

Ref number	Risk name	Risk description	Lead risk owner	Cause/s	Potential impact/consequences	Existing control measures in place	Current risk likelihood	Current risk impact	Current risk score	Treatment (4Ts)	Planned action / future mitigation	Target risk likelihood	Target risk impact	Target risk score	Date of last review	Changes since last update	Commentary
SHDCHRA09	Qualification requirements	Management Team not qualified to the prescribed standards of the Regulator	AD: Housing	Lack of budget to fund training, availability of time invest in training, new requirement with detail still to be revealed. Reluctance to complete qualifications	Failure to meet the consumer standards; reputational damage; impact on the service as time focused studying; impact on retention of managers	Monitoring legislation - waiting for further detail; meetings with CIH	3	4	12	Treat	Increased budget for training, discussions around how to support Management by facilitating/bringing in additional resource. Progress is being made for voluntary enrolment of existing Housing Managers.	2	2	Low (4)	29/09/2024	Risk score reduced by 2 points.	More than 50% of the management team have now commenced their qualifications. Therefore, they are considered to be 'working towards' a qualification.
SHDCHRA05	Management of health and safety of DLO	Inadequate arrangements in place to meet the HSE requirements as a DLO employer	AD: Housing	Service does not have arrangements in place for effective planning, organisation, control, monitoring and review of measures to protect people	Death or injury to staff, tenants or contractors; reputation; litigation and charges of corporate manslaughter	Service specific H&S procedures; Qualified and certified employees; adequate insurance; programme for insuring training remains valid; self-audits	1	5	5	Tolerate	Programmed inspections of equipment and daily use inspections carried out by operators, which highlight any equipment deficiencies or damage, supply chain in place to replace equipment as necessary, larger items are hired to avoid replacement and service costs RA's, COSHH and SOW in place and updated in line with H&S best practice, digital copies held in office and hard copies held by each tradesman. Regular training and tool box talks held in conferences	1	5	Medium (5)	29/08/2024	No change.	No incidents recorded since last review.
SHDCHRA02	Health and Safety	Risk of failure to comply with Health and Safety requirements	AD: Regulatory	The Council has a clear responsibility to both staff and recipients of services under Health and Safety legislation and needs to effectively manage its responsibilities.	There can be consequences to the organisation's finances and reputation relating to non-compliance of health and safety requirements. There is also the risk of harm to individuals.	The establishment of the S&ELCP has increased the resilience and capability of the 3 partner councils. Resources can be more easily shared across the sub-region and procedures and policies are being joined up to provide a more efficient and effective approach towards H&S compliance. The partner Councils receive specialist Health and Safety advice from Public Sector Partnership Services who support the Partnership Health and Safety Governance Group (chaired by the Assistant Director – Regulatory) and the Staff Health and Safety Forum. Both operate under agreed terms of reference and feed into the LT – Governance. LT Governance receive minutes and recommendations for approval from the Governance Group and the Staff Forum. Policies and procedures are agreed at the Governance Group and referred to LT Governance for information. Health and Safety is included within Internal Audit's annual audit plan. The audit undertaken in 2021 demonstrated a substantial level of assurance.	2	3	Medium (6)	Tolerate	Continued monitoring and reporting	2	3	Medium (6)	29/08/2024	N/A.	No changes.
SHDCHRA06	Data	Inaccurate or incomplete data	AD: Housing	Data integrity issues; staff competency issues	Can lead to erroneous conclusions and subsequently misguided decisions.	NEC Training for officers provided, IT skills audit. Data validation for TSM perception surveys carried out by external consultant and methodology explained. Sewerage Treatment Works stock condition data verified externally. Statutory testing such as gas and electricity goes through quality assurance process before data is agreed.	4	3	12	Treat	Annual training programme of all staff reviewed to ensure understand obligations. Management checks on data. Updates to HLB. Data Strategy and KPI suite to be established which will set out data collection and reporting process.	2	3	Medium (6)	8/29/2024	No change.	No change since last review.
SHDCHRA07	Listening to tenants	Failure to listen and respond to the tenant voice	AD: Housing	Lack of training and awareness on the requirements and benefits to listen to tenants; culture that does not appreciate tenants; Not delivering/listening to the expectations of the tenants;	Failure to meet the consumer regulations; Failure to meet tenant expectations; No tenant engagement board; Increase in complaints; Reputational damage	The Housing Transformation Programme action plans includes tenant engagement and involvement as a key priority. Member and officer briefings around Consumer Standards and risk of not meeting these. Transformation Programme established and tenant voice theme in Mandate and Strategy, adopted by Members	4	3	12	Treat	Member and staff training, work with HRA to review the manner and culture towards tenants. Comprehensive project plan agreed for the HRA Transformation Team to review the Councils approach to tenant engagement.	3	2	Medium (6)	29/08/2024	No change.	No change since last review.

SHDCHRA12	Failure to self-refer to the regulator	Failure to self-refer to the regulator when a breach has been identified	AD: Housing	A breach in the consumer standards being identified or raised	Contacted by ministers; reputational damage; financial penalties	Housing Transformation Programme established	3	3	12	Treat	Housing Transformation Programme covers actions to reduce the greatest risks, PFH regularly updated, members on board, Transformation Board to monitor progress. HRA HLB ToR agreed and updated to include referrals to the responsible person for reporting regulatory breaches. Updated procedure in place to deal with reporting issues to the RSH. Risk likelihood and impact reduced on this basis.	2	3	Medium (6)	8/29/2024	No change.	No change since last review.
SHDCHRA04	Management of health and safety	Insufficient arrangements in place to monitor and manage compliance.	AD: Housing	Compliance function does not have arrangements in place for effective planning, organisation, control, monitoring and review of measures to protect people	Death or injury to staff, tenants or contractors; reputation; litigation and charges of corporate manslaughter	Service specific H&S procedures. Training for staff in key areas; standing items on team meeting agendas. Programme in place for gas, electric, asbestos, legionella, and fire safety. Decent Homes programme in place. Programme for stock condition surveys. Dedicated resource in place to manage compliance from Jan 24.	3	5	15	Treat	Programme of training to be established and delivered. Attend partnership H&S meetings. Random audit checks to be established. Housing Repairs Manager formally appointed as Health & Safety Lead for the HRA.	2	4	Medium (8)	29/08/2024	Risk score reduced by 2 points	Risk has been reduced by 2 points following recent verification work in relation to the Safety & Quality standard. Extensive testing has been carried out to determine that the Council has robust and up to date records relating to Health & Safety.
SHDCHRA01	Business continuity	Risk around business continuity and recovery in the event of a major incident or event	AD: Regulatory	The Council has a central role to play in the response to a major incident or event in the community and the subsequent recovery phase. The risk of flooding, both coastal and inland is increasingly recognised as one of the most significant and likely events that the Council will need to help with recovery. There are also internal incident and events which could impact on the Council's operations directly (e.g. cyber-attack, IT infrastructure failure, building fire).	In the immediate response phase to an emergency in the District, the "Blue Light" services will take the lead role in the subsequent recovery phase. There could be significant impact on service delivery and potentially Council finances.	The establishment of the S&ELCP has increased the resilience and capability of the 3 partner councils. Resources can be more easily shared across the sub-regions and procedures and policies are being joined up to make our response to and recovery from an incident more efficient and effective. A strategic group meets regularly, including representation from P&S, with minutes and actions reported to LT Governance for awareness. Staff across the S&ELCP are regularly trained at both Silver and Gold command in order to take a full part in a Lincolnshire-wide emergency response and support our partners in the sub region. All three councils are members of the Lincolnshire Resilience Forum, enabling access to expertise held by LCC whilst retaining staff, resources and expertise in each sovereign council within an EP&BC structure across the Partnership. Senior staff within the Councils are involved in training exercises delivered by the LRF. Regular 'live' training exercises are coordinated at County level to maximise preparedness in each council and across the sub region. Each authority has an Emergency Plan & Business Continuity Plan in place in order that service delivery can be prioritised and maintained at such times. A joint emergency and business continuity plan was approved in 2021 for ELDG and BBC to improve resilience and capability with plans for a more joined up approach across the sub region with the advent of the S&ELCP. Public Sector Partnership Services (P&S) and Magna	3	3	Medium (9)	Tolerate	Continued partnership working with the Lincolnshire Resilience Forum (LRF)	3	3	Medium (9)	29/08/2024	N/A.	No changes.
SHDCHRA03	Risk oversight	Risk oversight reduced as part of the South and East Lincolnshire Councils partnership. Overseeing the risks including a regular review of the profile and acceptance of the mitigations of the service may be reduced due to a shared SLT	AD: Housing	Shared SLT	Risk not monitored appropriately as expected by the Regulator	Work with PFH and Section 151 taking place to mitigate.	4	3	12	Treat	Transformation programme established to fully review landlord operations, oversee by a Transformation Board made up of representatives from across the partnership. The Board is chaired by the PFH for Strategic and Operational Housing and sponsored by DCX Corporate Development. Governance has been identified as a key priority which will include a suite of performance information being reported to SLT, PMP and Cabinet. Near	3	3	Medium (9)	8/29/2024	No change.	Risk score has not been changed since last review. However, Governance arrangements for the HRA are in the process of being reviewed by Cabinet and PDP. Following the review and formal adoption of the HRA Governance Framework it is expected that the risk score may be reduced.
SHDCHRA08	Tenant engagement resource	Lack of appropriate resources in place to facilitate tenant engagement	AD: Housing	Lack of budget for tenant engagement including resource, no designated lead for engagement; lack of planning for engagement; tenants stop engaging	Failure to meet the consumer regulations; Failure to meet tenant expectations; No tenant engagement board; Increase in complaints; Reputational damage	The Housing Transformation Programme action plans includes tenant engagement and involvement as a key priority. Member and officer briefings around Consumer Standards and risk of not meeting these. Transformation Programme established and tenant voice theme in Mandate and Strategy, adopted by Members	4	3	12	Treat	Review of resourcing and arrangements as part of Transformation Programme	3	3	Medium (9)	29/08/2024	No change.	No change since last review.

SHDCHRA10	HRA business plan	HRA not having an agreed strategy on how to implement all of the matters identified for improvement, growth, BAU and transformation	AD: Housing	Lack of HRA business plan narrative - Significant and unknown variances in the assumptions that underpin the HRA Business Plan	Change in areas of focused expenditure	Monthly budget meetings and forecasts reviewed. Designated Finance Business Partner. Regular reporting in place with S151 and Members. Stock condition surveys programme	4	4	16	Treat	Produce a HRA business plan narrative and have arrangements in place to review this annually. A contract has now been awarded and kick off meetings have been scheduled.	3	3	Medium (9)	29/08/2024	Risk score increased from 2 to 9.	The HRA is going through a significant period of financial flux due to the ongoing demands within the sector. Regulator discussions are taking place with the Housing Management Team, S151 and PFH. However, this will have a significant impact on the way future investment decisions are made and funded.
SHDCHRA11	Failure to meet Regulatory Consumer Standards	Failure to adapt the service to meet the new regulatory standards	AD: Housing	Lack of tenant engagement options; lack of governance arrangements; decisions not informed by data; poor record keeping; poor complaint handling; Lack of staff support; lack of Member and Senior Leadership oversight; service not resourced enough to deliver requirements; unplanned inspection	Fail inspection by the regulator; reputational damage; financial penalties	Housing Transformation Programme established, Member and officer briefings, performance data published to Portfolio Holder on a monthly basis. Action plan logging requirements and transformation board established to track progress. Senior Leaders briefed on changes and risk	4	3	12	Treat	Continued service improvement is being tracked by the Housing Transformation Board which will support a decreasing risk level. The emerging intelligence from the RSH will enable the Council to more accurately assess this risk over time. It is considered that the risk may remain higher until the Council knows the outcome of its first inspection. No change to risk score- 30/05/2024.	3	3	Medium (9)	8/29/2024	No change.	No change since last review.