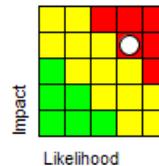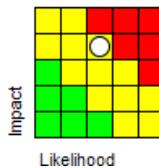# SHDC Strategic Risk Register

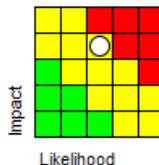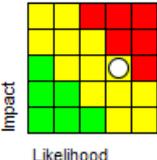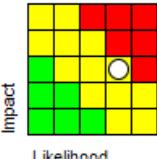| Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
Homelessness	The council's ability to meet the demands for support with homelessness and housing advice, supporting residents in preventing homelessness before it occurs, and when it does occur supporting residents in securing	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.	16	4	4		Since March 2020 there has been an on-going moratorium providing protection for renters. This has essentially placed a ban on people being made homeless from privately rented accommodation; this has most recently been extended to the 31/03/2021. Whilst further protection may be granted, it is unlikely this will continue beyond a short extension. The furlough scheme was also due to end on the 31/03/2021. Given that loss of private sector accommodation ordinarily accounts for 30% of cases the council owes a homeless duty towards it is highly likely the council will see a surge in people requiring advice, assistance and interim accommodation. The council has some interim resources in the form of Housing First Responders until the 31/03/2021, which is contributing to reducing waiting times. However, it is likely the increase in demand for interim accommodation will have a financial impact on the council. We will look to mitigate the surge in demand via first responders and further support will be kept under close review.	Jason King

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
Cyber Incident	The risk of the council's ICT infrastructure being severally 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	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.	15	5	3	⬆	The national trend for Cyber Security threats across Public Sector has almost doubled in the past 12 months and therefore the likelihood of this risk has been increased slightly to match trends we are seeing all over the country. This being said ICT continue to operate a Defence In Depth method of protection and the implementation of a Security Information & Events Management system across the ICT estate has improved our visibility and response to potential threats. Mimecast continues to block around 20-30% of emails coming into the council due to them being malicious, spam or inappropriate emails, reaching our staff and members on a monthly basis.	Jackie Wright
Parkwood Leisure Provision	The council's ability to provide leisure services through its contract with	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	12	4	3	⬆	The announcements on closures and tougher restrictions at the start of January relating to COVID-19 has seen the closure of our leisure centres, increasing financial and service	Emily Holmes

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
	Parkwood Leisure, including any financial risk exposure and service delivery issues as a result of the Covid-19 pandemic	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.					delivery risks. It will take time to regain attendance figures, with the recent announcement of the phased easing of lockdown we are hopeful we will see attendance start to increase in the coming months.	
Regulatory Compliance	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.	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).	12	4	3	⬆	The risk score has been updated to show a higher likelihood, although the overall risk score remains amber. The reasons for the change are as follow: • All indications are that PCC, LCC and local elections will take place in May. This places additional strain on the Governance Team and brings with it some risks/complications around managing Covid-safety in polling stations and the count venue. Mitigations are in place - with good progress on the election arrangements generally, early engagement with the H&S advisor and Government providing an indemnity to ROs • Covid-related updates are circulated regularly, but the frequency of preparing and circulating the same depends upon officer capacity	Mark Stinson

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
Local Economy	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.	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 has mobilised a package of support for both businesses forced to close by law during the pandemic (the LRGS Closed scheme), and 'open but impacted' businesses (the LRGS Open scheme). A total of £4.2m (and counting) has been provided to local businesses between November 2020 and February 2021. 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.	12	4	3		No change to note, other than the update to the text on mitigation	Matthew Hogan

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
Council Financial Positions	The council's medium term financial strategy has identified a budget gap and this has been increase dfurther 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.	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.	12	3	4		As part of the 2021/22 budget process an efficiency programme task group has been established which will identify new savings opportunities and income sources and monitor and report the financial impact of implemented savings project on the medium term financial strategy, including the in year budget monitoring position.	Samantha Knowles
Short term impact on the council of a challenging transition in the UK/EU relationship	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	The council has funding 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.	12	3	4		Via regular interaction with businesses and stakeholders such as The Chamber of Commerce and the Federation of Small Businesses, the Council maintains a watching brief on the impacts on the local and wider economy of the UK's withdrawal from the EU. At present, local business are reporting some problems around delays at the ports, and additional paperwork requirements, but these are expected to diminish as the new	Phil Norman

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
	upon the council						processes become embedded.	
Vulnerability risk	That the council fails to ensure that vulnerable residents are supported, especially in response to the Covid-19 pandemic	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 maximise the support to local residents.	12	4	3	⬆	This risk has been raised in both impact and likelihood as we have seen further impacts to our residents brought on by the COVID-19 pandemic, these impacts are often amplified on vulnerable residents. Further work will be needed to support these groups as we move out of lockdown.	Emily Spicer
Technology infrastructure failure	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	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.	10	5	2	▬	No significant change to this risk, any loss of key systems would have a severe impact to service delivery. ICT are currently investigating options for the improved resiliency around the main data and application storage.	Jackie Wright

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
	possible. Depending on the service lost, the impact could be severe							
Changes in legislation and policy in response to Covid19	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.	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.	9	3	3	▬	There has been no significant changes that will impact the council currently, with recent announcements to the easing of lockdown we will continue to monitor this closely. The Public Protection Team are working flexibly to meet the ongoing demand of COVID business advice and expect to respond to an increase in demand as businesses move into re-opening and recovery	Donna Hall
Changes to the strategic shared partnership	Changes to the current shared working model and any impacts this may have on the services or shared management team	A programme board of senior shared staff chaired by the HOPS has full oversight of the processes currently being taken forward. A local team has also been established to take forward the SHDC impacts. Meetings have taken place to consider staffing arrangements, contracts and IT systems and further work is planned.	9	3	3	⬆	A significant programme of work is underway to facilitate the formal cessation of the senior management shared arrangements between Breckland and South Holland. PSPS are a major partner supporting this work from an HR and IT perspective.	Christine Marshall

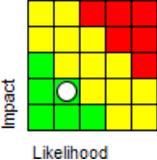| Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
Senior Management Capacity	The risk of a reduction in the capacity of the senior management capacity impacts upon the organisational effectiveness of the council, both in terms of its management but also in terms of service delivery	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.	9	3	3	⬆	Covid-19 has provided new challenges to the senior management team in terms of workload management, capacity and the organisational level effects, whilst there is no significant incident to highlight it is felt prudent to increase the risk as naturally there is increasing pressure to deliver services as we continue to move through this pandemic.	Emily Spicer
Performance of PSPS contract	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	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	9	3	3	▬	No change to risk at this stage. Work on SLAs continues and individual SLAs will be overseen by Management Team.\n\nBoston Borough Council have now approved the proposal to join PSPS. Performance of PSPS may slip from early April as staff are transferred to the company and systems are	Mark Stinson

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
		work with PSPS closely to ensure the council and its partner work effectively together.					changed. As Client Representative for SHDC, the risk owner will seek to ensure that any disruption is minimised and that performance of the existing services to SHDC does not see an adverse impact during the 'on-boarding' of BBC.	
Waste Collections	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.	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 communication to ensure message are shared with residents of	9 Impact / Likelihood chart	3	3	▬	We continue to monitor the risk assessment in place, which supports the controls in place to mitigate this risk. We are working closely with partners to learn lessons from others in the sector that have experienced outbreaks and continue to watch for guidance from experts such as WISH.	Charlotte Paine
Reductions in council performance	A decline in the performance of service delivery as a consequence of	In recent months, the council's internal performance monitoring framework has been reviewed. Weekly performance and intelligence indicators are shared with members	9 Impact / Likelihood chart	3	3	▬	No change to note	Corey Gooch

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	the pandemic and other factors	and officers. The council's Management team regularly reviews these indices. 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						
Retention of staff	The recruitment of new and retention of existing staff	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	8	4	2	▬	No change to note	Claire Burton
External Reputation	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	The council's reputation is managed is 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	8	4	2		No Change to note	Matthew Hogan

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
	relationships	reputation are appropriately considered.						
Capacity to deal with more than one significant incident	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	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.	6	3	2	⬇	As a council, we have faced events over the winter running parallel with COVID and bad weather and our business continuity plans have stood up well and we have continued to deliver services, therefore we feel it is right to reduce this risk given the real tests we have faced.	Emily Spicer
Outsourcing/ Service provider failure	Due to restrictions and reductions because 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.	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.	6	3	2	▬	Scoring is unchanged, because, although the risk has reduced to some degree until the end of the current financial year, there remains uncertainty from 1 April onwards. We have recently received Sports England Grant Funding, which means that we are able to support our Leisure Provider until 31 March without the need for additional SHDC budget. All necessary decisions have been obtained and each monthly bill from the Provider is scrutinised.	Mark Stinson

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
Impact of COVID-19 upon the council	Covid-19 has a detrimental impact upon the function of the organisation	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.	6	2	3	▬	No change to note	Matthew Hogan
COVID-19 Outbreak response	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	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.	6	3	2	▬	An additional grant of outbreak management funding has been approved from April 2021 from LCC which will enable the Public protection team to continue to resource additional COVID workload	Donna Hall
Safeguarding	That the council fails to meet its safeguarding responsibilities	There are formal audit frameworks for Safeguarding Children and Safeguarding adults, which are monitored for assurance through the Lincolnshire Safeguarding Children's	6	3	2	▬	No change to note	Emily Spicer

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
		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.						
Decision Making	The risk of a reduction in council democratic decision making due to the Covid-19 pandemic or other significant event.	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.	4	2	2	—	There remains uncertainty around the continued application of the Virtual Meetings Regulations. However, Lawyers in Local Government and the Association of Democratic Services Officer are making an application to Court for an opinion on the Government's ability to renew the Regulations using other primary legislation.	Mark Stinson
Staff Presentation (availability/turning up for work)	The impact of staff presentation upon organisational arrangements and service delivery	As a result of 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	4	2	2	—		Claire Burton

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		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.						
Impact of extensive home working	Prolonged periods of home working impact upon staff wellbeing, productivity, communication and our organisational effectiveness	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	4	2	2			Claire Burton

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		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.						
Internal communications breakdown	Poor quality internal communication amongst and between the staff, management team and member cohort, impacting upon the function of the organisation	The communications 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.	4	2	2			Shaun Gibbons
External communications breakdown	Poor quality external communication with stakeholders, residents and the wider public impacts upon the council's reputation and its ability to	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	4	2	2			Shaun Gibbons

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likelihood	Trend Icon	Latest Note	Assigned To
	effectively deliver services	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.						
Impact of local government re-organisation	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.	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	4	2	2		This has been paused by the Government until after the COVID-19 pandemic at which point it will publish a White Paper on the future of local government. A watching brief is in place as 3 areas have been taken forward to consult on potential new arrangements. When Local Government Review is identified for an area it can have an impact on recruitment for the organisations involved.	Greg Pearson