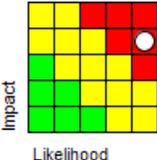
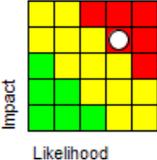
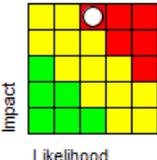


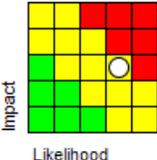
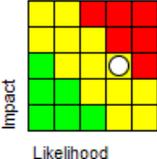
# SHDC Strategic Risk Report

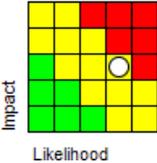
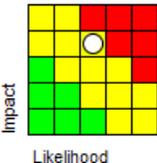
Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likeli-hood	Trend Icon	Latest Note	Assigned To
<b>Housing Team Resources and Support</b>	<p>The council's ability to meet the demands for support with homelessness and housing advice, supporting residents in preventing homelessness before it occurs, and when it does occur supporting residents in securing</p>	<p>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.</p>	<p>20</p> 	<p>4</p>	<p>5</p>		<p>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 is 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. The surge in demand can be mitigated at the current risk level if interim resources continue to be made available.</p>	<p>Jason King</p>

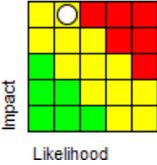
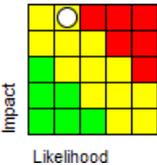
Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likeli-hood	Trend Icon	Latest Note	Assigned To
<b>Changes to the councils strategic partnership arrangements</b>	Enabling and embedding changes to the organisation, linked to the new strategic partnership.	Proactive management of risks and issues are undertaken at the programme management board.	<b>16</b> 	4	4		The new partnership is in place and in implementation phase. Reports on progress and next steps are programmed and member briefings are underway. An elevated level of risk may be expected due to the extent of the change underway but mitigations are in place to manage these risks.	Rob Barlow Nathan Elvery
<b>Cyber Incident</b>	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	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	<b>15</b> 	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. 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 malicious, spam or inappropriate email from reaching our staff and members on a monthly basis.	Jackie Wright

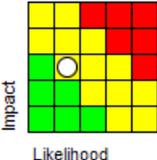
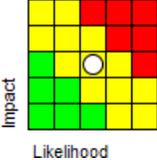
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		threats.						
<b>Parkwood Leisure Provision</b>	The council's ability to provide leisure services through its contract with Parkwood Leisure, including any financial risk exposure and service delivery issues as a result of the Covid-19 pandemic	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.	12	4	3		We are in active dialogue with our Leisure contractor that has, to date, been supported through both SHDC and Government funding. Further decisions may be required depending upon the outcome of existing negotiations.	Emily Holmes Phil Perry
<b>Local Economy</b>	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 largely resilient to the effects of the pandemic on the wider economy from a demand-side perspective, but continues to grapple with supply-side constraints relating to	12	4	3		Reviewed, but retained at current risk score for the current period. The economy as a whole is exhibiting signs of emerging from the pandemic in a resilient position, given the demand being driven through the agri-food sector and associated cluster that accounts for a significant proportion of the district's economy. However, the impact of the end of furlough and the end of the covid crisis business grants schemes is still being closely monitored. The 'high street' economy within the district (and the UK as a whole) is also still adjusting to the impacts of the pandemic. For these reasons, the scoring has been retained as unchanged.	Matthew Hogan

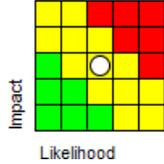
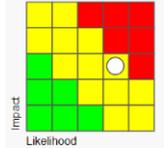
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		<p>access to labour, logistics capacity, carbon reduction and supply-chain challenges that impede growth. The council's longer term economic strategy of supporting innovation and productivity in the core agri-food sector to overcome some of these challenges is intended to further support this resilience, therefore supporting the wider supply chain and business cluster within the district. 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. To support with Covid-19 recovery, he council has mobilised a 'growth and recovery' scheme to support local businesses that have a desire to grow, including businesses within the high street economy . The council is also closely monitoring the impact of</p>						

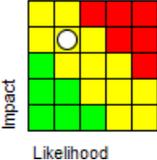
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		the end of the UK/EU transition arrangement on local businesses.						
<b>Decision Making</b>	The risk of a reduction in council democratic decision making due to the Covid-19 pandemic or other significant event.	Mobilisation of the use of technology 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.	12 	3	4		Risk remains unchanged, Covid restrictions have now lifted, compliance with Building/Employee guidance is required.  We have reviewed seating arrangements and comms to members and officers in order to minimise unnecessary close contact. Further technology improvements are underway.	Mark Stinson Rhonda Booth
<b>Council Financial Positions</b>	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.	As part of the 2020/21 budget process a number of efficiency opportunities were identified to reduce the budget gap. Despite the impact and challenge of Covid on resources progress has been made on service specific initiatives.	12 	3	4		As part of the 2021/22 budget process an efficiency programme was established which identified new savings opportunities/income sources and monitors the financial impact of implemented savings on the medium term financial strategy, including the in year budget monitoring position. Progress has been made on a number of initiatives and a progress update will be made as part of the next round of finance reporting.	Samantha Knowles

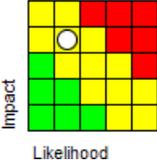
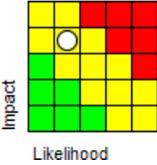
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<b>Waste Collections</b>	The loss of staff due to sickness and/or the need to self-isolate could put our ability to deliver our mandatory collection services at risk. There is also a risk that our discretionary, paid for garden waste collections may also be impacted. Without proper communication to residents there could be a reputational as well as operational risk.	Safe working practices have 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 any potential impacts to services	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. In response to this we have proactively addressed these issues in recent reports to Cabinet and Full Council	Charlotte Paine
<b>Vulnerability risk</b>	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	12 	4	3		Nationally, Shielding for Extremely Vulnerable People has ended. However, there remains additional advice and precautions that clinically vulnerable residents should take. There will also be rollout of Recovery work around vulnerability is focused on support for individuals, voluntary sector and system enabling across county partnerships. Key workstreams include; -Covid-19 support for those CEVs with ongoing needs as well as self-isolation support for those who have tested positive	Emily Holmes

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		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.					<ul style="list-style-type: none"> <li>- advice and support through the Financial Inclusion Partnership</li> <li>-Support for vulnerable Households over Winter months</li> <li>- links with Homelessness Strategic Partnership</li> </ul> <p>Risk level has not changed given the Winter months approaching. Mitigations are in place and risk score will be reassessed next quarter.</p>	
<b>Technology infrastructure failure</b>	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	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.	<p>10</p> 	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
<b>Limited Firewall Resilience</b>		A support contract is maintained which covers component failure. Also, configuration backups are regularly taken to facilitate	<p>10</p> 	5	2		PSPS are currently reviewing replacement firewall options with configuration in a resilient manner. However, it should be noted that addressing firewall resilience does not remove all the single points of	Mark Starkey

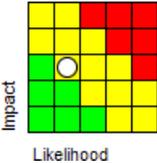
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		the rebuilding of the current device or any replacement.					failure that exist within the external network infrastructure. The Council will still rely on a single WAN (wide area network) link and a single POP (point of presence) from BT.	
<b>Changes in legislation and policy in response to Covid19</b>	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 Senior management continue to monitor any emerging legislative changes and guidance, including the Autumn Winter Plan, and highlight with Leadership Team and Members as needed.	6 	3	2		There has been a reduction in Covid legislation and policy enforced by the Council which has enabled the Public Protection Service to re-focus on core statutory responsibilities.	Donna Hall
<b>Outsourcing/Service provider failure</b>	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.	The team have updated 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.	9 	3	3		Constant review is underway of our outsourcing and service providers.	Sam Knowles

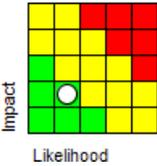
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<b>Performance of PSPS contract</b>	The risk being that the services provided to the council via its contract with PSPS fails to meet the needs and expectations of the council	Daily and weekly PIs are provided to Management Team. A new contract has 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 work with PSPS closely to ensure the council and its partner work effectively together.	<b>9</b> 	3	3		No change to the risk level at this stage, but we do need to be mindful of recent changes affecting PSPS - including the onboarding of BBC in the company and the new partnership between SHDC, BBC and ELDC. Potential impact areas will be within the ICT provision due to the system alignment required across the proposed partnership. Recruitment and retention remains an increasing issue across all Councils and PSPS.	James Gilbert Emily Spicer
<b>Reductions in council performance</b>	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 councils new SLT will review performance monthly. Performance is reported to PMP on a quarterly basis for scrutiny. Clear objectives and outcomes are set, reviewed and performance monitored	<b>12</b> 	3	4		This risk has been increased in likelihood for this quarter, this decision has been made considering current council performance, the key area of performance to note at present is the customer contact centre. Within the service speed to answer and call duration times have increased over this quarter. We continue to see resourcing challenges through exceptionally high levels of attrition within the service. The team have instigated a short term recovery plan through targeted recruitment, focused available resourcing hours on the phone, refreshed a targeted approach to training strategy. Improvements are starting to be seen, through this approach, seeing average speed of answer reduce to 164	James Gilbert Corey Gooch

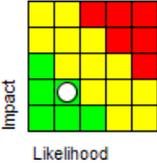
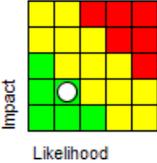
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		by managers. Teams holding monthly meetings to support staff pastorally and operationally. Managers are in close contact with HR colleagues across a range of areas					seconds in the last week of September. Recruitment and training to the multiple vacancies will have the positive response to this short term downward trend in performance but for now we feel it is prudent to increase this risk for the time being.	
<b>Regulatory Compliance</b>	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).	<b>8</b> 	4	2		No change to risk profile this month. These risks are spread across the authority and are therefore managed by a number of officers. Information continues to be shared on Covid and non-Covid matters by the Senior Change, Business Improvement and Performance Partner and legal developments are monitored by the Legal Team. The refreshed Corporate Governance group for the Partnership is in place to have oversight of governance generally.	Mark Stinson Rhonda Booth

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<b>Retention of staff</b>	The recruitment of new and retention of existing staff	The workforce strategy is proposed to be aligned across the 3 Councils and this process is underway. A development programme is in place to assist with both personal and professional development. 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	<b>8</b> 	4	2		A Workforce Development Board is now in place from September 2021 as part of the new operational governance arrangements for the Partnership. This board will assess key risk areas where retention is a particular concern and put plans in place to mitigate the risk.	James Gilbert
<b>External Reputation</b>	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	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	<b>8</b> 	4	2		A new operational governance framework has come into place across the partnership. Pro-active and effective communications are in place to manage any issues as and when they may arise.	Rob Barlow

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<b>Capacity to deal with more than one significant incident</b>	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 past year running parallel with COVID-19 challenges. Our business continuity plans have been overall effective however any amends have been included to ensure any learning is incorporated for future challenges.	Christian Allen Clint Bell
<b>COVID-19 Outbreak response</b>	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 Public Protection service continue to work with LCC and the other Districts to co-ordinate outbreak response in line with the County Outbreak Management Plan. The LCC OIRR (Outbreak Investigation and Rapid Response) Team monitor case data from contact tracing and share any	6	3	2		Case rates continue to fluctuate, but the team currently has additional funded temporary resource to assist with outbreak response.	Donna Hall

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		<p>trends or outbreak concerns.</p> <p>The Senior Manager also attends the LRF Outbreak Management Cell and the County Covid Health Protection Board.</p> <p>Funding from Government via LCC enables additional resource in the team to manage the additional workload, and this is expected to continue to April 2022.</p>						
Safeguarding	That the council fails to meet its safeguarding responsibilities	<p>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</p>	<p>6</p> 	3	2		<p>Clear referral pathways, training and supervision mitigate the risk of failing to meet safeguarding responsibilities and in turn the risk of serious harm coming to vulnerable people. A review of Safeguarding policies and procedures will take place in Q4.</p>	Emily Holmes

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		<p>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.</p>						
<p><b>Staff Presentation (availability/turning up for work)</b></p>	<p>The impact of staff presentation upon organisational arrangements and service delivery</p>	<p>As a result of the Covid-19, the council regularly reviews staff presentation and sickness. HR and managers are monitoring sickness and have a process in place for sickness reporting. SHDC are following H&amp;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</p>	<p>4</p> 	<p>2</p>	<p>2</p>		<p>Assessment has put this risk at the same score as previous, there have been no significant changes or issues that would change the scoring at this time. This issue is considered weekly at the Councils Senior Leadership Team meeting.</p>	<p>SLT</p>

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<b>Internal communications breakdown</b>	Poor quality internal communication amongst and between the staff, management team and member cohort, impacting upon the function of the organisation	presentation.  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.	4 	2	2		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. A new partnership-wide newsletter has recently been created, as well as staff partnership social media groups, to help create an awareness across all three councils of the activities and actions taking place and ensure that everyone feels like they have the latest updates available to them.	Shaun Gibbons
<b>External communications breakdown</b>	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	4 	2	2		Risk score remains the same, external comms continue to be checked by the team, training and education are provided where appropriate as well as best practice.	Shaun Gibbons

Title	Description	Controls/Mitigation	Current Risk Score	Impact	Likeli-hood	Trend Icon	Latest Note	Assigned To
		<p>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.</p>						