

Q3 SHDC Risk Register

Risk Name	Risk Owner	Description/Impact	Controls/Mitigation	Likelihood	Impact	Overall Risk
<p>Housing Team Resources and Support</p>	<p>Emily Spicer</p>	<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. The Homeless Reduction Team continue to receive significantly high numbers of people presenting homeless with national predictions indicating that this will continue for the foreseeable future across the country</p>	<p>A number of mitigations are being pursued to reduce the impact of the increase wherever possible, specifically in respect to people presenting at point of homelessness. These mitigations include in the short-term ensuring social media campaigns provide key information so that people at risk of homelessness are engaging early, ensuring that our website provides clear information specifically around preventing homelessness, working with the Community and Voluntary sector to ensure that people facing homelessness are signposted early to help and support. Two new posts are being introduced into the Housing Options Team to respond to the demand on the service. The Homelessness Accommodation Officer will manage all aspects of temporary accommodation and work with clients to facilitate moving into permanent accommodation as soon as possible. They will also regularly review the temporary accommodation options utilised by the team, ensuring that they are fit for purpose, appropriate and cost effective. The Homelessness Prevention Officer will focus on all aspects of early intervention with the aim of increasing preventative activity taken by the team and reducing the need for temporary accommodation.</p>	<p>5</p>	<p>4</p>	<p>Critical (20)</p>
<p>Cyber Incident</p>	<p>Jackie Wright</p>	<p>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</p>	<p>Defence in depth in the form of firewalls, Mimecast and antivirus is deployed both at the perimeter and the internal Local Area Network. The ICT team play an active part in the East Midlands WARP (Warning, Advice and Reporting Point) which allow us to have early sight of issues being experienced across neighbouring</p>	<p>3</p>	<p>5</p>	<p>High (15)</p>

		<p>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</p>	<p>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</p> <p>With respect to this risk, PSPS has been successful in its application for a grant from DLUHC on behalf of EL, SH and BBC to improve the security posture of the Councils. The maximum grant of £175,000 has been secured. There are several caveats around the award and its use which we will need to adhere to as we develop and implement the action plan.</p>			
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<p>Economic Downturn</p>	<p>Michelle Sacks</p>	<p>The risk of the economy of South Holland experiencing a downturn, resulting in both employment and business closures, and having a consequential impact on a range of resident wellbeing.</p>	<p>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 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.</p>	<p>4</p>	<p>4</p>	<p>High (16)</p>
<p>Changes to the council's strategic partnership arrangements</p>	<p>Rob Barlow</p>	<p>Enabling and embedding changes to the organisation, linked to the new strategic partnership.</p>	<p>Proactive management of risks and issues are undertaken at the programme management board</p>	<p>2</p>	<p>4</p>	<p>Medium (8)</p>
<p>Council Financial Positions</p>	<p>Samantha Knowles</p>	<p>The Council's medium term financial strategy has identified budget gaps in future years, and this has been exacerbated by the Covid pandemic</p>	<p>We have developed a partnership delivery plan to look at future service and commercialisation opportunities.</p>	<p>5</p>	<p>3</p>	<p>High (15)</p>

		and its impact on income. Future funding is very uncertain and the future impact of covid on future income levels also unclear. Inflationary pressures in terms of fuel, power and pay are also being seen.	Reserves are at levels sufficient to accommodate short term issues whilst longer term plans are brought into place depending upon the size of the financial challenge.			
Retention of staff	James Gilbert	The recruitment of new and retention of existing staff within the organisation affecting the ability for the organisation to deliver and meet its objectives	The workforce strategy is aligned across the 3 Councils. A development programme is in place to assist with both personal and professional development and to further develop the talents of individual employees. 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	2	4	Medium (8)
Failure to deliver the capital programme	Samantha Knowles	There are several million pounds worth of proposed capital projects that are ongoing over the next 3-5 years, these include new schemes and renovations and repairs to existing assets, key factors such as capacity to deliver both internally and externally need to be monitored and managed as well as financial constraints and pressures.	Capital working groups are in place to monitor delivery of all these projects. Along with regular PFH meetings and monthly directorate meetings. Building relationships with local contractors The effective use of frameworks Market intelligence Accurate cost planning	3	2	Medium (6)
Failure to deliver new homes programme	Matthew Hogan	There is a partnership aim to deliver 1,000 properties over 10 years, this risk identifies the failure to meet this target.	Housing working groups are in place to monitor delivery of all these projects. Along with regular PFH meetings and monthly directorate meetings. Accurate cost planning Building relationships with local contractors The effective use of frameworks	3	2	Medium (6)

			Market intelligence			
Failure to meet statutory requirements regarding general fund assets	Andy Fisher	This risk identifies the need for the council to adhere to all prevailing statutory codes as they relate to council assets and functions	The asset team have compiled a working list of assets that either have compliance contracts in place or we have local contractors with the jobs in hand. A spreadsheet has been created and a considerable amount of time has been spent updating it ready so we can add to the new database of Technology Forge.	1	4	Low (4)
			<p> The restructure has taken place, so we now have the SOPM (Strategic & Operational Property Manager) for budget management, meetings job criteria and Strategic Property acquisitions and sales. This role encompasses the day to day running of the asset team. The Estates Officer for lease arrangements, new tenants, site management and all tenant referrals including day to day issues. Repairs officer - For day-to-day repairs and allocation of work required in conjunction with liaison via the Estates Officer and SOPM. The Project Manager role is also now defined and runs all medium and major projects for the team. The SOPM would be the Senior Responsible Person for the Assets and Compliance routines.</p> <p> Training takes place on a required basis. Asbestos training being the last training of significance that was undertaken by the team </p>			
Supporting recovery from Covid19 for the local economy – people and businesses	Michelle Sacks	<p> It is anticipated that the pandemic will have an impact on national and local economies; and may affect businesses and jobs in the district. If the Government and Local Government is not able to help economies recover, there may be longer term challenges for businesses and employees resulting in job losses with direct impacts on </p>	SHDC continues to be fully engaged with partners, post Covid. The UKSPF provides an opportunity to further support businesses and supporting people into work. SHDC will work with partners to help tackle actual social and health impacts arising as a result of the pandemic; not only on deprived communities and vulnerable groups, but for people who may never have been out of work or suffered poor mental health but may find themselves in that position over the next few years.	4	4	High (16)

		<p>residents. Areas of deprivation will be of particular concern.</p> <p>When businesses and people are negatively impacted resulting in loss of jobs, council services can come under additional pressure.</p>				
Failure to comply with Information Governance and Management requirements	John Medler	<p>Increased understanding of the public's right to information means that we must be fully aware of our legal duties. The increase in data also means we must be able to manage information more effectively, including reducing the amount of unnecessary data held. Data protection breaches can result in significant fines from the Information Commissioner's Office.</p>	<p>All employees receive annual online training in data protection. Arrangements are in place to ensure that the organisation is compliant with the General Data Protection Regulation (GDPR) requirement, including lead staff attending training. PSPS also have a lead officer overseeing compliance.</p> <p>A Data Protection Officer and Deputy are in place who monitor training, compliance, and development of policy; also, full assessment of any breaches, providing recommendations for continual improvement.</p>	4	3	High (12)
Implementation of the Environment Act 2021	Victoria Burgess	<p>This new legislation will have an impact on the way that waste services are delivered and will require operational changes. Changing service delivery will require financial support, and at this stage it is unclear whether additional budget will be made available centrally.</p>	<p>The Lincolnshire authorities comprising the Lincolnshire Waste Partnership are working together to identify the impact of the Environment Act across the county. When the statutory guidance is provided by Defra, clear proposals will be drawn up for this authority.</p>	4	4	High (16)
Local Plan not delivering economic growth & prosperity	Mike Gildersleeves	<p>The Southeast Lincolnshire Local Plan (2019) seeks to support proposals which assist in the delivery of economic prosperity and</p>	<p>The Local Plan is monitored regularly with an Annual Report produced, in addition, measures such as the 5-Year Housing Land Supply and Housing Delivery Test are good indicators as to the delivery of the Local Plan. Decisions are taken against the plan,</p>	3	2	Medium (6)

		some 13,800 jobs in South Holland across the Plan period. Risk relates to allocated sites not coming forward or broader economic downturn nationally	however, they do not preclude other developments from coming forward as appropriate for consideration. Appeal decisions also inform our understanding of Plan performance. There is a statutory requirement for a 5-year review of the Local Plan (after 2024). There is presently no indication that the plan is not performing as required (even when giving regard to Covid and Brexit effects), and it is considered that the plan is sufficient to support the growth and prosperity of the district.			
Capital Programme	Adrian Sibley	Failure to deliver Major capital schemes within the capital programme resulting in Reputational Damage Financial impact Failure to deliver council objectives Reduced ability to secure future funding	Robust programme and project management Regular and structured reporting mechanisms Robust and effective governance (financial and project) Effective working with partners and 3rd Party delivery Risk transference and mitigation	2	3	Medium (6)
Externally Funded Schemes	Adrian Sibley	Failure to deliver Major capital schemes within the capital programme resulting in Reputational Damage Financial impact Failure to deliver council objectives Reduced ability to secure future funding	Robust programme and project management Regular and structured reporting mechanisms Robust and effective governance (financial and project) Effective working with partners and 3rd Party delivery Risk transference and mitigation	3	4	High (12)
Internal communications	James Gilbert	The risk is that internal colleagues do not fully understand the aims and ambitions of the partnership and the role they play in the partnership's success.	Internal communications approach already established but is being reviewed Staff informed levels are monitored through the performance framework. The scoring of this risk has been raised at Governance and Audit as this links to the metric which measures the % of staff who said they felt informed about the partnership, the Risk owner does not feel the risk needs to be increased when the context of this PI is considered, this staff poll question provides three response	3	5	High (15)

			<p>options: Yes, No or Sometimes. When Yes & Sometimes are combined this indicator increases to 93.1%. However, Deputy Chief Executives recently delivered sessions with their Assistant Directors and Service Managers which included a review of the last year and opportunity to gauge service level understanding and feedback on the objectives and vision of the Partnership. The feedback from these sessions will help to shape an action plan for any required communication around the partnership moving forward and will be incorporated into a wider internal communications review.</p> <p>Regular videos from Senior leadership team to the workforce Monthly service manager meetings</p>			
Financial hardship	Emily Spicer	The risk of financial hardship to local people in the current economic climate	<p>Taking action to improve housing standards; The new Homelessness Accommodation Officer and Homelessness Prevention Officer roles within the Housing Options Team will work together to improve relationships with local landlords, with the aim of increasing the supply of available privately rented accommodation to our customers and to ensure that landlords feel better supported if any issues arise with their tenants during the lifetime of the tenancy.</p> <p>Support to local people on budgeting, training, and jobs; Political pressure on the government to address fuel bills nationally.</p>	3	4	High (12)
Service delivery	James Gilbert	Risks to service delivery	<p>Staff resources maximised under the Partnership. Working with external partners to deliver shared priorities. HR support on recruitment and retention. Training plans. Values & behaviours work; Annual Delivery Plan, Workforce Development, policies, and procedures.</p>	3	3	Medium (9)
Performance of PSPS contract	James Gilbert	The risk being that the services provided to the council via its contract with PSPS fails to meet the	Quarterly PIs are provided to Management Team. There is a single client lead across the partnership for the contract, with several assistant directors having direct ownership and oversight of the various service level agreements.	4	3	High (12)

		needs and expectations of the councils				
External Communication	James Gilbert	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 communications are quality checked by the Communications Team to ensure that the messaging is effective and relevant to its audience. 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, media communications training has been undertaken by most senior officers in the past 6 months. In 2023, post-election, further member media communications training will be provided. A service review is taking place which seeks to introduce greater resilience partnership wide.	2	4	Medium (8)
Technology infrastructure failure	James Gilbert	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	<p>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> <p>In recognition of the outage of the Internet connection in September, PSPS considered an elevated risk score, however an outage does not mean the likelihood of reoccurrence is any greater, therefore whilst it may have been elevated at that given time, the overall rating remains the same for the period of this risk register.</p> <p>In relation to this a Major Incident review has been conducted and is in the process of being shared with the ICT Strategy Board, SLT and Portfolio Holder. This review considers resiliency options that may be used to lower the risk scoring in the future. These options were previously considered in 16/17 by the then SHDC Strategic ICT Manager and corresponding Executive Director and were considered cost prohibitive when reviewed against likelihood.</p>	2	5	High (10)