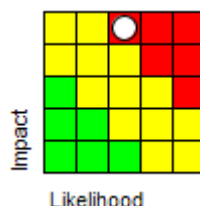


SHDC Strategic Risk Report inc Targets

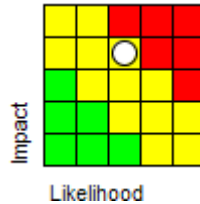
Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
Critical breach of ICT security	Attacks are happening with increasing frequency at present. Ransom and theft specialists are targeting banking details and personal information, as with all other government systems and private companies	25	There is a comprehensive suite of protection measures in place including email filtering, web filtering, antivirus and windows updates which help to protect from viruses	15	5	3	↑	<p>Risk upgraded in the short term due to intelligence coming from the National Cyber Security Centre regarding increased threat from Russia.</p> <p>However, the ICT team continue with activities to aid in the prevention of critical breaches such as patching of servers and applications, patching of Wi-Fi infrastructure in line with latest threats and recommendations, patching of the Firewalls and Proxy servers, user guidance and training on security best practice, compliance to PSN standards and certificate obtained</p>	17 Apr 2018	4	2



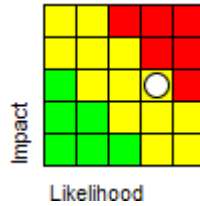
Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
								and continued work with DPO to reduce exposure from GDPR requirements.			
Medium Term Financial Plan Not Delivered	The Medium Term Financial Plan includes a balanced position which is dependent on delivery of further savings	12	There are a number of controls in place to track delivery including transformation board, Performance, Risk & Audit Board & Finance Board. PI's are tracking variance from plan	12	4	3	▬	Mitigation continues with a number of boards tracking progress and monitoring delivery of the financial plan	09 May 2018	3	2
Uncertainty over future government funding settlement	Government funding reductions due to a weakening of the economy may be experienced during the period of the MTFP	12	4yr MTFP sets out programme to be free of reliance on RSG by 2019. Setting investment funds, commercial property and growth to ensure continued income. Star chamber exercises and constant forward looking reviews will be undertaken.	12	4	3	▬	Risk remains the same as we continue to work towards being free of reliance of the RSG by 2019	09 May 2018	2	2

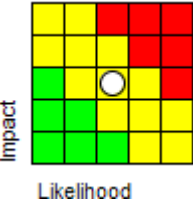

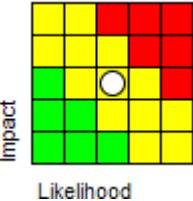

Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
Impact of business rate appeals	Business rate retention policy changes leave the council exposed to risks on collection and baseline income.	20	Financial provision has been made to cover the risk of current appeals, collection rates and growth	12	3	4	↑	An increase in the likelihood is reported this quarter following the appeal that has been lodged by NHS services who want to see a reduction in the amount of business rates they have to pay. The impact of this will be evaluated once the decision has been made.	09 May 2018	2	2
Failure to maximise trading opportunities	Failure to maximise trading opportunities could result in lack of commercial exploitation of assets or income from trading arms	9	Governance is in place for MTFP through transformation board, finance board and Performance Risk and Audit Board which monitor the work towards maximising trading opportunities	12	4	3	→	Risk score is the same as the previous quarter with the Environmental Health trading arm continuing to deliver its business model and looking to achieve its projected income	09 May 2018	2	2
Staff recruitment and retention at all levels within the organisation	Staff recruitment and retention issues could undermine the effectiveness of the organisations though loss of experience and knowledge	15	The mitigation for key senior posts that are vacant or serving their notice period will be to start recruitment and find suitable interim cover.	12	3	4	→	At the end of Quarter 4, staff turnover was higher than Q3 but lower than Q2 when turnover was particularly high during the Place Review. In the majority of work areas, the posts which	12 Apr 2018	2	2

Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
								have been advertised have been filled with the exception of some key specialist posts which at the time of writing are currently being advertised.			
General Data Protection Regulation Implementation	With the implementation of the General Data Protection Regulation, which replaces the Data Protection Act of 1998, there is a risk that the council will not manage its data appropriately and in line with the new regulations.	16	Monthly meetings of the statutory information group have highlighted areas which need to be addressed and training was delivered in September for managers and proposed service Data Protection leads.	12				Mitigation measures include monthly SIG meetings, appointment of the Information Governance Officer (from 14 May) and we are also investigating extending our insurance. Work on our Information Assets Register is largely complete and a template privacy notice is about to be rolled out to Data Champions to be used to notify data subjects of how their data is being. E-Learning has now been rolled out to all staff.	09 May 2018	2	2

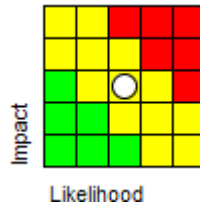


Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
Impact of Homelessness Reduction Act	The implementation of the new act places additional burdens on SHDC which may mean a reduced ability within the service to adhere to the act due to an unpredictable increase of persons approaching the housing options service. Capacity may be impacted by increased volumes of homeless applications, increased time needed to manage each case in order to fulfil the requirements of the new legislation and risk that the expansion of the duty could lead to a serious shortfall in available temporary housing options to accommodate homeless individuals and families	12	<ul style="list-style-type: none"> Implementation of specialist Jigsaw Software to case manage under provisions of HRA 2017 Increase in establishment of Housing Options Officer in SHDC as part of Place Review Additional experienced temporary staff from February 2018 to triage cases Increase of admin support to Housing Options Team to better utilise specialist staff to focus on complex cases Training in new duties to be ongoing (initial joint SHDC/BDC training held in January 2018) Utilisation of £62k New Burdens 	12	3	4	↑	Early working of the new duties imposed by the Act is showing the build-up of a backlog. Steps were taken in the planning but at 6 weeks into the Act these are being revised with potential resource implications to mitigate the risk	02 May 2018	3	2



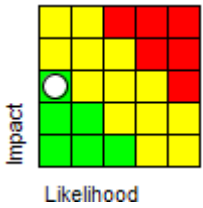
Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood	
			funding <ul style="list-style-type: none"> • Identification of options within SHDC stock • Identification of private sector options within both districts • Work with partners to open other potential options 									
Impact of County Council Budget Reductions	Impact of County Council Budget Reductions. This will potentially impact on resident wellbeing.	9	Ensure that Place directorate are involved early in conversations to represent the council and its residents	9		3	3		County budgets continue to be under severe pressure, we continue to monitor this	09 May 2018	2	2
Failure to deliver financial & non-financial outcomes of the approved Welland Homes business	Failure to deliver financial & non-financial outcomes of the approved business plan has implication in areas which include Legal, reputational and Financial. Risk also refers to capacity and expertise in the	8	Mitigations as follows; <ul style="list-style-type: none"> • Revised governance including strengthened terms of reference. • Improved communication on Council policies to the WH Board. 	9		3	3		No change to score for this quarter as we continue to deliver the business plan. The properties currently rented have received 100% of rent due to date.	09 May 2018	2	2

Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
plan	organisation to deliver the housing development requirement for both the HRA and Welland Homes.		<ul style="list-style-type: none"> Increased operational capability and capacity within Council to support future programmes and WH Board of Directors. Permanent Housing Development programme manager Positive Audit Established methodology for assessing schemes 								
Contracts Monitoring	This risk covers the councils monitoring of contracts with external partners to ensure arrangements are financially secure and performing	16	Regular monitoring of contracts. Regular communication with external partners and stakeholders Keep up to date with external changes with partners	9	3	3	↓	Through spend analysis with finance the contracts team are ensuring the contracts register is fully maintained to provide assurance. Increased due diligence at the start of contracts also ensures better contract monitoring		2	3



Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
CPBS Failure to deliver core services	CPBS Failure to deliver core services - HR/IT/Finance/Revenues & Benefits	12	Number of Governance processes in place including monitoring of performance in performance, risk and audit board. CPBS also has its own board with governance.	8	4	2	—	Offers have now been made to the 2 vacant roles within Finance. Pre-employment checks are being carried out before confirming a start date. Update 23 April 2018 - 1 vacancy mentioned above, Senior Finance BP, is again vacant - currently out to advert with an interim currently filling the post	23 Apr 2018	2	2
Publication of gender pay gap under transparency legislation	The evolution of Transparency legislation will mean a requirement to publish the gap between male and female earnings within pay bandings. This could lead to increased scrutiny from the unions which may trigger a Unison audit. The collateral effect of the risk coming to fruition would be around reputational damage and legal ramifications of potentially	12	The mitigation for this is to proactively establish i) if there is a gender based pay gap within job roles and ii) to identify funding to cover any liability in this area should liability be identified. The Council advocates equitable and fair treatment of its employees and would not wish to perpetuate any such discrepancy.	6	2	3	—	Submission completed - agreed by Full Council, published on the SHDC website and figures submitted on Gov. website	12 Apr 2018	2	2

Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
	backdated claims from workers.										
Failure to deliver the council's Corporate Priorities	Would lead to missed targets and failure to deliver objectives and may result in the Council suffering reputational damage and a failure to deliver priorities to residents.	4	Corporate Delivery Plan sets out how to achieve corporate plan and this is underpinned by individual service plans and these are monitored at Performance, Risk & Audit Board monthly	4	2	2	—	Risk remains unchanged as the Corporate improvement and performance team continue to monitor and work with staff towards achieving the corporate priorities. The annual refresh of the Corporate Plan and associated service level delivery plans has now been completed and the performance framework refresh to ensure performance monitored in line with corporate objectives	09 May 2018	2	2
Failure to deliver Local Plan and its Delivery Plan	Failure to deliver Local Plan and its Delivery Plan - reputational and financial risk due to possible Secretary of State intervention. There is also a new risk emerging due to New Homes Bonus.	8	Dedicated senior officer and EMT support to deliver the local plan	4	4	1	—	The Local Plan was submitted for Examination in summer 2017. The oral hearings that have been taking place since October 2017 have now concluded and the next step is to undertake a period of 6 weeks public consultation on the	03 May 2018	4	3

Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
								modifications to the plan put forward during the hearings. Once this period of consultation is complete, the Inspector will be able to finalise the report into the soundness of the Plan. Therefore, whilst the examination of the plan is still ongoing albeit significantly advanced, it remains appropriate to leave the impact and likelihood scores unchanged at this time.			
Failure to effectively implement corporate business continuity plan	Failure could lead to an impact on delivery of services, loss of IT systems, ineffective communication or a failure to provide suitable premises	4	Working jointly with County to have business continuity post. Each team has a plan reviewed annually	3 	3	1	—	Recruitment has been successful with the new person in post	09 May 2018	3	1

Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
Staff recruitment and retention within the shared services arrangement	This risk focuses on the recruitment and retention of staff within the shared management arrangement between Breckland and South Holland	12	A number of mitigations are being considered including - methods and channels of recruitment. Review and reshape our rewards packages. Understand the profile of the organisation. Develop organisational values and culture. Support new starters and flexible working. Development and career planning and flexible retirement options	9	3	3	↓	There has been successful recruitment of 2 Executive Managers from internal candidates	09 May 2018	2	1

