

South Holland District Council - Strategic Risks 2014/15

Q1 2014/15

Service Area	Risk Reference	Dates Added	Dates Closed	Risk Title	Description	Risk Consequences	Risk Owner	Inherent Risk Impact	Inherent Risk Likelihood	Inherent Risk Rating	Previous Risk Impact 2013/14	Previous Risk Likelihood 2013/14	Previous Risk Rating 2013/14	Previous Risk Letter 2013/14	Proximity	Existing Controls (What is being done to avoid this)	Mitigating Actions (What will be done if this occurs)	Risk Impact	Risk Likelihood	Risk score	Risk Letter	Comments	Direction of travel
Assistant Director Finance	S - 01	01/02/2014		Medium Term Financial Strategy.	Medium term financial strategy demonstrates a lack of sustainability over the medium term as a result of central government funding reductions. An efficiency programme, reviews or income streams need to be developed and implemented in order to address future funding gaps.	This would result in the need to make cuts or further efficiencies	Mark Finch	3	3	9	3	3	9	H	Ongoing	<ul style="list-style-type: none"> Develop longer term transformation programme Shared services Financial planning Financial modelling VFM/Efficiency Strategy Reserves Control of payroll costs Lump sum payment to Lincolnshire County Council Pension Fund included in budget. Keep a watching brief on Central Govt measures to reduce impact of public sector pension schemes 	<ul style="list-style-type: none"> Early awareness of Government proposals Identify low priority services and make service reductions in those areas 	3	3	9	H	This risk was reviewed with MF 26/06 and no changes were identified	↔
Director of Commissioning	S - 02	01/02/2014		Failure to deliver the Council's Corporate Priorities.	Failure to deliver the Council's corporate priorities as set out in the corporate plan 2011-15.	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.	Maxine O'Mahony	2	2	4	2	2	4	M	Ongoing	<ul style="list-style-type: none"> Performance Management Framework development is continuing Regular performance reporting Corporate priorities reviewed and set against corporate plan 2011-15 Regular communication regarding performance communicated to all staff Preparation for a 4 year corporate plan starting 2015 has commenced Recruitment to vacant posts has commenced 		2	2	4	M	Risk reviewed with VT 20/06 and MO 03/07. Risk owner changed to MO	↔
Assistant Director Finance	S - 03	01/02/2014		Reduction in discount in second year of local Council Tax Support Scheme leads to reduced collection of Council Tax.	Introduction of local Council Tax Support Scheme leads to reduced collection of Council Tax.	<ul style="list-style-type: none"> Lower Council Tax receipts Financial impact on Council budget A reduction in the Council Tax base (caused by changes in number of claimants) 	Mark Finch	3	3	9	2	3	6	H	Ongoing	<ul style="list-style-type: none"> Monitor collection through the monthly CPBS performance reports Reserve created to help with potential initial pressures / timing pressures Review scheme - opportunity to amend on an annual basis. After the first full year of running the new scheme there will be more data and statistics available in order to assess the long term impact of scheme changes 		2	2	4	M	Collection rates have improved marginally despite changing the support scheme. Continue to monitor closely to identify any detrimental impacts 26/06	↓
Assistant Director Finance	S - 04	01/02/2014		Business Rates Retention Scheme.	Business rates retention scheme leaves the Council exposed to changes in the business tax base and collection performance. Exposure to loss of rates if re-rating of power stations occurs	<ul style="list-style-type: none"> Reduced levels of income Financial impact on Council budget 	Mark Finch	3	3	9	3	3	9	H	Ongoing	<ul style="list-style-type: none"> Monitor collection through the monthly CPBS performance reports Reserve created to help with potential initial pressures / timing pressures After the first full year of running the new scheme there will be more data and statistics available in order to assess the long term impact of scheme changes Outstanding appeal on two gas fired power stations could have a significant impact on retained business rates reducing income to safety net levels. 		3	3	9	H	Risk reviewed with MF 26/06. No changes identified	↔

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Executive Director of Place	S - 05	01/02/2014		Ending of Disabled Facilities Grants payments to district councils, with funds transferring to Better Care funding stream (integrated health and social care pot)	Existing funding arrangements for DFG's where central government makes a funding award directly to housing authorities each year will end in 14/15. And from 15/16 the funds will transfer to the Better Care funding regime. There will no longer be any dedicated funding for the Council to undertake this work – there will however remain a clear statutory responsibility to undertake disabled adaptations. There is an expectation that organisations involved will work together and make services more integrated	The Council will have to draw entirely on its own existing available revenue funding to meet the statutory requirements under DFG regulations	Julie Kennealy	2	2	4	2	2	4	M		Engage with appropriate stakeholders including LCC and the CCG to make the case that at least existing funding levels should be maintained and that the Council participates in devising proposals to integrate these services with health and social care providers.		2	2	4	M	Engagement with CCG's in securing funding going forward is critical. No changes identified	↔
Executive Director of Place	S - 07	01/02/2014		Failure to contribute to the growth of existing businesses in the district.	Failure to contribute to the growth of existing businesses in the districts and support inward investment.	<ul style="list-style-type: none"> Reduced business rate levels Poor job growth Poor resource efficiency Poor investment by SME's 	Julie Kennealy	1	2	2	1	2	2	L	Ongoing	<ul style="list-style-type: none"> Economic Development activity engaging with local business in order to provide support and assist development. Grants for Growth - support for SMEs, providing practical help and financial assistance to help them reduce costs and increase competitiveness and resilience. 		1	2	2	L	A prospectus for businesses in South Holland has been produced and aims to promote growth. RW 19/06. Need to better engage with Local Enterprise Partnerships (LEP) and ensure we have clearly communicated visions for engagement	↔
Director Commissioning	S - 08	01/02/2014		Failure to maximise trading opportunities.	Failure to maximise trading opportunities.	<ul style="list-style-type: none"> Lack of exploitation of assets and opportunities, e.g. trading arms (CPBS) Trading arms complicate the business 	Maxine O'Mahony	2	2	4	2	2	4	M	Ongoing	<ul style="list-style-type: none"> Business plans will be developed for all trading platforms / trading opportunities. Support continued growth of Compass Point Business Services (CPBS) 		2	2	4	M	Risk reviewed with MO 03/07. No changes identified	↔
Director of Commissioning	S - 09	01/02/2014		Staff recruitment and retention at all levels within both organisations	Staff recruitment and retention at all levels within both organisations	<ul style="list-style-type: none"> Loss of key senior staff Loss of staff in face of economic growth and more lucrative opportunities elsewhere Loss of staff knowledge 	Maxine O'Mahony	3	2	6	3	2	6	H	Ongoing	<ul style="list-style-type: none"> Annual staff surveys regarding shared management and general staff issues. Programme of non-salary rewards to be introduced for staff, being looked at 2014/15 Staff training Providing support for staff to have a voice within the authority - supporting the staff forum which provides staff with the opportunity to raise concerns. Setting up a staff forum 		3	2	6	H	Annual staff survey being sent out in July with results in September. Informal social group up and running. Staff engagement being supported. Examples include: Laser farm, picnic in the park, and race night. Reward scheme currently being worked on. No changes to scores identified	↔
Assistant Director Commissioning	S - 11	01/05/2014		Failure to effectively implement corporate business continuity plan	Failure to effectively implement joint corporate business continuity plan	<ul style="list-style-type: none"> Impact on delivery of services Loss of IT systems Ineffective communication Failure to provide suitable premises Failure to provide suitable premises 	Rob Walker	3	1	3	3	1	3	M	Now	Business impact analysis is in place; service areas have business continuity plans in place; business continuity plans to be tested; out of hours procedures in place; mutual aid / support arrangements in place with Breckland Council and neighbouring authorities; business continuity plans reviewed on a regular basis through business continuity group.		3	1	3	M	Audit action plan being developed to further help with managing this risk RW19/06. No changes identified	↔