

**Appendix D
Strategic Risk Register
January 2014
DRAFT**

Note: Strategic Risk Registers reported to EMT or PFH now only show risks with a total score of 5 or more (risks scoring 4 or less will still be on the Strategic Risk Register, but will not be included in the reports).



Risk Reference, Title and Description, plus associated Aims, Approaches, Actions	Risk Owner	Risk Score		Risk Owner's Comments
		Target	Current	
<p>STR08 - Medium Term Financial Strategy (MTFS) Risks concerning the financial projections include:</p> <ul style="list-style-type: none"> not achieving delivery of savings to meet targets, including from Business Improvement and Efficiency Programme projects (and see STR26 below); inflation exceeds assumptions; interest rates do not meet forecasts; employer's pension contributions increases exceed projections; changes in demand for some service areas could lead to pressures in the related budgets; unforeseen restructuring costs; retained business rates scheme – volatility of outstanding valuation appeals; major developments do not meet housing trajectory forecast; uncertainty re formula grant from 2015/16 on; cost of supporting development and meeting demand from growth; impact of welfare reform (and see STR15 below); availability of budget for Cabinet priorities; council tax strategy; national Government responds to the downturn in the economy by cutting local government expenditure faster than anticipated; material error in MTFS forecasts, <p>leading to the Council needing to take action to cut its budgets, resulting in cuts in services, public dissatisfaction, audit and inspection criticism.</p> <p>Aims, Approaches, Actions: A2, A3, A9</p>	Alex Colyer	10	20	<p>SCORES - IMPACT: 5; LIKELIHOOD: 4.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: Revised MTFS incorporates updated assumptions; approved by Council in February 2013; update provided to Cabinet in November 2013. Implement plans to deliver Council's programme in line with latest General Fund savings targets. Comparisons between MTFS, financial position statements and General Fund, HRA and Capital Programme estimates. Monitor inflation factors, effect of current economic climate on demand led services and budgets. Monthly financial report to Executive Management Team (EMT); EMT reviews progress in achieving budget targets. Council Health Dashboard. Treasury management reports to Finance & Staffing PFH.</p> <p>TIMESCALE TO PROGRESS: Local Government spending review announced June 2013. Autumn Statement and Local Government Finance Settlement announced December 2013; provisional 2014/15; indicative 2015/16. Explore opportunities for further savings beyond those in the MTFS. Explore shared service opportunities. Updated MTFS to Cabinet in February 2014.</p> <p>Relevant PI(s): SF 772 - The amount (£) of Overspend - General Fund SF 773 - The amount (£) of Overspend - Capital Programme SF 774 - The amount (£) of Overspend - Housing Revenue Account SF 707 - General Fund Budget Variation SF 749 - Capital Budget SF 748 - HRA Budget Variation</p>

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		Target	Current	
<p>STR15 - Welfare Reform Proposed radical changes to benefits, including possibility of localised council tax benefits and introduction of a universal credit system, <i>leading to possible:</i></p> <ul style="list-style-type: none"> increased IT cost due to required system changes; implementation costs not fully reimbursed by Government grant; increased workload for Benefits and Homelessness teams, <p><i>resulting in potential for:</i></p> <ul style="list-style-type: none"> adverse effect on service provision due to the number of changes; increased dissatisfaction with the service due to reduced amounts of benefit payable; impact on Medium Term Financial Strategy; devastating effect on people with mental health problems; and dislocation of private sector housing market. <p>Aims, Approaches, Actions: A9, B3</p> <p>Relevant PI(s): BV 078a - HB/CTB claims days BV 078b - HB/CTB changes days NI 181 - Benefit claims process days BV 079b i - Recoverable overpayments % BV 079b ii - HB Overpayments recovered % BV 079b iii - Overpayments written off %</p>	Alex Colyer	10	20	<p>SCORES - IMPACT: 4; LIKELIHOOD: 5.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: DCLG provided an initial grant of £84k towards costs. Cabinet approved revised Discretionary Housing Payments (DHP) policy in September 2013 and application for funding of additional help for SCDC residents via HRA top up for DHP, has now been agreed By DCLG. South Cambs Magazine Article for next 2014 magazine. DWP have confirmed increased DHP budget for 2014/15 and 2015/16 although SCDC allocation unknown. Cabinet also approved in September 2013, continuation of current Localised Council Tax Support Scheme for 2014/15, final sign off by Council now needed in January 2014 due to small legislation changes. Software suppliers have now provided details of enhanced software for localised Council Tax Support which provides alternative options for LCTS for 2015/16. Valuation Tribunal have in January 2014 dismissed the only appeal case against our LCTS scheme from resident as out of jurisdiction. Monthly monitoring of Localised Council Tax: each Parish, and Total amounts. Monitoring of those who have received 8.5% reduction in support with regard to payments, summons and under-occupation following first summons issue. Under occupation exercise updated monthly; all tenants affected written to, to ensure information held is correct. Monthly meetings with Housing re under occupancy etc. Landlord Forum held with RSL's and other District Councils, CAB and local Credit Union, January 2013. Tribunal Service identified a loophole in legislation which means some cases are exempt from reduction due to under occupation. We are currently identifying these cases and expect the number to be less than 10 cases. Benefits Manager and Housing Options and Homeless Manager part of Countywide (District Council and County) Welfare Reform Strategy Group Signpost residents who are in difficulty, advice / counselling / financial help / medical assistance etc. Housing Advice and Homelessness, and Revenues and Benefits working with Citizens Advice to provide additional budgeting advice for those adversely affected by changes to welfare benefits. Impact assessment with regard to financial impact of outstanding work at end of 2012/13 financial year. Monthly monitoring of the project by Executive Director, Benefit Manager and Revenues Manager, as part of the regular one to one process. South Cambs internal Welfare Reform Group formed and first meeting held in May to consider impact of Universal Credit for residents and SCDC.</p> <p>TIMESCALE TO PROGRESS: Members training session arranged for November 2013 to provide Members with details of how the welfare reform has impacted South Cambridgeshire residents and what is current position with Universal Credit.</p>

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<p>STR05 - Lack of land supply While there is good progress on the Cambridge fringe sites, at Cambourne and on a refreshed planning application for Northstowe despite uncertainty about improvements to the A14, development is below target, <i>leading to</i> the authority being unable to deliver its housing needs, <i>resulting in</i> the Council having to meet the shortfall in the short term from developments in existing villages and head off speculative major planning applications outside the strategy.</p> <p>Aims, Approaches, Actions: B6, B7</p> <p>Relevant PI(s): BV 106 - % new homes on brown field sites NI 154 - Net additional homes provided, NI 159 - Supply of ready to develop housing sites</p>	Jo Mills	10	16	<p>SCORES - IMPACT: 4; LIKELIHOOD: 4.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: A14 - Task Group set up with Department for Transport. Government announcement of funding for 'interim measures' on A14, pinch point scheme. Funding package for the major scheme is progressing and first phase of public consultation by Highways Agency completed, with formal consultation on new scheme due March 2014. Phase 1 planning application approved March 2013, and decision will be issued February 2014 with start on site due in the summer. Northstowe included in Government's Major Sites Initiative funding programme, with HCA investment agreed with formal announcement due summer 2014. Planning Policy produce an Annual Monitoring Report (forecasts housebuilding levels), annually review the Local Development Scheme (can address any shortfall). Planning applications submitted for Ida Darwin hospital site and Wing (land north of Newmarket Road, Cambridge). Pre-application discussions continuing on NIAB 2. Construction for Cambourne 950 underway. Cabinet meeting in June approved draft Local Plan for consultation that ended 14 October 2013. Over 6000 representations analysed. Outcome will be reported to PFH on 11 February 2014 and Full Council on 13 March. A key planning appeal at Over was unsuccessful, but application at Cottenham approved, partially on grounds of land supply.</p> <p>TIMESCALE TO PROGRESS: Timetable for new Local Development Scheme agreed by the New Communities Portfolio Holder in March 2011 with new plan at examination in 2014. Detail of timetable has been revised to fit more closely with the City Council's programme, but overall timetable unchanged.</p>
<p>STR03 - Illegal Traveller encampments or developments Failure to find required number of sites, or sites identified do not meet the needs of local Travellers, <i>leading to</i> illegal encampments or developments in the district, <i>resulting in</i> community tensions; cost and workload of enforcement action, including provision of alternative sites and/or housing; poor public perception and damage to reputation.</p> <p>Aims, Approaches, Actions: C4</p>	Jo Mills	8	12	<p>SCORES - IMPACT: 4; LIKELIHOOD: 3.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: Ongoing routine monitoring of all district development. Government guidance issued, county wide needs assessment endorsed by PFH. Monthly report on position regarding temporary expiries and applications circulated to managers and key Members for coordination and oversight. Gypsy & Traveller Plan included in draft Local Plan. Planning Committee resolved to approve applications for 55 pitches in April 2013. Over the last six months there have been five planning appeals relating to Traveller sites. Three were allowed, one dismissed and one is outstanding. Work is taking place with relevant parties regarding the planning consents.</p> <p>TIMESCALE TO PROGRESS: New applications – ongoing. Local Plan due for completion 2014.</p>

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<p>STR25 - Increase in numbers in Bed & Breakfast accommodation Potential impacts from current economic downturn and instability in the housing market and changes to the benefits system, <i>leading to</i> not enough temporary accommodation available, leading to an increase in B&B use, <i>resulting in</i> applicants not moved into permanent accommodation quickly enough and increased cost to the Council.</p> <p>Aims, Approaches, Actions: A6, A9</p>	Stephen Hills	9	9	<p>SCORES - IMPACT: 3; LIKELIHOOD: 3.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: Close working partnership with King Street Housing who provide private sector leasing options; use of Rent Deposit Scheme, Empty Homes Initiative and New Build Programme.</p> <p>TIMESCALE TO PROGRESS: Project underway to target new TA sources to reduced B&B. Monitor during 2013/14.</p>
<p>STR26 – Business Improvement & Efficiency Programme The Business Improvement & Efficiency Programme (BIEP) has its own associated risk register. Of the risks included, it is considered that only two need to be included in the Strategic Risk Register:</p> <p>1. Conflicting operational priorities, <i>leading to</i> inadequate programme and project resources, <i>resulting in</i> a delay or failure to deliver the outputs and associated benefits.</p> <p>2. Inadequate stakeholder engagement, <i>leading to</i> a lack of support at all organisational levels, <i>resulting in</i> delay or failure to deliver the outputs and associated benefits.</p> <p>Aims, Approaches, Actions: A4</p>	Alex Colyer	9	9	<p>SCORES, CONTROL MEASURES / SOURCES OF ASSURANCE:</p> <p>1. IMPACT: 3; LIKELIHOOD: 3</p> <p>The Programme Manager has identified programme and project resource requirements before the start of the tranches. Capacity has been made available for project managers and team members and the programme maintains a high priority for EMT. A number of existing projects are now providing EMT with recommendations for implementation. New projects are being added to the programme.</p> <p>2. IMPACT: 3; LIKELIHOOD: 3</p> <p>A Stakeholder Engagement Strategy and detailed stakeholder analysis has been developed. Stakeholder engagement activities will take place regularly throughout the programme. Levels of engagement from staff continue to be high with regular briefings and corporate communications. A 6 month update report was taken to the Scrutiny & Overview Committee in November 2013.</p> <p>TIMESCALE TO PROGRESS: Throughout 2012-14.</p>
<p>STR20 – Partnership working with Cambridgeshire County Council The failure of partnership arrangements (e.g. health & wellbeing, economic development, transport) with the County Council, <i>leading to</i> the needs of district residents and businesses not being adequately met or reflected in County Council resource allocation decisions, <i>resulting in</i> adverse effects on the district's residents and businesses.</p> <p>Aims, Approaches, Actions: B1, B5, B6</p>	Jean Hunter	9	9	<p>SCORES - IMPACT: 3; LIKELIHOOD: 3.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: Active engagement of officers and Members in partnerships, to ensure the district's residents' and businesses' needs are articulated.</p> <p>TIMESCALE TO PROGRESS: Progress being monitored via Corporate Plan. Dependent on the timeframe/milestones for each partnership.</p>

Risk Reference, Title and Description, plus associated Aims, Approaches, Actions	Risk Owner	Risk Score		Risk Owner's Comments
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<p>STR19 - Demands on services from an ageing population The district's demography changes, with significant growth in the over 65 year old population, <i>leading to</i> additional demands on health and social care services, including to the Council's sheltered housing and benefits services, <i>resulting in</i> adverse impact on service standards; increased customer dissatisfaction with services; increased levels of social isolation.</p> <p>Aims, Approaches, Actions: B8, C2</p>	Mike Hill	9	9	<p>SCORES - IMPACT: 3; LIKELIHOOD: 3.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: Establishment of 'Ageing Well' workshops to build relations with statutory and voluntary partner agencies, and promote community based preventative measures. Multi agency working group established September 2011, to meet bi monthly. Demographic data to inform new South Cambridgeshire Local Plan – timetable agreed in March 2011. Housing for older people Task & Finish review reported to Scrutiny & Overview Committee, 6 February 2012. Participation in county wide Ageing Well project – initial meeting held November 2011. County wide workshop held on 16 March 2012.</p> <p>TIMESCALE TO PROGRESS: Action in 2012/17 corporate plan to 'Work with older people to improve their independence and quality of life'. South Cambridgeshire Ageing Well action plan in preparation. Take account of demographic change in the corporate and financial planning cycle. Redesign services to address demands.</p>
<p>STR24 - HRA Business Plan The HRA Business Plan has its own associated risk register. Of the risks included, it is considered that only one needs to be included in the Strategic Risk Register: The Government decides to reopen the debt settlement, <i>leading to</i> increased debt requirement, <i>resulting in</i> reduced housing programme.</p> <p>Aims, Approaches, Actions: A2, A6, B8, B9, B10, C2, C9</p>	Stephen Hills	10	8	<p>SCORES - IMPACT: 4; LIKELIHOOD: 2 (from 3)</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: Capacity has been built into the Housing Revenue Account (HRA) business plan to absorb some future changes if they are required.</p> <p>TIMESCALE TO PROGRESS: Monitor Government policy including utilising our partnership arrangements with the Chartered Institute of Housing. Annual review of business plan, programme and resources.</p>
<p>STR22 - Safeguarding the Council's services against climate change The Council fails to develop measures to safeguard its services against climate change, <i>leading to</i> unacceptable vulnerability to the impact of climate shifts and other weather-related events, <i>resulting in</i> a degradation or breakdown of service delivery and damage to property, increasing costs and impact on the Council's reputation.</p> <p>Aims, Approaches, Actions: C5</p>	Jo Mills	8	8	<p>SCORES - IMPACT: 4; LIKELIHOOD: 2.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: The Council adopted the Climate Change Action Plan (CCAP) 2011-2013 on 22 September 2011. Specific actions in place within CCAP and Planning and New Communities Service Plan. Regular EMT reporting and quarterly performance reports to PFH meetings. Effective drainage plans required for planning consents. Range of measures being carried out on council housing stock.</p> <p>TIMESCALE TO PROGRESS: CCAP actions undertaken over the period 2011 to 2013.</p>

Risk Reference, Title and Description, plus associated Aims, Approaches, Actions	Risk Owner	Risk Score		Risk Owner's Comments
		Target	Current	
<p>STR02 – Equalities The Council is successfully challenged over not complying with general equalities legislation or legislation specific to public and local authority bodies, <i>leading to</i> possible Commission for Human Rights and Equalities inspection, <i>resulting in</i> reduction in reserves available to support balanced MTFs, adverse publicity and effect on reputation.</p> <p>Aims, Approaches, Actions: A1, A2</p> <p>Relevant PI(s): SX063 – Equality Framework Level 2</p>	Alex Colyer	8	8	<p>SCORES - IMPACT: 4; LIKELIHOOD: 2.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: The Council has met its legal requirements to publish equality information and equality objectives. This information is incorporated into a new Single Equality Scheme (SES), which was adopted by the portfolio holder on 21 March 2012. An updated SES will be presented to the portfolio holder for adoption during 2014.</p> <p>The adoption of a corporate approach to EQIAs is based on identification of revised assessments via forward plans and a focus on changed outcomes as a result of assessment, supported by the development of a simplified series of templates and the introduction of a 'screening tool' which is in the process of being rolled out to services. Quarterly performance reports to EMT and PFH meetings.</p> <p>TIMESCALE TO PROGRESS: A project plan detailing how the Council could attain the 'Excellent' level of the Equality Framework for Local Government (EFLG) was presented to EMT on 27 February 2013. The Equality and Diversity Steering Group has been re-established as a project team and Stephen Hills has been designated as EMT Equalities Champion to act as Project Sponsor for the future accreditation work and chair project/steering group meetings.</p> <p>The Council has prepared an interim self-assessment against the 'Excellence' level of the EFLG, which was considered by EMT on 27 November 2013. Following review, all baselines on the self-assessment are now scored as 3 (in place, but needs improving) or 4 (in place and effective). EMT welcomed the positive evidence from the self-assessment which demonstrated that equalities issues were well-understood and embedded across service areas and endorsed the suggested development areas of further work. However, a decision of whether to proceed to formal accreditation should await the outcome of discussions with Members around a possible corporate Peer Review by the Local Government Association.</p>
<p>STR12 - Supported Housing Future proposals for delivery of the service do not fit the Council's business model, <i>leading to</i> loss of staff and changes to delivery structure, <i>resulting in</i> dissatisfaction amongst residents and concerns over well being of vulnerable people</p> <p>Aims, Approaches, Actions: C2</p> <p>Relevant PI(s): Monitored through Corporate Aim C2</p>	Stephen Hills	9	9	<p>SCORES - IMPACT: 3; LIKELIHOOD: 3.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: Needs assessment of all tenants + Member task & finish group to identify best ways to meet tenants' needs. Consultation with staff on new structure. The Housing Portfolio Holder approved a new sheltered housing structure on 15 February 2012. Reduction in funding decision now taken (wef April 2012); confirmation received. Budget reviewed accordingly. Process managed so that potential negative impact has already largely been mitigated. All sheltered housing tenants informed. New service commenced July 2012. Scrutiny & Overview Committee received a 6 month review report in March 2013. Visiting support service was to have been competitively tendered, then postponed with overall budget likely to be held steady ...</p> <p>TIMESCALE TO PROGRESS: ... Visiting support service now to be negotiated with the commissioning authority.</p>

Red / **Amber** / **Green** shading in the Actual Column indicates the following movement in risk scores:

	Red	Amber	Green
for risks previously above the line:	<ul style="list-style-type: none"> the score has increased 	<ul style="list-style-type: none"> the score has not changed, or has decreased but stays above the line 	<ul style="list-style-type: none"> the score has decreased to below the line
for risks previously below the line:	<ul style="list-style-type: none"> the score has increased to above the line 	<ul style="list-style-type: none"> the score has increased but stays below the line 	<ul style="list-style-type: none"> the score has not changed, or has decreased

Notes

1. The "Reference" is unique and retained by the risk throughout the period of its inclusion in the risk register.
2. Risks are cross referenced to the relevant 2013/14 Aims, Approaches and/or Actions adopted by Council on 28 February 2013.
3. Criteria and guidelines for assessing "Impact" and "Likelihood" are shown on below.
4. The "Actual" risk score is obtained by multiplying the Impact score by the Likelihood score.
5. The dotted line (- - - - -) shows the Council's risk tolerance line.
6. The "Timescale to progress" is the date by which it is planned that the risk will be mitigated to below the line.

Impact *Giving rise to one or more of the following:*

	Service disruption	People	Financial loss *	Environment	Statutory service/ legal obligations	Management	Reputation	Score
Extreme	Serious disruption to services (loss of services for more than 7 days)	Loss of life	Financial loss over £500k	Major regional / national environmental damage	<ul style="list-style-type: none"> • Central government intervention; or • Multiple civil or criminal suits 	Could lead to resignation of Leader or Chief Executive	Extensive adverse coverage in national press and/or television	5
High	Major disruption to services (loss of services for up to 7 days)	Extensive multiple injuries	Financial loss between £251k - £500k	Major local environmental damage	<ul style="list-style-type: none"> • Strong regulatory sanctions; or • Litigation 	Could lead to resignation of Member or Executive Director	Adverse coverage in national press and/or television	4
Medium	Noticeable disruption to services (loss of services for up to 48 hours)	Serious injury (medical treatment required)	Financial loss between £51k - £250k	Moderate environmental damage	<ul style="list-style-type: none"> • Regulatory sanctions, interventions, public interest reports; or • Litigation 	Disciplinary / capability procedures invoked	Extensive adverse front page local press coverage	3
Low	Some disruption to internal services; no impact on customers	Minor injury (first aid)	Financial loss of between £6k - £50k	Minor environmental damage	<ul style="list-style-type: none"> • Minor regulatory consequences; or • Litigation 	Formal HR procedure invoked	Some local press coverage; or, adverse internal comment	2
Insignificant	Insignificant disruption to internal services; no impact on customers	No injuries	Financial loss of up to £5k	Insignificant environmental damage	<ul style="list-style-type: none"> • No regulatory consequences; or • Litigation 	Informal HR procedure invoked	No reputational damage	1

* including claim or fine

Likelihood

	Guidelines	Score
Almost certain	<ul style="list-style-type: none"> • Is expected to occur in most circumstances (more than 90%), or • Could happen in the next year, or • More than 90% likely to occur in the next 12 months 	5
Likely	<ul style="list-style-type: none"> • Will probably occur at some time, or in some circumstances (66% - 90%), or • Could happen in the next 2 years, or • 66% to 90% likely to occur in the next 12 months 	4
Possible	<ul style="list-style-type: none"> • Fairly likely to occur at some time, or in some circumstances (36% - 65%), or • Could happen in the next 3 years, or • 36% to 65% likely to occur in the next 12 months 	3
Unlikely	<ul style="list-style-type: none"> • Is unlikely to occur, but could, at some time (11% - 35%), or • Could happen in the next 10 years, or • 11% to 35% likely to occur in the next 12 months 	2
Rare	<ul style="list-style-type: none"> • May only occur in exceptional circumstances (up to 10%), or • Unlikely to happen in the next 10 years, or • Up to 10% likely to occur in the next 12 months 	1