

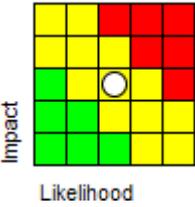
SHDC Strategic Risk Report inc Targets



Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Target Impact	Target Likelihood	Latest Note	
Medium Term Financial Plan Not Delivered	The Medium Term Financial Plan includes a balanced position which is dependant on delivery of further savings	12	There are a number of controls in place to track delivery including finance board, Performance, Risk & Audit Board & EMT. PI's are tracking variance from plan	12		4	3	—	3	2	Risk and Likelihood remain the same until the outcome of future government settlement and business rates review.
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 are now underway.	12		4	3	—	2	2	Risk and Likelihood remain the same as there has been no further indication as to the outcome of the funding settlement
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	—	2	2	We are in the same position as last quarter on this risk as it remains slightly elevated this quarter due to the appeal that has been lodged by NHS services

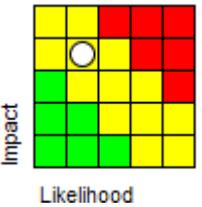
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										who want to see a reduction in the amount of business rates they have to pay ongoing and still progressing. Once complete the impact of this risk will be evaluated once the decision has been made.		
Impact of Homelessness Reduction Act	The 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	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 	12			3	4		3	2	<p>The risk continues to be reviewed on an ongoing basis by the Housing Options Manager. The numbers of applicants remains consistent - the shortfalls in team capacity have now been addressed with recruitment complete for all posts.</p> <p>The processes have been updated and the speed in handling cases through these is improving as front line operational staff have adapted and built the appropriate networks. The knowledge base required for the role is in-depth and therefore training is on-going for the team. The risk level</p>

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	serious shortfall in available temporary housing options to accommodate homeless individuals and families		(initial joint SHDC/BDC training held in January 2018) <ul style="list-style-type: none"> Utilisation of £62k New Burdens funding Identification of options within SHDC stock Identification of private sector options within both districts Work with partners to open other potential options 							has not changed.	
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	10		5	2		4	2	CPBS on behalf of its clients continues its vigilance. In order to keep abreast of the latest threats, ICT subscribe to various Security related bulletins, such as SANS / CESG / WARP. The recent introduction of a dedicated Security Analyst role has helped CPBS develop new standards and processes to combat the increasing threats from cyber attacks. The recent swift PSN

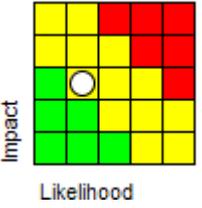
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										<p>certification of the Council has demonstrated the benefits of this role.</p> <p>Whilst a security breach will always be a possibility is today's environment, SHDC have a level of defence in depth which operates levels of security from the perimeter to the end user devices. It should be confident of the considerable investment and enhancements made in this area over previous years. The impact of any such breach will always remain high/critical due to the possible disruption to statutory services.</p>
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		2	2	No change to risk or likelihood due to budget reductions from county council being linked to business rates review and future government settlement. Once further is known about the outcome of these issues, risk and

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										likelihood can be altered accordingly	
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.	9		3	3		2	2	Impact reduced slightly following on from the completion of team privacy notices and Information Asset Registers. A Project Plan has been created and is being followed. 'Reasonable Assurance' has been received through Audit. Additional Terms and Conditions for contractual obligations are being forwarded to suppliers.
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		2	3	The status for this risk remains the same, there have been no incidents to note with existing contracted suppliers or service providers which the team continues to monitor closely. In addition the service continues to maintain a watching brief in relation to Brexit developments and what impact this may have on our contracted

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										supplier supply chains.
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	■	2	2	<p>Regular meetings are being held with the Service head at CPBS between both the client lead and service manager, to manage any performance issues.</p> <p>Both a corporate and service specific SLA's have been agreed for 2019-20. Which aligns with the new corporate plan</p> <p>Reviewed performance standards will be agreed and signed off for the coming year to align with the corporate plan.</p> <p>Most elements of the service is functional, however there have been a number of audit reports with some assurance concerns, we continue to monitor this and address any issues that arise.</p> <p>There is current two</p>



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										senior management post vacant, i.e. HR and finance, but recruitment is well advanced.	
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 EMT, finance board and Performance Risk and Audit Board which monitor the work towards maximising trading opportunities	6		3	2	↓	2	2	EHTC are in an reasonable position in relation to the risk and therefore this risk has been reduced both in likelihood and impact for this quarter, financial summary will be analysed at the end of Q4 and risk will be reviewed accordingly.
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.	6		3	2	↓	2	2	There were only 3 leavers for Q3 and the council currently has the lowest turnover rate we have seen. Recruitment continues to perform well and there are currently no issues identified in relation to recruitment and retention
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	6		3	2	▬	3	1	As previously confirmed, all business continuity plans and emergency plans for SHDC have been reviewed by each service. These have been reviewed by the

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										Emergency PLanning Officer to ensure they can be effectively implemented if necessary and will then be tabled/signed off at the Emergency Planning Board later this month. Further training is still to be identified and this is likely to be carried out early spring by the LRF.
Failure to deliver financial & non-financial outcomes of the approved Welland Homes business plan	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 organisation to deliver the housing development requirement for both the HRA and Welland Homes.	8	<p>Mitigations as follows;</p> <ul style="list-style-type: none"> • Revised governance including strengthened terms of reference. • Improved communication on Council policies to the WH Board. • 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 	6	3			2	2	Council is currently halfway through business plan. No immediate change to risk and likelihood of failure to deliver.

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			assessing schemes							
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	The CIP team are currently working with all services to ensure that the councils corporate priorities are achieved and measured against the corporate plan, any areas within the corporate priorities that are not achieved will be raised accordingly.
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	3				3	1	The Joint Committee has been required to carry out a further consultation on two minor amendments to the Plan and the Sustainability Appraisal at the request of the Inspectors. This consultation closes on 14th January. The Inspectors report is expected shortly thereafter and as such, the risk rating remains unchanged at this time. Once the Inspectors report is in hand then this should decrease the risk and likelihood even further.

