

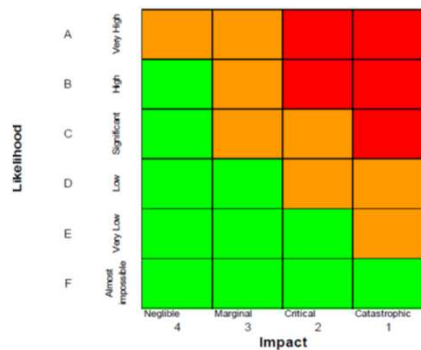
| Ref. | Risk Title | Risk Description | Consequences | Opportunities | Risk Owner | Risk Manager | Current Controls | Mitigating Actions | Date added | Date Updated | Curr. Score | Tgt Score | Trend |
|------|--|--|--|---|--|--|---|--|------------|--------------|-------------|-----------|----------------------|
| | 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 | 01/04/2014 | 18/05/2021 | 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 | SMT | SMT | Systems mirrored at 2 sites enabling work to continue. All staff are home enabled now. 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 carried out and lessons learned applied. West Suffolk IT have worked on specific mitigation of cyber attack which reduces risk | 01/04/2014 | 18/05/2021 | E2 | E2 | Reached target score |
| | COVID-19 | Increased demand due to economic impact of Covid-19 and extra Government requirements e.g. continuation of Hardship Fund and Self Isolation schemes. Withholding enforcement reducing income for Councils | Processing delays, deterioration in customer service, risk to LA error, risk to collection and recovery, increased complaints | To continue to engage with DWP/HMCLG/DHSC at a national level as an early warning system and to shape implications. | SMT | SMT | Lack of Government forecasting on economic impact upon a demand led service means we are reacting. | The vaccination program has led to opening up of businesses and the future looks good in terms of lessening of additional demand and courts should remain open | 29/10/2020 | 18/05/2021 | E3 | E3 | Reached target score |
| | Income from retained Business rates and Council Tax | Income from NDR and Council Tax do not meet budgeted amount, in particular, due to impact of pandemic on businesses and individuals and potential appeals against rateable value - also the potential impact of Brexit | The income available to the Councils is insufficient to meet needs | Income may exceed projected budget | Head of NNDR, Recovery and Enforcement | Head of NNDR, Recovery and Enforcement | Monitoring will continue for 2020/21. 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 | 01/04/2014 | 18/05/2021 | D1 | D2 | Reached target score |
| | Localised Council Tax Reduction Scheme | Unemployment levels rise to a level that make the scheme unaffordable - this risk has risen due to potential impact of Covid | Customers are asked to pay more than they can afford and arrears accrue | Increased income from Council Tax could be achieved | Head of Council Tax Billing, Benefits and System Admin | Head of Council Tax Billing, Benefits and System Admin | Current scheme has set payment levels at or below Attachment of Benefit levels for all but one Council which gives realistic opportunity to recover - Councils and the Govt are doing what they can to support businesses to keep unemployment levels from rising | If revised scheme reduces awards of LCTRS then funding from County Councils should be sought to fund additional recovery officers | 01/04/2014 | 18/05/2021 | 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 | 01/04/2014 | 18/05/2021 | 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 01/04/2016 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 | Head of Council Tax Billing, Benefits and System Admin | Head of Council Tax Billing, Benefits and System Admin | 2015/16 to 2021/22 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 | 01/04/2014 | 18/05/2021 | E2 | E2 | Reached target score |

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|--|---|--|---|--|--|---|---|------------|------------|----|----|----------------------|
| 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 this 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 | Head of Council Tax Billing, Benefits and System Admin | Head of Council Tax Billing, Benefits and System Admin | 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 2019/20 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 | 11/12/2014 | 18/05/2021 | 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 | Head of Council Tax Billing, Benefits and System Admin | Head of Council Tax Billing, Benefits and System Admin | 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. | 11/12/2014 | 18/05/2021 | 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 | Head of NNDR, Recovery and Enforcement | Head of NNDR, Recovery and Enforcement | 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 31/03/22 - quarterly reporting to County Councils to demonstrate the impact of the Fraud team. | 11/12/2014 | 18/05/2021 | 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? | <ul style="list-style-type: none"> 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% | |