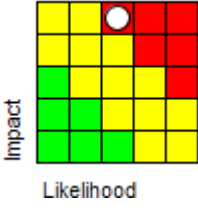
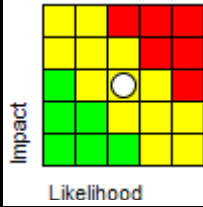
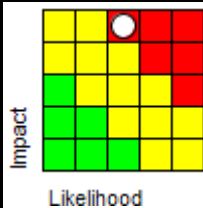
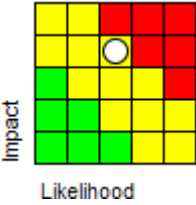
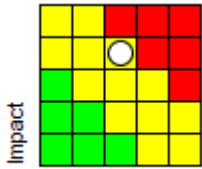
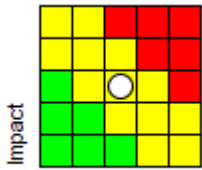




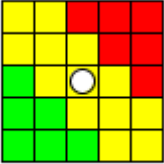
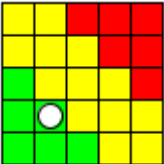
SHDC Strategic Risk Report (including targets)

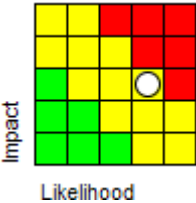

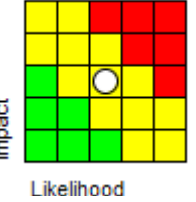
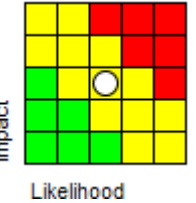


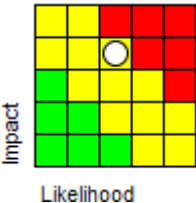
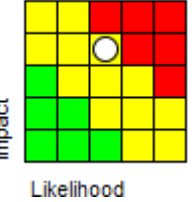
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	Latest Note
Temporary accommodation	<p>Significant increase in the use of temporary accommodation following a legislative change, the Homelessness Reduction Act 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. 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 insufficient, resulting in heavy reliance on B&B accommodation. Applicants are actively being moved into any available suitable accommodation. Controls how now been introduced</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 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. 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. 	<p>Impact</p> <p>Likelihood</p>	-	<p>Impact</p> <p>Likelihood</p>	4	4	<p>The demand for services in Housing Options remains under review with the number of households in TA being reviewed on a weekly basis. Since the last review of TA use as a risk, the post of Housing Options Team Leader has been added to the structure. The impact of the Housing Options Team Leader post is being monitored against the current reliance on temporary accommodation. Progress to date suggests that direct supervision of Housing Options Advisors is having a positive impact. The number of households in B&B accommodation has reduced significantly since the introduction of this post. If this trend continues, the impact will be reduced to medium at the next review.</p> <p>It should be noted that</p>

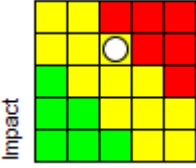

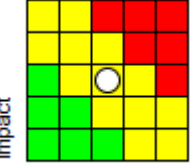
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	Latest Note
	to ensure B&B is only allocated where no other alternative exists.	However; such approval will need to be sought on the next available working day 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.						whilst reliance on B&B has been reduced there is an on-going need for additional TA beyond the 22 units currently in the councils ownership. This requirement is being explored with the Strategic Housing Team.
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</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.		-	 	5	3	Risk remains high with no deal as yet (20 Feb 2020). Latest update from National Employer Organisation on 5th February 2020 is that National Employers have offered unions a 2% pay increase on all SCP's for the NJC 20/21 pay scales. In addition there is likely to be a one year pay deal for 2020/21 but unlikely to be agreed for implementation on 1 April 2020. There is a desire for the National Living Wage to rise to £10.50 from 2024 so this is likely to be included in pay negotiations from 2021.

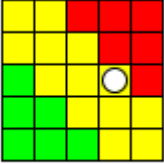
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	Latest Note
	<p>information about this event will be circulated shortly.</p> <p>Whilst these pay challenge negotiations can go over into May, we would expect this to be agreed and have full details by should not be longer than a year, highest pay claim yet.</p>							
<p>Medium Term Financial Plan Not Delivered</p>	<p>The Medium Term Financial Plan includes a balanced position which is dependant on delivery of further savings</p>	<p>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>		<p style="text-align: center;">-</p>	<div style="display: flex; flex-direction: column; align-items: center;">  <p style="margin: 0;">Likelihood</p>  <p style="margin: 0;">Likelihood</p> </div>	4	3	<p>A finance paper is going to full council 26th, this details the medium term financial plan, there are a number of service pressures detailed in this report and as a result of these a savings plan has been developed to mitigate this risk.</p>

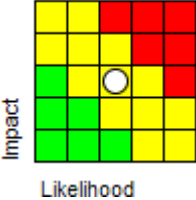

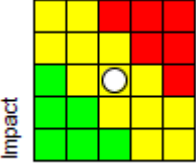
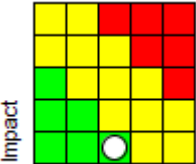
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	Latest Note
Uncertainty over future government funding settlement	Government funding reductions due to a weakening of the economy may be experienced during the period of the MTFP	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.			<div style="display: flex; flex-direction: column; align-items: center;"> <div style="display: flex; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small; margin-right: 5px;">Impact</div>  </div> <div style="margin-top: 5px;">Likelihood</div> </div> <hr/> <div style="display: flex; flex-direction: column; align-items: center;"> <div style="display: flex; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small; margin-right: 5px;">Impact</div>  </div> <div style="margin-top: 5px;">Likelihood</div> </div>	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 be altered once a decision in relation to the settlement is reached.

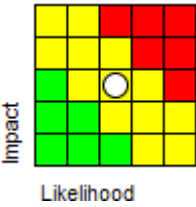
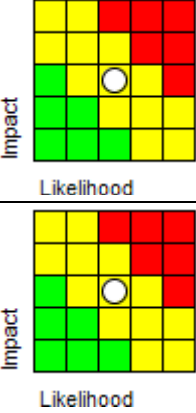
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likelihood	Latest Note
Impact of business rate appeals	Business rate retention policy changes leave the council exposed to risks on collection and baseline income.	Financial provision has been made to cover the risk of current appeals, collection rates and growth			 	3	4	This risk remains the same since its previous update due to no change in the situation.

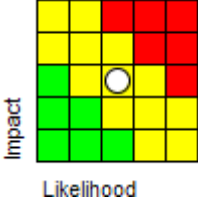

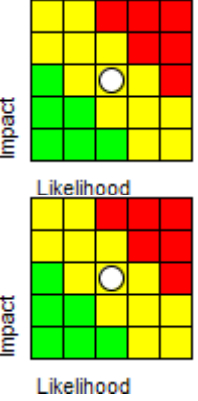
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	Latest Note
<p>Critical breach of ICT security</p>	<p>Attacks are happening with increasing frequency at present. Ransom and theft specialists are targeting banking details and personal information, as with all other government systems and private companies</p>	<p>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</p>		<p>—</p>		<p>4</p>	<p>3</p>	<p>Whilst the risk score has not changed, there have been some positive movements in relation to this risk</p> <p>LGA cybersecurity stocktake - rating has improved from red to amber following a raft of corrective actions taken since initial assessmen</p> <p>Whilst the NCSC (National Cyber Security Centre) recent guidance suggests that local government is not currently high up on the sectors most targeted for cybercrime. However they note that hacking of any .gov.uk domain would be seen as a prize “scalp” for hackers</p> <p>SHDC officers have been attending a range of ‘Pathfinder’ cyber training events run by the National Cyber Security Program. The final one of these events is titled ‘Pathfinder Training Seminar 6: Business Continuity and Recovery from Cyber Incidents’ and takes place at the end of Febr 2020.</p>

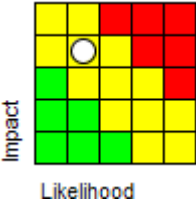
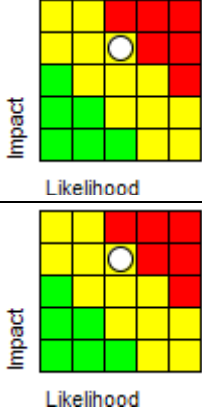
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	Latest Note
Impact of Homelessness Reduction Act	<p>The implementation of the new act places additional burdens on SHDC which may mean a reduced ability within 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</p>	<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 funding Identification of options within SHDC stock Identification of private sector options within both districts Work with partners to 	 <p>Impact</p> <p>Likelihood</p>		 <p>Impact</p> <p>Likelihood</p>	4	3	<p>The demand for services in Housing Options remains under review. The impact of the Housing Options Team Leader post is being monitored against the current reliance on temporary accommodation. That being said the number of households in B&B accommodation has reduced significantly in recent weeks, if this trend continues the impact will be reduced further at the next review.</p>

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likelihood	Latest Note
		open other potential options			 <p data-bbox="1391 395 1417 464">Impact</p> <p data-bbox="1429 480 1532 499">Likelihood</p>			

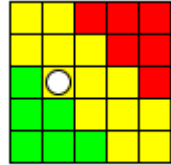

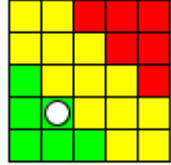
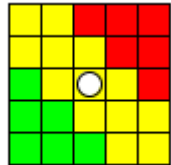
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	Latest Note
Impact of County Council Budget Reductions	Impact of County Council Budget Reductions. This will potentially impact on resident wellbeing.	Ensure that 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.

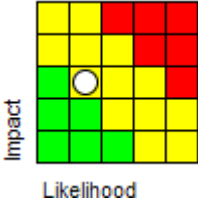

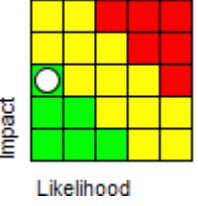
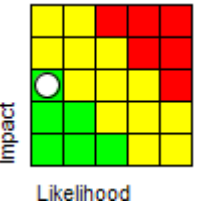
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likelihood	Latest Note
Contracts Monitoring	This risk covers the councils monitoring of contracts with external partners to ensure arrangements are financially secure and 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 relation to Brexit developments and what impact this may have on our contracted supplier supply chains.</p>

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	Latest Note
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 is 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	Monitoring devolution white paper which is expected in Feb 2021.

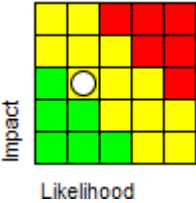
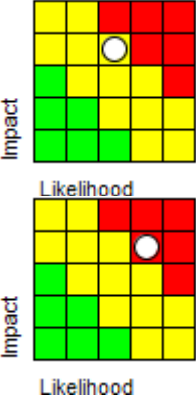
Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	Latest Note
<p>PSPS Failure to deliver core services</p>	<p>PSPS Failure to deliver core services - HR/IT/Finance/Revenues & Benefits</p>	<p>Number of Governance processes in place including monitoring of performance in performance, risk and audit baord. CPBS also has its own board with governance.</p>		<p>■</p>	<p>Historical Assesments (last quarter at the top)</p> 	<p>4</p>	<p>2</p>	<p>The current rating remains appropriate. All current mitigation remains in place, including regular client meetings (directly with Lewis, with Lewis and ELDC and with Lewis and the Portfolio Holder). Work is well underway on reviewing and renewing the Joint Venture Shareholder Agreement and Management Agreement (with legal support from Eversheds). Stakeholder meetings are also up and running, with the last meeting held in September 2019 and the next due 30 January 2020. Finally, work to review all SLAs is underway.</p>

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	Latest Note
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			 	2	3	Risk score remains the same as the CIP team are currently in the process of creating the councils end of year achievements document, this document is designed to communicate what has been achieved against the councils corporate priorities and will inform residents and members/stakeholders of delivery or potential issues.
Failure to maximise trading opporitunities	Failure to maximise trading opportunities could result in lack of commercial exploitation of assets or income from trading arms	Governance is in place for MTFP through EMT, finance board and Performance Risk and Audit Board which monitor the work towards maximising trading opportunities			 	3	2	There is no further update to this risk.

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	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.			<div style="display: flex; flex-direction: column; align-items: center;"> <div style="display: flex; align-items: center;">  <div style="margin-left: 5px;">Impact</div> </div> <div style="margin-top: 5px;">Likelihood</div> <hr style="width: 100%;"/> <div style="display: flex; align-items: center;">  <div style="margin-left: 5px;">Impact</div> </div> <div style="margin-top: 5px;">Likelihood</div> </div>	3	2	Risk level remains the same. At the end of Q3 the Staff Turnover is 0.94% for that quarter. October had a particularly high level of turnover due to 1.99% due to 5 leavers (3 were resignations, 2 retirements). November and December were both under target.

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likelihood	Latest Note
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			<div style="border-bottom: 1px solid black; padding-bottom: 5px;">  </div> <div style="padding-top: 5px;">  </div>	3	2	No change

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likeli-hood	Latest Note
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.	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. • 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>Impact</p> <p>Likelihood</p>		<div style="display: flex; flex-direction: column; align-items: center;"> <div style="display: flex; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small;">Impact</div> </div> <div style="margin-top: 5px;">Likelihood</div> <hr style="width: 100%;"/> <div style="display: flex; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small;">Impact</div> </div> <div style="margin-top: 5px;">Likelihood</div> </div>	3	2	A development strategy is being prepared as per request by cabinet and council, this strategy will incorporate all of the councils housing delivery vehicles, and this will help to ensure deliver of the business plan

Title	Description	Controls/ Mitigation	Current Risk Score	Trend (last qtr)	Historical Assesments (last quarter at the top)	Impact	Likelihood	Latest Note
<p>General Data Protection Regulation Implementation</p>	<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>		<p>—</p>	<p>Historical Assesments (last quarter at the top)</p> 	<p>3</p>	<p>2</p>	<p>Whilst the number of incidents notified to the Information Governance Officer has increased, this is believed to be as a result of the increase of awareness of the staff as to the necessity to do so. Our Data Protection Officer recently attended training, during which it was confirmed that for any organisation of our size we should be being notified as to a number of minor breaches on a regular basis as a matter of course. Remedial actions following each breach are taken and this is recorded in the register, which is uploaded to Pentana.</p> <p>GDPR Audit is due to commence in Q3 19/20</p> <p>Information Asset Registers/Record of Processing Activities are progressing well, stored in a central location and are managed by each Department's Information Asset Owner/Data Champion.</p>

