SHDC Strategic Risk Report
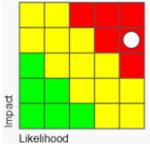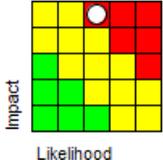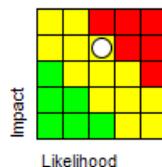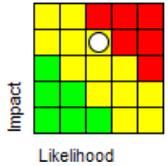
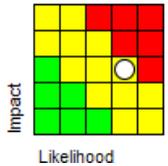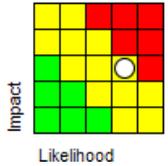| Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likeli-hood	Trend Icon	Latest Note	Assigned To
Housing Team resources	The council's ability to meet the demands for support within homelessness and housing team, supporting residents in preventing homelessness before it occurs, and when 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.	20	4	5	⬆	The team regularly reviews this risk and this has recently been increased due resource challenges within the team. The team considers the holistic challenges of homelessness which encompass both customer needs and demand on Officers. This risk is likely to remain high for the next 12 weeks during an intensive recruitment campaign.	Jason King
Cyber Incident	The risk of the council's ICT infrastructure being severally impact as the result of a cyber	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	15	5	3	▬	We continue to see a national trend for Cyber Security threats across Public Sector, which has almost doubled in the past 12 months, and therefore the likelihood of this risk remains high. ICT continue to	Jackie Wright

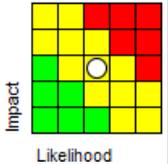| Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likeli-hood	Trend Icon	Latest Note	Assigned To
	incident, both in terms of downtime of systems and loss of data/information. The threat landscape across the UK is continuously increasing and appears on the national risk assessment. The 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	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.					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 malicious, spam or inappropriate email from reaching our staff and members on a monthly basis.	
Parkwood Leisure Provision	The council's ability to provide leisure services through its contract with Parkwood Leisure, including any financial risk exposure and service delivery	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	12	4	3		COVID-19 has enforced the closure of our leisure centres and therefore It will take time to gain attendance figures, with the final stages of lockdown easing and the full re-opening of leisure centres we are hopeful we will see attendance continue to increase in the coming months.	Emily Holmes

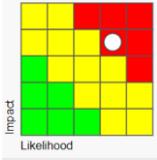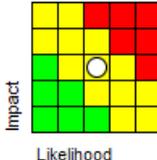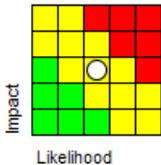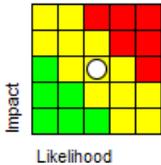| Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likeli-hood	Trend Icon	Latest Note	Assigned To
	issues as a result of the Covid-19 pandemic	announced.						
Local Economy	The risk of the economy of South Holland as a whole experiencing a downturn, resulting in both employment and business closures, and having a consequential impact on a range of resident wellbeing.	The council regularly monitors the impact of the local economy through regular 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 agriculture, food production and distribution, and horticultural sector which continues to be resilient to the effects of the pandemic on the wider economy. The council's longer term economic 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 to minimise the potential impacts of large scale redundancies if they arise. The Covid-19 pandemic represents a risk to the wider economy of the district. The council has mobilised a package of support for local businesses during the pandemic, including council-administered grant schemes. However the financial support available to the	12	4	3		Risk reviewed and no changes to note. To review at next quarter as measures such as furlough start to roll–back.	Nigel Burch

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		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.						
Council Financial Positions	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.	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. We will look to see this risk reduce in the coming months as this task group and its deliverables are developed.	Samantha Knowles
Short term impact on the council of a challenging transition in	The end of the EU / UK transition period on January 2021, and the terms of	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	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	Phil Norman

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the UK/EU relationship	the ongoing relationship between the two parties at the time of the transition, have a short term impact upon the council	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.					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 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 to maximise the support to local residents.	12	4	3		This risk remains high in both impact and likelihood as we have seen more negative impacts to our residents brought on by the COVID-19 pandemic, these impacts are often amplified on vulnerable residents.	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	The Council has a series of resilience arrangements in place through its service provider, PSPS. Work is contiuous 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

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	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						The last incident was in November. Since then this risk has been reviewed by the Head of IT and the Likelihood of the same incident occurring again is slim, the mail server has been restored and patched in line with supplier requirements, it has had a health check from VMWare and has undergone a number of cumulative updates. No underlying issues were found from investigations.	
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 are not being managed that will impact the council at present. The Senior Intelligence Lead shares any news or upcoming changes relating to policy and legislation changes with senior management keeping a watching brief on any changes as well. Additionally attention is now focused on the government's plans as the country moves out of lockdown.	Corey Gooch; Donna Hall

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Changes to the council's strategic partnership arrangements	Enabling and embedding changes to the organisation, linked to new strategic partnerships	Keep stakeholders and staff informed using comms plans, support managers/staff to enable positive growth and change through the organisation.	16	4	4	⬆	Plans have been announced concerning a proposed change to the council's strategic partnership status, with a proposal being considered for SHDC to enter a new partnership with East Lindsey and Boston, based around a new shared management structure. This will bring about a period of change for the authority which will need appropriate focus and management to ensure a smooth transition. For these reasons, the risk profile associated with changes to the council's strategic partnership status, and the need to embed those changes successfully, has been increased.	Christine Marshall
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	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. Alongside the continued impacts of Covid-19, this risk remains under review in the light of the previous risk in respect of ensuring senior management capacity in the context of the transition period for any proposed new partnerships.	Emily Spicer

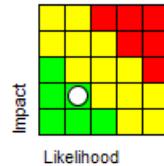| Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likeli-hood	Trend Icon	Latest Note	Assigned To
		'matrix'-style of management has been adopted. The council's management team is also focusing on ways and means of supporting other aspiring officers into managerial and leadership positions, so as to further strengthen the council's managerial resilience.						
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.	9	3	3		I have left the risk unchanged. The High Court has now determined that formal meetings cannot continue virtually. In addition, any meetings held physically must be open for physical public attendance. We have implemented mitigations. Springfield's has been booked for the AGM and the approach to the meeting will be risk assessed with social distancing measures put in place. All remaining meetings (to 21 June) are being rescheduled. From 21 June we anticipate that social distancing requirements/gathering restrictions will be relaxed.	Mark Stinson
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. Contractural meetings are attended monthly with separate meetings as necessary. Performance is monitored closley. There remains a need for outstanding Service Level	9	3	3		No change in risk this month. All SLAs are now in place. Performance is monitored and discussed at regular client meetings and regular meetings with the ELDC/BBC client.	Mark Stinson

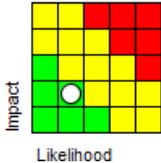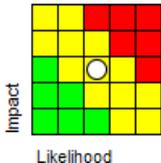| Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likeli-hood	Trend Icon	Latest Note	Assigned To
		Agreements to be updated/agreed of which the client officer continues to work with PSPS closely to ensure the council and its partner work effectively together.						
Waste Collections	The 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 comms to ensure message are shared with residents of	12	3	4	⬆	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. Currently we are seeing that the number of HGV drivers available via agencies is reduced and work is ongoing to mitigate the risk, including understanding the market and terms of employment that will attract drivers to SHDC	Charlotte Paine
Reductions in council performance	A decline in the performance of service delivery as a consequence of the pandemic and other factors	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	9	3	3	▬	The council continues to perform well in its key areas, any issues or concerns in performance are assessed and highlighted via senior management meetings and to Gold command and any relevant committees as necessary	Corey Gooch

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		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					Performance reporting is circulated monthly/quarterly and is monitored more frequently where required. As we move into recovery, the council's performance metrics will be assessed in line with any legislative/policy changes as well as the council's corporate plan to ensure all performance metrics are fit for purpose.	
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).	8	4	2		This risk has reduced to the score it was at in January. It was increased due to the PCC/LCC election and the associated Covid implications along with reduced capacity. The elections were delivered successfully. In addition, the risk had increased as policy updates (previously prepared by Greg Pearson) had ceased. These have now been reintroduced (by Corey Gooch)	Mark Stinson
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	8	4	2		A People Development Board has been established from May 2021 to ensure a strategic overview of People related topics. Turnover for May saw 7 leavers but this reduced	Judy Benson; Claire Burton

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		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					back to 0 in June. People Development Board in July discussed key risk areas where retention is a particular concern and put plans in place to mitigate the risk.	
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.	Emily Spicer
Outsourcing/S ervice provider failure	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	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		This risk is unchanged. A new decision is being sought for April-June in respect of the main contract of concern (Parkwood Leisure)

A report is then scheduled for Cabinet to consider a longer term approach. | Mark Stinson |

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	provide contracted services, works or supplies, or ultimately insolvency; i.e. supplier failure.							
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		This risk has been reviewed and currently remains unchanged.	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	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	6	3	2		Governance of the Council response to Covid 19 has moved from the outbreak cell to the new Response and Recovery Board which meets fortnightly at present. Officers are still engaged in LRF and partnership response groups including the Covid Health Protection Board, the Lincolnshire Outbreak Engagement Board, and the Outbreak Management and Contact Tracing cell. Public Protection continue to lead on the outbreak a response as	Donna Hall

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	community and also internally	resourcing issues arise, the Lincolnshire Covid Management Outbreak Plan identifies mutual aid support for localised issues.					well as monitoring business compliance with Covid regulations. Additional resource funded by an LCC grant is still in place to assist the team. The Lincolnshire Covid Outbreak Management Plan identifies mutual aid between local authorities where there are localised issues.	
Staff Presentation (availability/turning up for work)	The impact of staff presentation upon organisational arrangements and service delivery	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	4	2	2		There are no changes to this risk from the previous scoring, risk has been assessed in July.	Judy Benson; Claire Burton

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		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 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.	4	2	2		The majority of office-based staff remain working from home due to the restrictions in place. Over the next few weeks we will continue to monitor the wider situation as more staff look to return to the office where possible, the focus will be on staff who need to return to the office whilst also ensuring social distancing and COVID safe measures are in place.	Judy Benson; Claire Burton
Internal communications breakdown	Poor quality internal communication amongst and between the	The comms team currently lead on regular staff and member engagement and communications. This includes regular emails to staff, videos from the leader and	6	3	3		Likelihood and impact has been increased as we move into a recovery phase for the council we need to considering this can be an unsettling time for staff and	Shaun Gibbons

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	staff, management team and member cohort, impacting upon the function of the organisation	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.				⬆	communications will play a key part in ensuring staff are comfortable and informed around large-scale impactful projects such as the return to the office and future partnership status of the Council.	
External communications breakdown	Poor quality external communication with stakeholders, residents and the wider public impacts upon the council's reputation and its ability to effectively deliver services	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 underaken 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.	4	2	2	▬	Risk has been reviewed and scoring will remain the same for this quarter	Shaun Gibbons