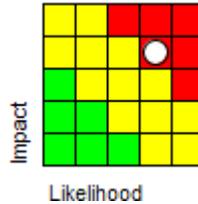


Breckland District Council Strategic Risk Report

Quarter 3 2017/18



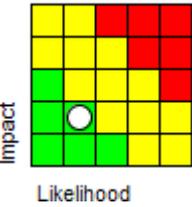
Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
Staff recruitment and retention at all levels within the organisation	Staff recruitment and retention issues could undermine the effectiveness of the organisations though loss of experience and knowledge	15	The mitigation is an organisational approach with work streams being identified and multi-disciplinary teams coming together to define, action and evaluate the actions. The teams should be made up of different levels within the organisation to allow for engagement. Workforce planning and monitoring has started to take shape to proactively recruit posts which are hard to fill.	16	4	4	—	Senior Managers and Team Leaders have been equipped with tools and resources to develop and implement workforce retention plans. Recruitment and retention remains a key issue for the Council, it's important that both new and existing staff are supported and encouraged to remain within the organisation. There is work under way to identify talent and succession planning. Support new starters by reviewing the on boarding (induction) process and support flexible working to increase staff retention.	30 Jan 2018	2	2



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Under occupancy of Riverside once complete	The completed lettings of Riverside is due to contribute income to support a balanced budget. Inability to complete lettings will impact on the contribution this will make to the budget.	9	Enhanced marketing strategy aimed at national occupiers with relevant covenants for food and beverage uses completed in May-Aug Tenant incentive packages reviewed and re-set. Review strategy when scheme opens re target operators and use if unable to secure lettings.	16	4	4	↑	Difficult market conditions mean that it is taking longer than anticipated to let the remaining units. A significant level of activity is underway to address this issue, including consideration of alternative uses.	30 Jan 2018	2	2
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 is being delivered in September for managers and proposed service Data Protection leads.	12	4	3	→	Authority has been granted to recruit a fixed term 18 month post as Information and Governance Officer to support the delivery of the measures required for GDPR. The Statutory Information group continues to meet and deliver work supporting progress against the gap analysis. Member scrutiny committees are also engaged to ensure implementation continues.	29 Jan 2018	2	2

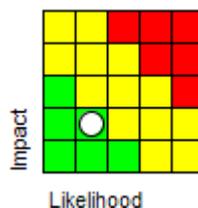
Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
Critical breach of ICT security	Attacks are happening with increasing frequency at present. Ransom and theft specialists are targeting banking details and personal information, as with all other government systems and private companies	25	Through a suite of protection measures such as web filtering and antivirus software, there is a good level of protection from viruses. Disaster recovery is also well maintained	10	5	2	↓	Work has continued to improve security, in particular getting patching up to date and regularly applied together with improving the equipment such as the new corporate firewall with enhanced security features. Most of the older systems have been updated or retired so the attack window has been minimised greatly along with greater control over security measures now the ICT service is provided fully in house	15 Nov 2017	4	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	6	2	3	→	The Moving forward programme is already in progress and includes some areas to begin delivery of trading opportunities, such as BTS and EHT & C. To date the outcomes of this trading are not known as it is too early. The risk remains that opportunities may not be identified, or well delivered, or well resourced	11 Jan 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
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 backdated claims from workers	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. gap	6	3	2	—	There is a report going to full council in February. Currently the risk is scored as it was in the last quarter.	25 Jan 2018	2	2
Medium Term Financial Plan Not Delivered	The council's medium term financial strategy has identified a budget gap, the transformation programme will need to make this	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	6	2	3	↓	The medium term financial plan and balanced budget is reliant on the delivery of the moving forward transformation programme. The programme is on track to deliver the savings over	11 Jan 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
	level of saving for the organisation over that period to balance the budget.		from plan					the longer term with the new Delivery Unit and Corporate Contracts teams in place to assist with delivery of the programme. The programme will continue to be monitored closely and flexed as part on the annual budget setting. Reliance on RSG has been removed from the budget from 2018-19 and our reliance on New Homes Bonus is reduced to around £0.5m by the end of the medium term - this will provide funding to carry out Member preferred communities related work and projects			
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.	6	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	4 	2	2	—	Risk remain 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	25 Jan 2018	2	2

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								completed and during the next quarter staff appraisal setting will take place. This links individual's yearly objectives directly to the delivery of the council's corporate objectives.			
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	The current mitigations will be put in place; we will work with Capita to fill vacancies and put in effective interim cover; we will establish additional informal working plan working groups to reach agreement over the settlement boundary policy; re-evaluation of trajectory to establish the appropriate level of allocations for preferred sites consultation	4	4	1	↓	The Local Plan was submitted to the Planning Inspectorate on 30th November for independent Examination. An Inspector has been appointed and whilst the examination is in its early stages it is progressing. As such, the risk of failure to deliver a Local Plan has decreased during the quarter due to this submission.	26 Jan 2018	4	3
Impact of County Council Budget Reductions	Impact of County Council Budget Reductions - this will potentially impact on our ability to deliver Services. This will	9	Ensure that Place directorate are involved in conversations at an early stage to represent BDC and its residents	4	2	2	→	The County Council budget consultation has been reviewed and the risk areas for the Breckland budget are around community transport and waste	11 Jan 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
	potentially impact on resident wellbeing.							collection/recycling. The Norfolk councils are in close contact with Norfolk County Council on all waste related proposals			
Business rate retention scheme	Business rate retention policy changes leave the council exposed to risks on collection and baseline income.	16	Financial provision has been made to cover the risk of current appeals, collection rates and growth. Continue to keep up to date with CLG consultations and update MTFP accordingly	4	2	2	↓	The timing of the Business Rates retention scheme has been delayed to 2020, providing more time to devise a fit for purpose scheme. This timing also fits with the implementation of the fair funding review, which will provide a new 'needs' formula for councils. The 100% retention require primary legislation to implement and therefore cannot happen for 2020, so the Government will be consulting on an alternative 75% retention scheme which will incorporate other grants (such as Revenue Support Grant RSG)	11 Jan 2018	3	3



Title	Description	Original Score	Controls/ Mitigation	Current Risk Score	Impact	Likelihood	Trend (last qtr)	Latest Note	Latest Update Date	Target Impact	Target Likelihood
Failure to effectively implement corporate business continuity plan	Failure to effectively implement the corporate business continuity plan, thereby exposing the authority to the risk of service outage following a major incident	4	Working jointly with County to have business continuity post. Each team has a plan reviewed annually	3	3	1	▬	The risk remains the same while the emergency planning officer continues to work with services	29 Jan 2018	3	1

