 | 8 | 10 |
| | 1 | 1 | 2 | 3 | 4 | 5 |

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| Creation date | May-24 |
| Next review date | Nov-24 |
| Reviewed on | 01/10/2024 |

| No. | Risk Category | Risk Description | Current | | | Responsibility | Ownership | Mitigating measures | Residual | | | Next Review | Action required | Action owned by |
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| | | | Impact | Likelihood | Risk | | | | Impact | Likelihood | Risk | | | |
| 1 | Contract Management | The contract risk register has identified the procurement risk as 'medium' but this assessment only determines risks associated with financial assessment and payment during the procurement and during the contract. Given the complexity and importance of this contract, risks outside of the procurement need to be considered but are not. Ongoing management and oversight of the contract are just as important and needs to be considered as a high risk. Robust and coordinated contract management processes need to be established as this is one of the largest contracts in the Council. | 5 | 5 | 25 | WCC | 100% | 1) Upgrade the risk rating to 'high' ensure the appropriate level of action and approach is taken in terms of the Council's 'Contract Management Framework' https://www.wolverhampton.gov.uk/assets/attach/37964/Contract-Management-Framework-1.3-Nov-22.docx The TAC1 contract sets out clear requirements for how the contract should be managed, this includes monthly core group meetings and quarterly strategic core meetings. | 4 | 3 | 12 | | Follow procedures set out in the Contract Management Framework and set up corporately contract management forum to include key departments https://www.wolverhampton.gov.uk/assets/attach/37964/Contract-Management-Framework-1.3-Nov-22.docx Follow the remit of TAC1 | HRA, Procurement |
| 2 | IT | IT interface between contractors system and WCC's is not functional. Risk that repairs cannot be raised, data is lost, KPI results and management reports are inaccurate and cannot be relied on. | 5 | 5 | 25 | WCC | 100% | 1) Upgrade WCC's existing system (Orchard) 2) Ensure robust robust testing contractors systems in greater depth with WCC owing the data | 2 | 4 | 8 | | Undertake a full review of existing Orchard system and work with MRD to develop system that reflects similar operations within the sector Proceed with developing the principle of the contractor's system being the primary system. WCC to have absolute ownership and validation functionality of the data | WCC IT dept, Sarah Hobbs |
| 3 | Financial | Cost of delivering repairs in the new contract exceeds HRA revenue budget | 4 | 4 | 16 | WCC | 100% | 1) Undertake soft market testing based on WCC repairs data to ascertain what repairs model provides the best value. 2) Discuss cost drivers with incumbents and wider market. 3) Benchmark contractual levers in place to control cost. 4) Develop an understanding of a 'blended cost model' so there are no surprises? 5) Ensure robust information and cost control embedded in contract with appropriate risk apportionment. 6) Ensure robust contract management and cost monitoring employing specialist resource where necessary (ES) | 3 | 3 | 9 | | Complete an options appraisal and PIN of potential bidders and incumbent contractors | Andrew Donaldson/Jamie Butt |
| 4 | Data | 5 years of repairs categorised data is not sufficient to provide bidders with enough detail to estimate bidding in a high level of risk | 5 | 3 | 15 | WCC | 100% | Ensure that good data is provided and covers a broad spectrum | 4 | 1 | 4 | | Define a method to ensure that repairs data can be uploaded from Orchard/ Keynotes and effectively validated | Faiza Hassan, Heather Gibson |
| 5 | Procurement | Failure to meet the requirements of the Procurement Act 2023 update (2019) implementation of PA23 deferred until late Feb 2025, PCR 2015 (present regulation) to no apply | 3 | 2 | 6 | WCC | 100% | (1) Subject matter experts completed e-learning with certification obtained (2) Subject matter experts attending deep dives on PA 23 - June (3) Keep updated with and follow emerging guidance provided by Government Commercial dept. (4) Commission sector leading legal adviser | 4 | 1 | 4 | | Create a procurement plan Peer review - internal an external Ensure approvals obtained and set gateways Commission/Towers as the sector expert to ensure that procurement regs are applied correctly | Andrew Donaldson/Jamie Butt |
| 6 | Procurement | Lack of interest from bidders | 5 | 3 | 15 | WCC | 100% | 1) Conduct effective soft market testing 2) Ensure that the contract reflects the feedback from the soft market testing 3) Ensure that the PIN reaches suitable bidders. 4) Ensure that the contract provides enough interest to bidders | 2 | 1 | 2 | | Create a procurement plan PA23 deferred, procurement will now follow a tried and tested CO route via existing and well known Public Contract Regulations 2015 (PCR 2015) | Andrew Donaldson/Jamie Butt |
| 7 | Legal | Failure to review contract documents | 5 | 4 | 20 | WCC | 100% | Commission a third party legal firm | 3 | 1 | 3 | | In the event that WCC Legal Team do not have capacity to be able to review contract documents then WCC will need to commission an external legal firm Towers & Hamiltons to be commissioned | Andrew Donaldson/Jamie Butt |
| 8 | Process | Loss of key staff to include key operational staff involved in management of day to day operations | 5 | 3 | 15 | WCC | 100% | 1) Implement reporting process, project documentation and ensure accessibility and understanding of project by key stakeholders 2) Involve staff throughout the journey | 4 | 1 | 4 | | 1) Ensure that relevant WCC staff are regularly appraised and have knowledge of where process documents are retained 2) Ensure that project team members file relevant documentation in the SharePoint folder (see link to right) 3) Succession plan for staff who are known to be transferring or leaving the organisation 4) Develop a comms plan to update staff on progress | Andrew Donaldson/Jamie Butt |
| 9 | Policy | New policies are not implemented -Repairs Policy -Camp and Mutual Policy -Empty Homes Policy and standard -Disabled Adaptations policy -Recharge Policy | 4 | 1 | 4 | WCC | 100% | Ensure that relevant staff are aware of the policy content and create workshops to aid implementation | 3 | 1 | 3 | | Set up workshops and training sessions with relevant staff E-learning the with HR? | Andrew Donaldson |
| 10 | Corporate | Failure to meet deadlines to submit papers/reports for Economic Policy Committee and Housing Cabinet | 5 | 2 | 10 | WCC | 100% | Complete reports in good time | 3 | 1 | 3 | | Ensure that the data and information is as up to date and accurate as possible and write reports so that they meet the deadlines | Andrew Donaldson |
| 11 | H&S | Identification and management of materials containing asbestos (ACMs) | 5 | 5 | 25 | WCC | 100% | 1. WWC to ensure the Asbestos Register is maintained up to date 2. All survey information and removal records to be logged 3. Contractor's to have electronic access to the Asbestos Register at all times | 5 | 2 | 10 | | Ensure that WCC Asset system has suitable functionality to interface to contractors systems to ensure that operative have direct access to information of locality of asbestos in drawings and communal parts | WCC IT dept/Faiza Hassan |
| 12 | Operational | WCC Hub is ineffective in handling calls from residents | 5 | 5 | 25 | WCC | 100% | 1) Set up training workshops 2) Develop electronic diagnostic tool 3) Develop facility for photos from residents to be uploaded via Orchard 4) Ensure that the Hub has full visibility of contractors diary 5) Ensure the Hub operates as one team with all staff having ability to complete all tasks 6) Ensure that the Hub has effective management and leadership 7) MRD & WCC to assess and develop a list of viable upgrades to Orchard to improve capability BU/Use contractor's systems to aid the raising of jobs and appointments | 5 | 2 | 10 | | Undertake a full review of the Hub operation and implement change The contact centre is currently experiencing significant issues hence the likelihood has increased. RHM and Aps working with Tom Mann to recover this. Risk is developing a flagging process for identifying repairs responsibilities against various archetypes. | Yvonne Anderson |
| 13 | Engagement | Inability to recover costs from leaseholders due to breach of consultation procedures. Risk that recovery will be capped at £250 per leaseholder | 5 | 3 | 15 | WCC | 100% | Ensure that Section 20 leaseholder consultation is carried out effectively | 3 | 1 | 3 | | Conduct Section 20 consultation in line with regulatory requirements and within appropriate timescales | Andrew Donaldson |
| 14 | Operational | Ensure that the HRA stock list is accurate | 5 | 1 | 5 | WCC | 100% | WCC to review various property registers | 4 | 1 | 4 | | WCC to review various property registers and ensure that an accurate version is available | Faiza Hassan, Heather Gibson |
| 15 | Procurement | Legal challenge by bidders at any point during the process and during standard & barriers faced by SMEs | 5 | 3 | 15 | WCC | 100% | (1) Clear and transparent tender documents and adverts on process and evaluation (2) Use of best practice approaches and standard documents (3) Robust peer review of documents and process (internal / external legal, procurement and project board) (4) Benchmarking against similar projects internally and externally (5) All identified and potential unidentified bidders given preferred access to the same information in the portal, this includes any dialogue prior to advertisement and clarification questions. All questions from bidders to be published with a response as all can see (unless there is an agreed commercial reason not to disclose) (6) Due regard to barriers faced by SMEs, consideration in the procurers strategy, fair and proportional assessment, fair payment and contract terms with main contractors, a seat at the table (core group) (7) Clear guidance or evaluators inc residents-125 | 4 | 1 | 4 | | Clear and objective recording of decisions at each step, especially evaluation and moderation, concise and objective reasoning to be provided by the evaluation team for feedback letters with scrutiny of to ensure there are no contradictory or incorrect information given and is based entirely on the published criteria and submissions received - not based on prior knowledge or newly introduced methodology not disclosed prior to submission | All involved in evaluation, dialogue and preparation / review of tender documentation |
| 16 | Procurement | Outgoing Suppliers over reliant on WCC for business. Could create a serious drop in service for residents | 4 | 4 | 16 | WCC | 50% | 1) Early engagement with incumbents to share vision and considered options so make aware of potential change in commissioning strategy (early warning) | 5 | 3 | 15 | | 1) Early discussion and publication of intent | Andrew Donaldson/Jamie Butt |
| 17 | Conflicts of interest | Stakeholders have an association with bidders | 4 | 4 | 16 | WCC | 100% | Complete assessments of all relevant staff to ensure that there are no conflicts of interest | 4 | 1 | 4 | | 1) Create an assessment template and issue to all relevant staff and members | Andrew Donaldson/Jamie Butt |