

Strategic Risk Register - South Holland District Council - November 2020					
Identified Risk	Risk Categories	Risk Description	Risk Owner	Mitigations	Risk score post-mitigation (5x5)
Parkwood Leisure Provision	COVID-19, Financial	The council's ability to provide leisure services through its contract with Parkwood Leisure, including any financial risk exposure and service delivery issues as a result of the Covid-19 pandemic	Emily Holmes/ Emily Spicer	Working closely with leisure operator to ensure that their projected targets are being met. Utilising the advice of the council's Contracts and Procurement team, alongside external advisors, ensuring that we are protecting the contract by offering financial support up till December 2020. Apply for government funding once the details and applications are announced.	Likelihood 2 x Impact 3
Capacity to deal with more than one significant incident	COVID-19, Emergency Response	The ability and the capacity of the organisation to respond to and manage concurrent emergencies alongside responding to the current Covid-19 pandemic and delivering critical business as usual services	Management Team	SHDC has plans in place to deal with additional emergencies. The resources to deliver on those plans is kept under close review through service managers and the council's Management Team. Through the Lincolnshire Resilience Forum, the council remains involved in planning for concurrent exercises, including recent simulation exercises to test systems and processes. The Business Continuity plans of individual services reflect planning for dealing with more than one incident.	Likelihood 3 x Impact 2
Technology infrastructure failure	Technology	The loss of ICT impacting upon the organisation to operate effectively and deliver services to residents. The Council relies heavily on the ICT infrastructure for normal business operation. Whilst resilience is built into the environment, the loss of a service is always possible. Depending on the service lost, the impact could be severe	Jackie Wright (PSPS)	The Council has a series of resilience arrangements in place through its service provider, PSPS. Work is continuous to ensure these are fit for purpose across a range of areas.	Likelihood 2 x Impact 5
Cyber Incident / Malware Event	Technology	The risk of the council's ICT infrastructure being severely impact as the result of a cyber incident, both in terms of downtime of systems and loss of data/information. The threat landscape across the UK is continuously increasing and appears on the national risk assessment. The Council need to constantly adapt in its security mitigation and training to ensure they are both prepared from a technical and from a people aspect	Jackie Wright	There are a range of measures in place including firewalls, Mimecast and antivirus in order to protect the council's ICT systems. The ICT team play an active part in the East Midlands WARP which allow us to have early sight of issues being experienced across neighbouring Authorities and Agencies. ICT is also a member of the CISP formed by the National Cyber Security Centre, this allows us early awareness from the central agency responsible for cyber threats across the UK as well as allowing them to monitor our environment to a degree. These mitigations afford ICT awareness of emerging threats.	Likelihood 2 x Impact 5
Changes in legislation and policy in response to Covid-19	Legal, Political	The risk of the council's ability to adapt to changes in legislation and policy, both in terms of pace and scale of change. The subsequent impact of the council in responding to both new statutory requirements and ensuring compliance through appropriate understanding and resourcing.	Mark Stinson / Greg Pearson	The council's legal team continues to monitor and explore emerging legislation and local government policy and guidance. Key policy announcements from government are reviewed and interpreted on a daily basis. Emerging legislation is both a focus of the council's Management Team meetings and are considered through the council's governance team. The resourcing and operational impacts of legislative changes are also reviewed frequently through the council's internal governance structure.	Likelihood 2 x Impact 2
An increase in the rate of homelessness and/or those threatened with homelessness	COVID-19, Service Provision	The council's ability to meet the demands for support with homelessness and housing advice, supporting residents in preventing homelessness before it occurs, and when it does occur supporting residents in securing new alternative and suitable accommodation	Jason King	Resources in the Housing Options Team have been refocussed to concentrate on specific aspects of the Homelessness service- General Advice, Prevention, Relief and support for the private sector. The post of Housing First Responder has been created to add additional support and capacity to the service. This capacity will increase the number of instances where homelessness can be prevented. Additional support is in place for rough sleepers and those at risk of rough sleeping through the Change4Lincs project. The Northgate project team are currently progressing self-triage tools through My Options which will add additional capacity to the service through customer self-service. Improvements are expected to be brought online in early 2021.	Likelihood 3 x Impact 3
Regulatory Compliance	Legal, Service Provision	The risk of failing to comply with the Council's general regulatory obligations due to the volume and pace of Covid-specific legislative change; new/amended guidance; and the diversion of resources into the Council's emergency response.	Christine Marshall/Mark Stinson	Management of these risks is spread across the authority – with many service areas having their own professional resources, systems, processes and professional body membership with associated information resources. Daily updates on key policy and legislative matters is wider than just a Covid update. The Council's Legal Team receive regular legal updates which are shared as appropriate. Officers in the Legal Team and across service areas have access to various short webinars, podcasts, and other online training (such as recent data protection training rolled out to all staff).	Likelihood 2 x Impact 4
A downturn in the local economy	Economic	The risk of the economy of South Holland as a whole experiencing a downturn, resulting in both employment and business closures, and having a consequential impact on a range of resident wellbeing.	Nigel Burch/ Matthew Hogan	The council regularly monitors the impact of the local economy through engagement with businesses and partners. Engagement with business and the council remains high. A large proportion of the economy of South Holland is structured around the food production sector which continues to be a resilient. The council's longer term economy strategy of supporting innovation and productivity in the food sector is intended to further support this resilience. In terms of employment and redundancies, the council continues to work closely with the DWP and local businesses. The Covid-19 pandemic represents a risk to the wider economy of the district. The council is mobilising a package of support for local businesses during the pandemic, including council-administered grant schemes. However the financial support available to the council is finite, and therefore the council is unable to wholly mitigate the impact of the pandemic on the economy. The council is closely monitoring the impact of the end of the UK/EU transition arrangement on local businesses	Likelihood 3 x Impact 4

Senior Management Capacity	Service Provision	The risk of a reduction in the capacity of the senior management capacity impacts upon the organisational effectiveness of the council, both in terms of its management but also in terms of service delivery	Management Team	Since the commencement of the Covid pandemic, and the commencement of place based management arrangements for both the council and its partner authority Breckland, considerable efforts have been made to ensure that the council has a resilient senior management team. These measures include creating a 'gold' team of four executive managers, operating on a rota basis to deal with the pandemic response, and the creation of a wider 'management team' of senior managers, across which roles and responsibilities in the pandemic response have been shared and a 'matrix'-style of management has been adopted. The council's management team is also focusing on ways and means of supporting other aspiring officers into managerial and leadership positions, so as to further strengthen the council's managerial resilience.	Likelihood 2 x Impact 2
Decision Making	Legal, Political	The risk of a reduction in council democratic decision making due to the Covid-19 pandemic or other significant event.	Mark Stinson	Mobilisation of the use of technology for remote meetings. Provision made for emergency powers. Regular review of constitutional provisions. Back up delegations in place for absence of key members and officers.	Likelihood 2 x Impact 2
Outsourcing/service provider failure	Service Provision	Due to restrictions and reductions as a result of the pandemic, some sectors and suppliers will be in a challenging financial position. This could result in a failure to provide contracted services, works or supplies, or ultimately insolvency; i.e. supplier failure.	Mark Stinson	The team are updating supplier risk logs to identify which contracts are likely to be affected. This will be followed with discussions with suppliers on business continuity and financial mitigations being made. The council will monitor and review our supplier situation to ensure business continuity where necessary.	Likelihood 2 x Impact 3
Performance of PSPS contract	Service Provision	The risk being that the services provided to the council via its contract with PSPS fails to meet the needs and expectations of the council	Mark Stinson	Daily and weekly PIs are provided to Management Team. A new contract has been completed. Contractual meetings are attended monthly with separate meetings as necessary. Performance is monitored closely. There remains a need for outstanding Service Level Agreements to be updated/agreed of which the client officer continues to work with PSPS closely to ensure the council and its partner work effectively together.	Likelihood 3 x Impact 3
Council Financial Position	Financial	The council's medium term financial strategy has identified a budget gap and this has been exacerbated by the Covid pandemic. The risk will be that this budget gap cannot effectively be bridged during a pandemic and sums expended on maintaining and adapting services through the pandemic are not fully recovered from government.	Sam Knowles	An efficiency programme will need to identify where either savings can be made, a range of Covid related grant funding drawn down and new income sources identified to move the council towards a balanced budget. As part of the 2020/21 budget process a number of efficiency opportunities were identified to reduce the budget gap. As a result of officers now working on the pandemic response, progress has been impacted. A task group has been established and now working hard to identify further options and opportunities.	Likelihood 4 x Impact 3
Waste collections provision during Covid	Service Provision, Environmental	The loss of staff due to sickness and/or the need to self-isolate could put our ability to deliver our mandatory collection services at risk. There is also a risk that our discretionary, paid for garden waste collections may also be impacted. Without proper communication to residents there could be a reputational as well as operational risk.	Charlotte Paine	Safe working practices has been adopted to ensure continuity of services. SHDC mitigate the risk by having good relationships with agencies to support with additional staff where required. Further to this the team have identified the service priorities and would ensure that our mandatory services are delivered. This can flex depending upon the number of staff absent. We work closely with comms to ensure message are shared with residents of	Likelihood 3 x Impact 3
Staff presentation (availability / turning up at work)	COVID-19, Service Provision	The impact of staff presentation upon organisational arrangements and service delivery	Claire Burton HR Manager/ Emily Spicer	As a result of the Covid-19, the council's management team currently reviews staff presentation and sickness on a daily basis. Over 65% of the workforce are working from home and are able to do this effectively and efficiently. HR and managers are monitoring sickness and have a process in place for sickness reporting. SHDC are following H&S procedures for staff and these are being monitored and adhered too on a weekly basis. Mitigations are in place to support staff sickness levels, including health and wellbeing support alongside flu jabs. In terms of the impact of school closures on staff presentation, SHDC has developed a database of staff in the structure that have childcare responsibilities so that the impact of school closures on service provision can be better understood and modelled in advance.	Likelihood 2 x Impact 2
Retention of staff	Service Provision	The recruitment of new and retention of existing staff	Claire Burton HR Manager/ Emily Spicer	SHDC have a workforce strategy in place which includes a development programme to assist with both personal and professional development, both in terms of skills and contribution to the organisation. This programme sits alongside a package of personal support for staff. Managers are encouraged to have regular 'one to ones' with staff to ensure that they are fully supported in their roles.	Likelihood 2 x Impact 4
Reductions in council and service performance	Service Provision, Reputational	A decline in the performance of service delivery as a consequence of the pandemic and other factors	Ross Bangs	In recent months the council's internal performance monitoring framework has been reviewed. Weekly performance and intelligence indicators are shared with members and officers. The council's Management team regularly reviews these indicies. Performance is reported to PMP on a quarterly basis for scrutiny. Clear objectives and outcomes are set, reviewed and performance monitored by managers. Teams holding monthly meetings to support staff pastorally and operationally. Managers are in close contact with HR colleagues across a range of areas	Likelihood 2 x Impact 2

Impact of extensive home working	COVID-19, Service Provision, Socio-cultural	Prolonged periods of home working impact upon staff wellbeing, productivity, communication and our organisational effectiveness	Claire Burton HR Manager/Emily Spicer	Since the commencement of the Covid-19 pandemic, which has seen a significant increase in home working across staff, the council has undertaken a number of steps to ensure that any potential risks emerging from this arrangement are mitigated. This includes the adoption of MS Teams as a primary communication tool (to ensure that communication remains ongoing), the use of virtual workstation assessments and the provision of equipment to ensure appropriate home working arrangements, and regular staff surveys to evaluate staff satisfaction and wellbeing. The staff forum has developed a programme of activities to support staff currently working from home. Significant work has also been undertaken to ensure that Priory Road (and other council premises) are covid-secure, therefore enabling staff to return to the office if they have either a personal preference or a business need to do so.	Likelihood 2 x Impact 2
Impact of COVID-19 upon the organisation	COVID-19	Covid-19 has a detrimental impact upon the function of the organisation	Management Team	Since the commencement of the Covid-19 pandemic, the council has put in a number of measures to mitigate the potential impact of Covid-19 upon the function of the organisation. These mitigations include service specific measures such as new working practices and procedures, alongside whole council-systems such as guidance for staff on the use of council premises to remain covid safe. The council also has its own procedures for managing any internal Covid outbreaks.	Likelihood 3 x Impact 2
Internal Communications Breakdown	Service Provision, COVID-19, Reputational	Poor quality internal communication amongst and between the staff, management team and member cohort, impacting upon the function of the organisation	Shaun Gibbons	The comms team currently lead on regular staff and member engagement and communications. This includes regular emails to staff, videos from the leader and senior managers, and regular all-member emails. In order to develop this further, the comms team will present a new detailed 'comms calendar', which will help inform staff, members and council partners on key messaging, campaigns and information. All service managers to update comms on a regular/weekly basis.	Likelihood 2 x Impact 2
External Communications Breakdown	Service Provision, COVID-19, Reputational	Poor quality external communication with stakeholders, residents and the wider public impacts upon the council's reputation and its ability to effectively deliver services	Shaun Gibbons	External comms are quality checked by Comms to ensure that the messaging is effective and relevant to our residents. The team also gather statistics across a range of areas to understand how much interaction is being achieved through social media channels for example and adapt messages and channel shift to ensure messages are being heard and well received. To further mitigate this risk, training is being undertaken for both officers and members. By increasing the number and topics covered, the comms team will be able to in time create greater capacity and resilience and messaging will be even more effective.	Likelihood 2 x Impact 2
COVID-19 Outbreak Response	COVID-19	The council does not respond effectively to local outbreaks, and that the council has insufficient competent and trained officers to deal with covid outbreak management, both in the community and also internally	Management Team	The council has established an internal 'outbreak management cell' to share intelligence and develop response to local outbreaks. The council also attends countywide outbreak management meetings (e.g. the Local Outbreak Engagement Board). Additional officers being recruited to backfill officers in public protection. The council have outbreak management funding from LCC to fund this. Where resourcing issues arise, the Lincolnshire Covid Management Outbreak Plan identifies mutual aid support for localised issues.	Likelihood 2 x Impact 3
Short term impact on the council of a challenging transition in the UK/EU relationship	Legal, Political	The end of the EU / UK transition period on January 2021, and the terms of the ongoing relationship between the two parties at the time of the transition, have a short term impact upon the council	Greg Pearson / Mark Stinson	The council has £33.5k in government funding left from the previous no deal planning scenario, which the council has available to utilise for any short term response work required in respect of Brexit. The legal team has previously undertaken work to address legislation changes, and continues to do so. Guidance continues to be sought on key matters of importance to the council, including data storage and data handling.	Likelihood 3 x Impact 3
Impact of Local Government Reorganisation (LGR)	Legal, Political,	That the government seeks to proceed with LGR, creating a requirement for the council to respond to and shape proposals for future reorganisation. This in turn creates a number of considerations for the council linked to management capacity, legal capacity and political decision making.	Christine Marshall/Greg Pearson	The Government has recent paused release of the White paper and confirmed it will not be looking to bring anything forward while the country is still responding to the COVID-19 pandemic.	Likelihood 2 x Impact 2
Vulnerability Risk	COVID-19, Socio-Cultural	That the council fails to ensure that vulnerable residents are supported, especially in response to the Covid-19 pandemic	Emily Holmes	During the pandemic there have been three 'groups' of vulnerable residents. 'Clinically Extremely Vulnerable' (shielded) 'Clinically vulnerable' and 'other vulnerable'. There are clear methods in place to identify and support residents with targeted support pathways. For Clinically Extremely Vulnerable residents, this is being monitored through the Lincolnshire Resilience Forum framework and outcomes reported to central government. Funding and schemes are being responded to to maximise the support to local residents.	Likelihood 2 x Impact 3

Safeguarding	Legal, Service Provision	That the council fails to meet its safeguarding responsibilities	Emily Holmes	There are formal audit frameworks for Safeguarding Children and Safeguarding adults which are monitored for assurance through the Lincolnshire Safeguarding Children's Partnership and Safeguarding Adults Partnership which are statutory requirements. There are also emerging assessment frameworks for Domestic Abuse, PREVENT and modern day slavery through the Safer Lincolnshire Partnership. These audits and assessments provide key areas for meeting duties and obligations and predominantly focus on leadership, policies, training and appropriate case management from frontline officers. Internally, the actions from previous assessments are being reviewed and action plan being developed for any gaps. Frontline casework is monitored through direct supervision.	Likelihood 2 x Impact 3
External reputation	Political	The council's external reputation is impacted negatively as a result of poor decision making, failures in service delivery, and/or a deterioration in external relationships	Management Team	The council's reputation is managed in a variety of ways throughout the organisation, including at director-level (Gold) through to service manager level. An internal governance structure is in place to consider forthcoming decisions and political matters. The council's communication team play a key role in that internal governance structure to ensure that matters of external reputation are appropriately considered.	Likelihood 2 x Impact 4
Likelihood	5	10	15	20	25
	4	8	12	16	20
	3	6	9	12	15
	2	4	6	8	10
	1	2	3	4	5
	Impact				

Likelihood score	1	2	3	4	5
Definition	Rare	Unlikely	Possible	Likely	Almost certain
Description	The likelihood of the risk has been minimised to a negligible possibility	The risk is technically possible but an occurrence is not foreseeable in the medium-long term	The risk is a real possibility but the likelihood of an	The risk is probably going to occur at some point in the medium term-- , possibly sooner	The risk is probably going to occur imminently
Timeframe	Will occur at some point in next 50 years	Will occur at some point in the next 25 years	Will occur at some point in the next 10 years	Will occur at some point in the next 5 years	Will occur at some point in the next year
Probability	10% or less	Between 10-30%	Between 30-50%	Between 50-85%	85% or more

Impact score	1	2	3	4	5
Title	Minimal	Low	Medium	High	Critical
Political risk	Residents unaware of authority's actions	Residents' access to oppose actions limited	Residents' access to oppose actions process blocked	Authority fails to effectively scrutinise its actions	No scrutiny of actions takes place
Reputation risk	Increased complaints for less than one week	Increased complaints for more than one week	Negative local press coverage for one day, increased complaints for	Negative national press coverage for one day, ongoing negative local coverage	Negative national press coverage over several days. Public criticism from MP, LGA, County Council or national service body
Financial risk	Up to 1% of project budget	Up to 5% of project budget	Up to 10% of project budget	Up to 15% of project budget	Over 15% of project budget
Legal risk	Delays due to legal clarifications being sought (<1 month)	Delays due to legal clarifications being sought (1-6 months)	Delays due to legal clarifications being sought (>6 months)	Project operations potentially subject to legal challenge, project on hold until resolved	Project operations potentially in breach of legislation, project terminated
Disruption risk	Individual members of staff having work disrupted	Multiple members of staff unable to work	Total service outage for one day or less	Total service outage for several days	Total service outage for more than a week
Environmental risk	Immediately remedied damage in an isolated area	Easily remedied damage in an isolated area	Short term damage in an isolated area requiring partners assistance	Damage requiring special budget provision to rectify	Major or widespread damage requiring central government assistance
Contractual risk	Negative impact on key partner relationship	Minor contract renegotiation required	Major contract renegotiation required	Project aims or goal significantly altered or sanction clauses invoked	Project failure and/or termination of contract
Asset & Infrastructure risk	Individual pieces of equipment damaged or needing replacement	Isolated network issues, multiple pieces of equipment needing replacement	Widespread network issues, vehicle damaged	Council properties inaccessible, vehicle need replacing	Council properties damaged, multiple vehicles need replacing, key infrastructure outage
Health and Safety risk	People engaging in hazardous activities without awareness	Individual receives minor injuries	Multiple people receive minor injuries	Individual serious injury	Multiple people seriously injured, individual loss of life