

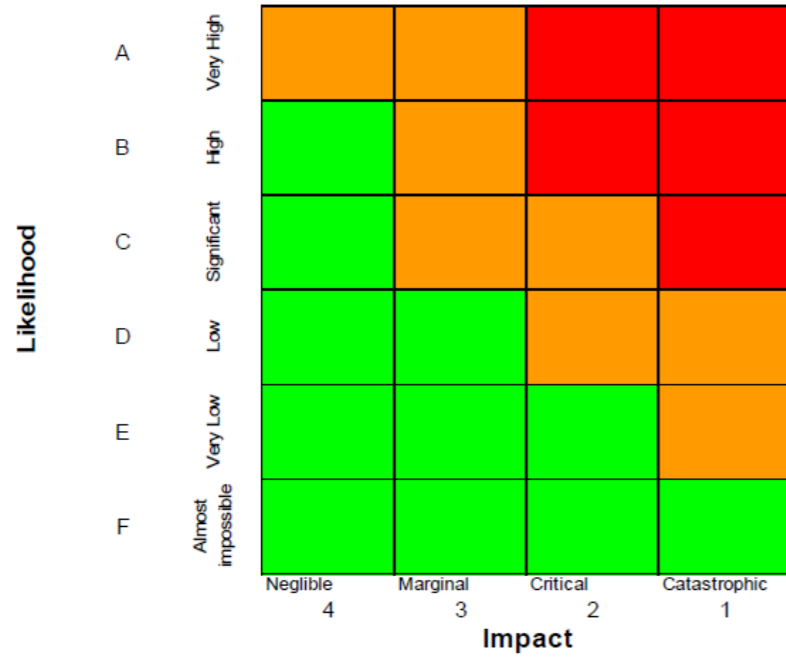
APPENDIX A - Joint Committee Service Plan and Risk Register 2019-2020 - Risks

Ref.	Risk Title	Risk Description	Consequences	Opportunities	Risk Owner	Risk Manager	Current Controls	Mitigating Actions	Date added	Date Updated	Curr. Score	Tgt Score	Trend
	Business continuity	Loss of key staff due to welfare reform and potential reduction in required resource	Inability to meet statutory requirements and to deliver services according to performance targets	With the expanded partnership we can ensure that skills are more widely held	Head of ARP and Strategic managers	Head of ARP	Staff are encouraged to take IRRV exams and NVQs and internal structures allow for career progression - reasons for staff leaving are being monitored to identify whether this becomes a reason for staff leaving	Transformation programme has identified opportunities for training and staff development - monitoring of reasons for staff leaving shows that it is not currently due to concerns over welfare reform	01/04/14	08/11/2019	C4	C4	Reached target score
	Business continuity	Loss of premises, loss of power/telecoms and/or loss of systems - a new emphasis must be placed on loss of systems in relation to cyber attack	Difficulty in finding some members of staff access to systems or, loss of systems	Shared services mean that we operate from 4 centres and work can be carried out from 6 sites	Strategic Manager (Support)	Strategic Manager (Support)	Systems mirrored at 2 sites enabling work to continue. A large number of staff are home enabled and more could be on a short term basis. Workers can be asked to travel to alternative sites. West Suffolk IT update systems with new patches and protection regularly and systems are PSN compliant	Access to Mirrored servers in FHEC regularly tested. Business Continuity plan agreed with partners - fail testing to be arranged. West Suffolk IT are working on specific mitigation of cyber attack and this will be reported in future risk reports	01/04/14	08/11/2019	E2	E2	Reached target score
	Transformation Programme and budget efficiencies	Income/efficiencies equal to the reduction in Administration Grant are not achieved	If income is not secured to meet shortfall then reductions in budget will be required through savings which will impact on service provision	Income may exceed projected budget	Strategic Management Team and OIB (Revenues)	Strategic Management Team and OIB (Revenues)	Target for efficiencies of over £1,000,000 achieved for 2018/19	Actions in transformation programme has seen savings and income generation achieved - progress is monitored by OIB	11/11/2016	08/11/2019	D3	D3	Efficiency target reached for 2019/20 - Digital transformation required to achieve efficiency targets for 21/22 and beyond
	Income from retained Business rates and Council Tax	Income from NDR and Council Tax do not meet budgeted amount	The income available to the Councils is insufficient to meet needs	Income may exceed projected budget	Strategic Manager (Revenues)	Strategic Manager (Revenues)	Monitoring will continue for 2019/20. Revaluation 2017, appeals adds risk for life of 2017 list	The NNDR1 and Taxbase calculations include provision for bad debt and appeals - on target to meet spending requirements this risk increased with Re-val in 2017	01/04/14	08/11/2019	C1	D2	Appeals from hospitals may lead to significant refunds for some partners that mean that income would be below target
	Localised Council Tax Reduction Scheme	Upon LCTRS review the reduction in help received by LCTRS claimants is reduced to the point where they can not afford to pay or, unemployment levels rise to a level that make the scheme unaffordable	Customers are asked to pay more than they can afford and arrears accrue	Increased income from Council Tax could be achieved	Strategic Manager (Benefits)	Strategic Manager (Benefits)	Current scheme has set payment levels at or below Attachment of Benefit levels for all but one Council which gives realistic opportunity to recover	If revised scheme reduces awards of LCTRS then funding from County Councils should be sought to fund additional recovery officers	01/04/14	08/11/2019	D3	D3	Reached target score
	A partner or partners leave the partnership	A reduction in partners could occur for a number of reasons in the future such as Local Govt reorganisation	Possible loss of key staff and TUPE implications - loss of resilience - also leading to increased cost of service and reduction in VFM	Develop trading opportunities to carry out some functions for other Councils	Head of ARP	Head of ARP	Partnering agreement includes notice period for cessation of partnership. ARPT being developed as trading vehicle	Opportunities for trading to be considered and business cases developed	01/04/14	08/11/2019	E3	E3	Reached target score
	Billing and Benefit letter production	External printer does not issue daily or annual bills and letters within legal timescale	Bills may have first instalment date later than 01/04/2018 which could result in loss or delay in collection of Council Tax and Business Rates	The contract will continue to offer significant savings to the Councils	Strategic manager (support)	Strategic manager (support)	2015/16 to 2019/20 annual billing process successful and daily bills and letters designed and active with current printers	The process was carried out successfully last year and testing will ensure that all documents are sent with correct information and on time	01/04/14	08/11/2019	E2	E2	Reached target score
	Housing benefit subsidy shortfall	Overpayments that are a local authority's fault can be claimed back as income if the value is less than 0.48% of the overall HB expenditure. Extrapolation by External Audit teams can also take Councils over the threshold	If LA error is not kept below this level it can have a significant financial impact on councils	To ensure that processes and procedures are correct and are followed and to ensure that backlogs do not effect LA error and that error is kept to a minimum so that Audit do not have cause to extrapolate subsidy overpayments	Strategic Manager (Benefits)	Strategic Manager (Benefits)	Rigorous procedures and high level of professional training. We have a Quality Assurance team that test accuracy levels and looks for and at areas of weakness. All councils were kept below LA error levels for audited claims from 2013/14 to 2017/18 due to robust challenge of Audit findings and extensive work to identify drill down to avoid extrapolation having an adverse effect	To continue to use overtime and agency where vacancies mean that there is a risk to subsidy. To continue to apply QA to areas identified in audits and random testing to identify other areas of risk / error	11/12/14	08/11/2019	D3	D3	Reached target score
	Universal Credit implementation	Uncertainty over future funding from DWP and CLG. Affect upon customers currently receiving HB and resultant impact on customer teams	UC has been rolled out to new claimants but later a managed migration of HB caseload will occur - the impact on customers and social Landlords will be enormous if the migration falters	To continue to work with the DWP and Stakeholders to jointly offer customers assistance in making the transition	Strategic Manager (Benefits)	Strategic Manager (Benefits)	We have entered in to an agreement with DWP to jointly help customers to make the transition and agreed a Universal Support Partnership with them.	Assess the impact of claims moving to the DWP - modelling can take place to understand how ARP will be impacted as the timetable for all councils is issued.	11/12/14	08/11/2019	D3	D3	Reached target score
	Fraud and Error	Risk of Fraud entering the system if retained fraud team are not kept. LCTRS fraud and Council Tax fraud will not be investigated by the DWP - retained service has to be self funding	If no service is retained by the partnership then Fraud will not be identified in cases.	Funding to resource interventions in cases currently receiving benefit and to retain joint funding from County and Police	Strategic Manager (Benefits)	Strategic Manager (Benefits)	Team retained to investigate LCTRS, Tenancy, Ctax discount/exemptions and NNDR since 01/09/15	Norfolk and Suffolk County Councils have agreed funding for Fraud team till 31/03/20 - quarterly reporting to County Councils to demonstrate the impact of the Fraud team.	11/12/14	08/11/2019	C2	C2	Reached target score

Risk management process and toolkit

Step 3 – Prioritisation using the matrix below

- How likely is this risk?
- How big an impact will this risk have?



Steps 4 and 5 – Mitigation and monitoring

Mitigation	Monitoring
<ul style="list-style-type: none"> • Assess current actions and controls Adequate or more needed. • Within your Service Plans -develop specific SMART actions that will either reduce the likelihood of the risks or minimise the impact. • What should the score be after you have taken action? 	Review the Risk Register with colleagues (for example, as part of your Service Plan) at least quarterly <ul style="list-style-type: none"> • Risks changed? • New risks? • Need to report or escalate risks? • Risks ranking changed?

Definitions

Likelihood		Impact	Example Descriptions
Very High	> 90%	Negligible	Financial impact below £10k, no effect on partnership / service provision or reputation, minor delays to a project, limited physical consequences
High	55% -90%	Marginal	£10k - £200k, service slightly reduced broken bones/illness, objectives of one team not met, minor adverse local media, impact on an external inspection (s)
Significant	15% - 55%	Critical	£200k - £500k, service suspended short term / reduced, loss of life/major illness, service objectives not met, industrial action, adverse national publicity, service taken over temporarily
Low	5% - 15%	Catastrophic	£500k +, partnership / service suspended long term, statutory duties not delivered, major loss of life/large scale major illness, corporate objectives not met, mass staff leaving/unable to attract staff, Remembered for years!! Service taken over permanently
Very Low	1% - 5%		
Almost Impossible	0% - 1%		