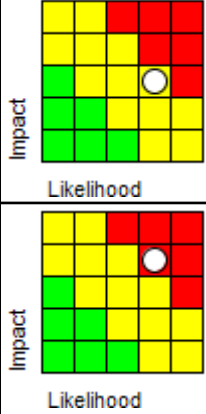
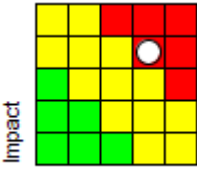

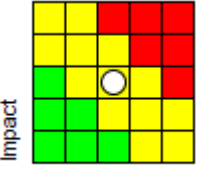
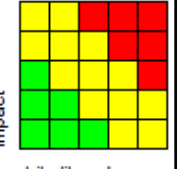


SHDC Strategic Risk Report with targets



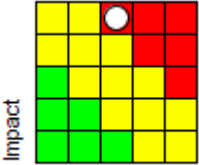

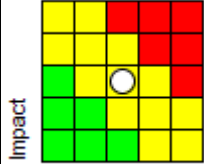

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
Impact of Homelessness Reduction Act	The implementation of the new act places additional burdens on SHDC which may mean a reduced 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	<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 				4	4		<p>Risk increased due to the current financial impact of B&B accommodation.</p> <ul style="list-style-type: none"> Following the Homelessness Reduction Act which came into effect in 2018, the costs of providing temporary accommodation have risen significantly. The forecast reflects the impact for the first two quarter only of £280k. If this trend continued and there were no mitigating actions, the pressure on the Homelessness Budget by 31st March would be circa £560k. <p>However, there are a number of steps being</p>

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
	available temporary housing options to accommodate homeless individuals and families	<ul style="list-style-type: none"> • Training in new duties to be ongoing (initial joint SHDC/BDC training held in January 2018) • 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 							<p>taken to mitigate this:</p> <ul style="list-style-type: none"> • The primary task is homelessness prevention, which would reduce the need for short term bed and breakfast. • Secondly steps need to be taken to ensure all those who can make a contribution to the accommodation costs do so. • Thirdly, the backlog of claimants need to be reduced, which is part of a larger long term project • Discretionary Housing Payment grant is being reviewed to see how much of this can be used to support homelessness costs. • Finally, options are being explored to increase our provision of temporary accommodation.

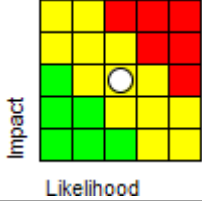
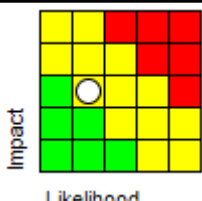
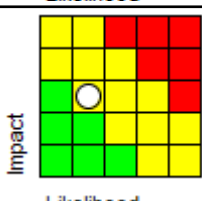
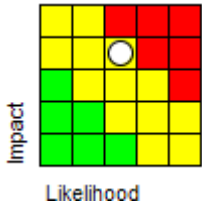
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
									<p>Following the introduction of these mitigation measures we have already seen a 50% reduction in the use of B&Bs / hotels for emergency accommodation. Conservatively we can expect to reduce the forecast overspend from £560k to £450k but it is intended to bring this figure down further.</p>
<p>Temporary accommodation</p>	<p>Significant increase in the use of temporary accommodation following a legislative change, the Homelessness Reduction Act 2018. Historically applicants must satisfy the local authority that they are eligible, homeless and in priority need to be owed a duty of temporary accommodation.</p>	<ul style="list-style-type: none"> In hours – any persons needing approval for B&B can be emailed over to the Housing Options Manager with the details of the person up to 4:45pm. It is expected to view the notes and documentation (if any) on Jigsaw. Officers will have applied the reason to believe test on 	 <p>Impact</p> <p>Likelihood</p>		 <p>Impact</p> <p>Likelihood</p>	<p>4</p>	<p>4</p>	 <p>Impact</p> <p>Likelihood</p>	<p>The latest note for this risk is covered as above</p>

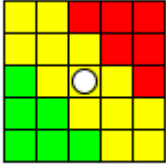
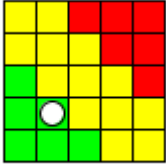
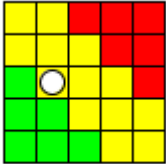
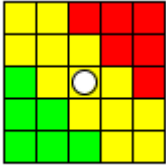
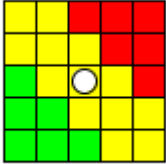
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
	<p>Now applicants need only give the Authority reason to believe. This is a significantly lower threshold. Additionally, applicants were eligible for assistance 28 days before becoming homeless, this has now been increased to 56 days in prevention and 56 days in relief.</p> <p>The Authority has provision of temporary accommodation, approximately 22 units. However, this is vastly insufficient, resulting in heavy reliance on B&B accommodation. Applicants are actively being moved into any available suitable accommodation. Controls how now been introduced to ensure B&B is only</p>	<p>Homelessness, Eligibility and Priority Need and the notes and/or relevant documentation are there on Jigsaw to support this. Officers are instructed not to make promises to clients in advance, that they will be offered temporary accommodation without a managers approval.</p> <ul style="list-style-type: none"> • For weekends and/or bank holidays and/or out of hours – ONLY in these circumstances can an officer approve B&B accommodation without managers approval. However; such approval will need to be sought on the next available 							

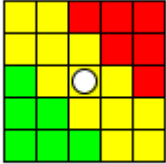
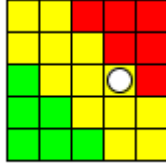

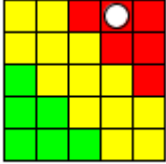
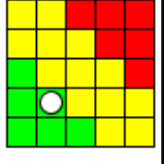
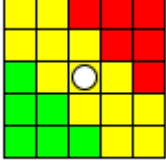
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
	allocated where no other alternative exists.	<p>working day from a manager for this accommodation to continue; so the length of time of the booking needs to reflect this. This reflects the appreciation that officers may be limited in both applying the tests and accessing a manager for approval.</p> <ul style="list-style-type: none"> • In the absence of the Housing Options Manager- The Housing Services Manager, Business Support Manager or Housing Landlord Services Manager can deputise and issue the authority to proceed with a booking. 							

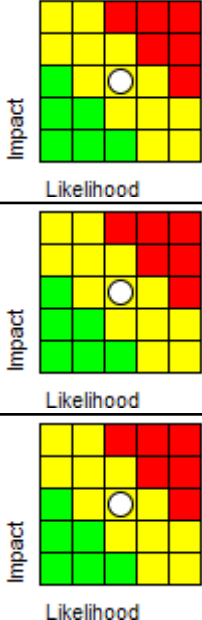
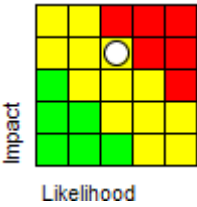

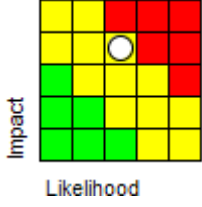
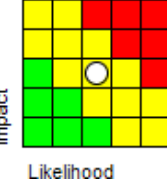
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
Pay Claim for National Employers	<p>The NJC Trade Unions have lodged the 2020 pay claim with the National Employers. The claim is for</p> <ul style="list-style-type: none"> a 10% pay increase a one-day increase in annual leave a two-hour reduction in the working week a review of workplace stress and mental health <p>Councils will be consulted in the usual way through a series of regional pay briefings during September and October. The East Midlands Pay roadshow event will take place on 12 September in Melton Mowbray. Further information about this event will be</p>	<p>The PSPS Finance team have budgeted for a wage increase of 2% for next year, alongside this the HR manager will be attend pay briefings on this as it develops and will be feeding information back via HR board and the executive management team.</p>				5	3		<p>The HR manager attended a Pay Briefing in September. Advice from that is that it is highly likely that a 'deal' won't be completed until Spring/Summer next year. Main risks to SHDC are the proposals for a pay increase (unions requesting 10%), we (and all other LA's in the East Midlands region) have budgeted for a 2% increase from 1 April 2020. Unions have also requested a decrease of working week to 35 hours from 37 hours. We will continue to monitor the situation and update HR Board/EMT/CMT and this risk, as events evolve.</p>

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	<p>circulated shortly.</p> <p>Whilst these pay challenge negotiations can go over into May, we would expect this to be agreed and have full details by should not be longer than a year, highest pay claim yet.</p>								
Medium Term Financial Plan Not Delivered	The Medium Term Financial Plan includes a balanced position which is dependant on delivery of further savings	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	<p>Likelihood</p>	-	<p>Likelihood</p> <p>Likelihood</p> <p>Likelihood</p>	4	3	<p>Likelihood</p>	<p>Homelessness costs are an area of significant concern plus increases to base budget that are expected.</p> <p>This area is currently under scrutiny to review options for managing the medium term position.</p>

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
									
									
									
									
Uncertainty over future	Government funding reductions due to a weakening of the	4yr MTFP sets out programme to be free of reliance on RSG by 2019. Setting investment funds,		-		4	3		There is no update to this risks likelihood or impact due to there being no significant or notable changes in relation to the outcome of this review. This risk may

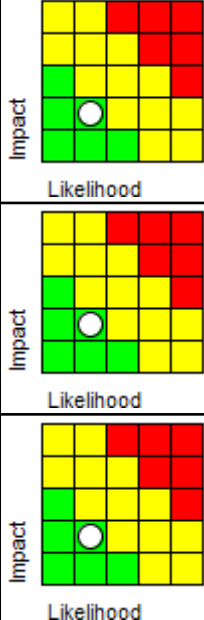
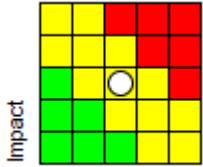
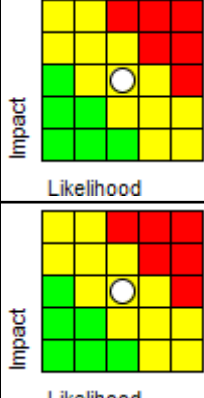
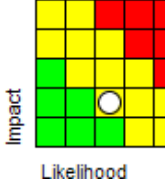
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
		growth to ensure continued income. Star chamber exercises and constant forward looking reviews are now underway.			 Likelihood				be altered once a decision in relation to the settlement is reached.
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Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
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Impact of business rate appeals	Business rate retention policy changes leave the council exposed to risks on collection and baseline income.	Financial provision has been made to cover the risk of current appeals, collection rates and growth	 Likelihood		 Likelihood	3	4	 Likelihood	This risk remains the same since it's previous update due to no change in the situation. The NHS appeal is still ongoing and the risk may be altered based on the outcome of this.
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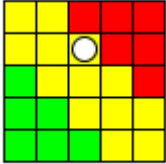
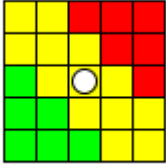
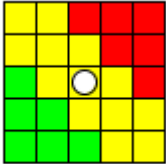
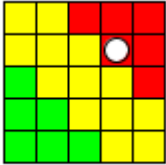
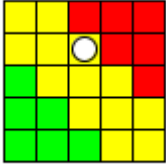
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
									
Critical breach of ICT security	Attacks are happening with increasing frequency at present. Ransom and theft specialists are targeting banking details and personal information, as with all other government systems and private companies	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				4	3		PSPS on behalf of its clients continues its vigilance. The introduction of a dedicated Security Analyst role has given PSPS the resource to develop new standards and processes to combat the increasing risk of cyber attacks and be far more proactive in

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									<p>the management of security threats internally and externally.</p> <p>Whilst a security breach will always be a possibility in 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 but must be cognisant of the ongoing role required of staff and Members. The impact of any such breach will always remain high/critical due to the possible disruption to statutory services.</p>

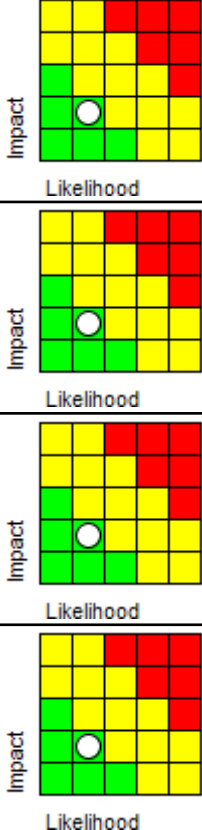
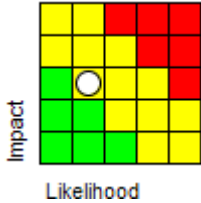
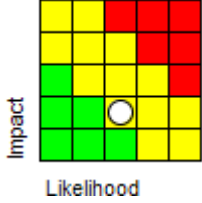
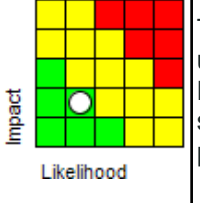
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
Impact of County Council Budget Reductions	Impact of County Council Budget Reductions. This will potentially impact on resident wellbeing.	Ensure that Place directorate are involved early in conversations to represent the council and its residents			 	3	3		There is no change to this risk or likelihood due to no further update from county council. This is due linked to business rates review and the local government settlement (both of which remain in the same place as the last update). When an update is available, this risk will be altered to reflect any changes.

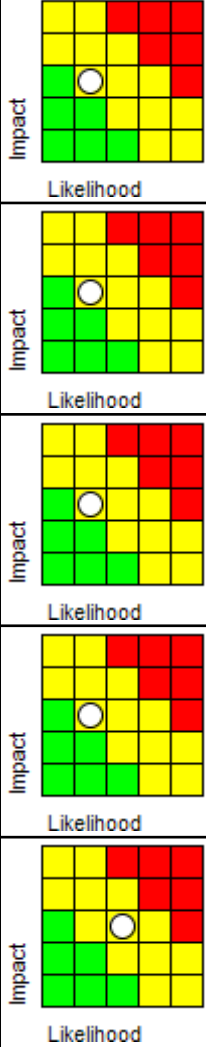
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
									
Contracts Monitoring	This risk covers the councils monitoring of contracts with external partners to ensure arrangements are financially secure and performing	<ul style="list-style-type: none"> Regular monitoring of contracts Regular communication with external partners and stakeholders Keep up to date with external changes with partners 		-		3	3		<p>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.</p> <p>In addition, the service continues to maintain a watching brief in</p>

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
									relation to Brexit developments and what impact this may have on our contracted supplier supply chains.
Emerging government policy	Risk is in relation to the Council's ability to respond to emerging government policies and strategies and the implications they might have on organisational service delivery models and budget position. This includes but is not limited to policy around local industrial strategies, environmental policy, Domestic Abuse Bill, emerging waste strategies and exiting the European Union.					3	3		Future and proposed policies fall under the watching brief of the council's senior policy advisor. As a result, further risks will be added where appropriate.
		Number of							The PSPS Client lead is now Mark Stinson (Executive Manager Governance) following on from the retirement of the previous client lead Phil Adams, At

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		and audit board. CPBS also has its own board with governance.			 Likelihood				<p>this time there are no changes to this risk to highlight but as regular meetings take place and the new client leads understanding of the PSPS service provision develops they will review this risk further to highlight any issues etc. if appropriate.</p>
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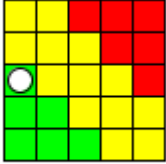
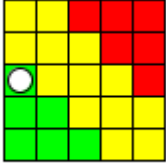
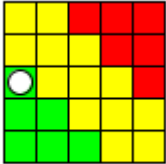
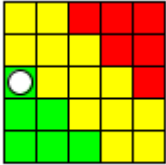
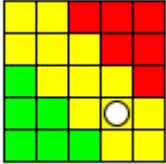
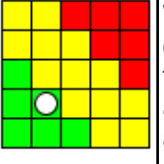
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
					 Impact Likelihood				
Failure to deliver the council's Corporate Priorities	Would lead to missed targets and failure to deliver objectives and may result in the Council suffering reputational damage and a failure to deliver priorities to residents.	Corporate Delivery Plan sets out how to acheive corporate plan and this is under pinned by individual service plans and these are monitored at Perfomance, Risk & Audit Board monthly	 Impact Likelihood		 Impact Likelihood	2	3	 Impact Likelihood	The Change, innovation and performance team are currently reviewing the corporate delivery plan with all services and the executive manager team, the main purpose of this work is to track progress on the actions that sit within the corporate plan. Once complete, this work will show which areas of the corporate plan we are on track to deliver and which areas are behind target or work is required for further improvement. Due to this work currently underway the risk has been raised slightly in likelihood as until this is complete we will not have a clear image as
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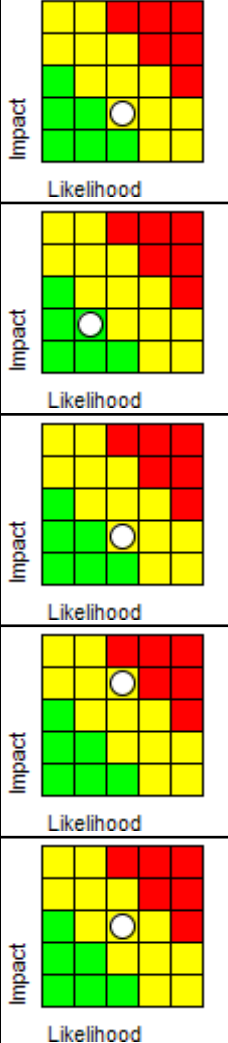
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
									to which objectives will be delivered.
Failure to maximise trading opportunities	Failure to maximise trading opportunities could result in lack of commercial exploitation of assets or income from	Governance is in place for MTFP through EMT, finance board and Performance Risk and Audit Board which monitor the work		-		3	2		There is no further update to this risk, as EHTC remain in the same position as the previous update.

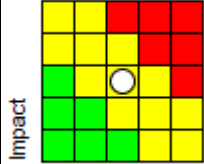
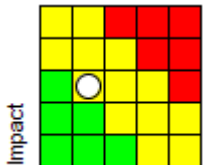

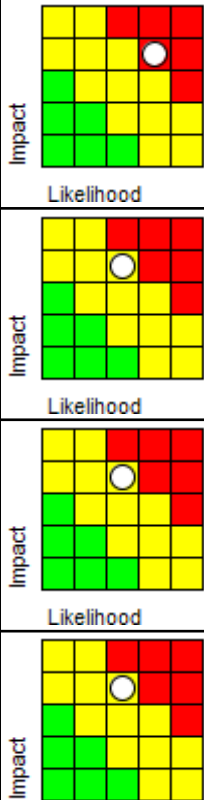
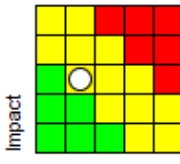
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
		towards maximising trading opportunities							

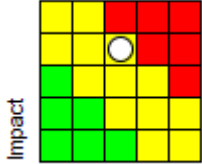
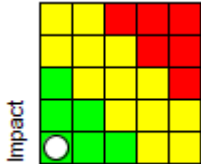


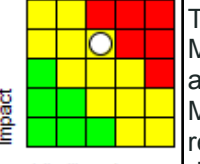
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
Staff recruitment and retention at all levels within the organisation	Staff recruitment and retention issues could undermine the effectiveness of the organisations though loss of experience and knowledge	The mitigation for key senior posts that are vacant or serving their notice period will be to start recruitment and find suitable interim cover.	 Likelihood		 Likelihood	3	2	 Likelihood	Risk remains the same. Quarter 2 has seen an increase in turnover in comparison to no leavers in Quarter 1. Reasons for leaving have been varied from retirements to resignations for personal reasons. This has been across a number of services.
					 Likelihood				
					 Likelihood				
					 Likelihood				
					 Likelihood				

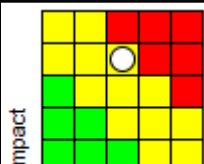
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
					 Likelihood				
Failure to effectively implement corporate business continuity plan	Failure could lead to an impact on delivery of services, loss of IT systems, ineffective communication or a failure to provide suitable premises	Working jointly with County to have business continuity post. Each team has a plan reviewed annually	 Likelihood		 Likelihood	3	2	 Likelihood	No changes to highlight for this quarter, delay in training is linked to the uncertainty of Brexit and it is anticipated to pick up once Brexit becomes clearer, with that in mind essential training has been delivered where appropriate to ensure this risk is still mitigated against.
					 Likelihood				
					 Likelihood				
					 Likelihood				
					 Likelihood				

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
					 Impact Likelihood				
					 Impact Likelihood				
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					 Impact Likelihood			 Impact Likelihood	Welland Homes now owns 35 homes following the acquisition of an additional five houses at Bentley Court Spalding in August 2019. The business

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
business plan	Financial. Risk also refers to capacity and expertise in the organisation to deliver the housing development requirement for both the HRA and Welland Homes.	reference. <ul style="list-style-type: none"> 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 assessing schemes 							<p>plan is seeking to have 60 homes in ownership by March 2022 and this aspiration is achievable.</p> <p>Officers are currently negotiating to acquire a further three properties from a local developer.</p> <p>An exercise is underway to understand how schemes perform financially in comparison to the business case projections. This will be used to inform future business cases for new schemes.</p>

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
									
General Data Protection Regulation Implementation	<p>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.</p>	<p>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.</p>				3	2		<p>IGO has reviewed the risk and discussed with DPO. It is felt that the risk score remains accurate. The GDPR Project plan is progressing well and is continually updated with new issues for consideration.</p> <p>The comparison chart shows that the original target set has been met. A further GDPR audit is due to take place at the end of 2019. Following this audit we will review new targets and consider whether the risk score may be adjusted further.</p>

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
					 Likelihood				
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.	Dedicated senior officer and EMT support to deliver the local plan	 Likelihood		 Likelihood	1	1	 Likelihood	The Executive Manager for Growth and the Planning Manager have reviewed this risk and deemed it as complete in terms of target due to the Local Plan being adopted at a meeting of the South East Lincolnshire Local Plan Joint Committee on 8th

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
					 Likelihood				<p>March. As the Local Plan has been adopted the risk rating has been downgraded to its lowest scoring. It is proposed for Q3 that a new risk takes supersedes this risk which will be focused on the failure to maintain a 5 year land supply and to meet the housing delivery test, The HDT works by comparing how many homes have been delivered over the previous three years to the number of homes required. Therefore monitoring these areas in this new risk going forward will ensure any issues within the now adopted local plan and its 5 year land supply are highlighted accordingly.</p>
					 Likelihood				
					 Likelihood				
					 Likelihood				
					 Likelihood				

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assessments (last quarter at the top)	Impact	Likelihood	Target Risk Matrix	Latest Note
					<div data-bbox="1144 300 1348 464"> </div> <div data-bbox="1144 475 1348 496">Likelihood</div> <hr/> <div data-bbox="1144 507 1348 671"> </div> <div data-bbox="1144 683 1348 703">Likelihood</div> <hr/> <div data-bbox="1144 715 1348 879"> </div> <div data-bbox="1144 890 1348 911">Likelihood</div>				