

**Appendix D
Strategic Risk Register
July 2015 – Draft**

The Strategic Risk Register reported to EMT and Cabinet only shows risks with a total score of 5 or more. (Risks scoring 4 or less are still on the Strategic Risk Register, but are not included in the report.) Proposed changes are shown as **highlighted text**.



Risk Reference, Title, (date first included) and Description, plus associated Aims, Objectives	Risk Owner	Risk Score		Risk Owner's Comments
		Target	Current	
<p>STR05 - Lack of land supply (June 2007)</p> <p>While there is good progress on the Cambridge fringe sites and at Cambourne, the downturn in the housing market and delay in bringing forward major sites (eg Northstowe) has led to slow down in rate of progress against trajectory. In addition, the Council has lost two planning appeals for sites at Waterbeach based on the lack of 5 year land supply, <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 that are not in the submitted Local Plan.</p> <p>Aims, Objectives: 11</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	20	<p>SCORES - IMPACT: 4; LIKELIHOOD: 5</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: A14 – Work is underway on ‘interim measures’ at Girton, a pinch point scheme. Funding package for the major scheme is progressing and Highways Agency formal public consultation on new scheme completed April 2014. Work on site due to start 2016. Northstowe Phase 1 planning application approved March 2013, and decision issued April 2014 with start on site commenced 2015. Northstowe Phase 2 Planning Application submitted in August 2014 and reported to Committee for approval in June 2015. Northstowe included in Government’s Major Sites Initiative funding programme, with HCA involvement announced in the Autumn Statement 2014. Planning Policy produce an Annual Monitoring Report (forecasts housebuilding levels) and the latest update shows an improved position. Planning applications submitted for Wing (land north of Newmarket Road, Cambridge) and Cambourne West. Pre-application discussions continuing on NIAB 2. Construction for Cambourne 950 underway. Application for 199 homes granted consent at Barrington. Local Plan public examination started November 2014. Memorandum of Understanding on Five Year Land Supply agreed with Cambridge City Council on 9 September 2014. Fortnightly list of ‘significant cases’ is updated and circulated to departmental management team, listing informal enquiries, pre-applications, planning applications and appeals received each week. The departmental management team oversees major cases, with enhanced consultation with local and lead members. Management of major applications will benefit from Site Delivery Fund award of £50,000 over two years, and a new Business Excellence Manager appointed May 2015.</p> <p>TIMESCALE TO PROGRESS: Local Plan Hearings commenced on 4 November 2014. Inspectors’ letter received May 2015, and timescale for further work to be presented to PFH on 9 July 2015.</p>

Risk Reference, Title, (date first included) and Description, plus associated Aims, Objectives	Risk Owner	Risk Score		Risk Owner's Comments
		Target	Current	
<p>STR08 - Medium Term Financial Strategy (MTFS) (June 2007)</p> <p>Risks concerning the financial projections include:</p> <ul style="list-style-type: none"> not achieving delivery of additional income / savings to meet targets, including from Business Improvement & Efficiency and Commercialisation Programmes projects (and see STR26 below), shared services initiatives and the housing company; 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 2016/17 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><i>leading to the Council needing to take action to cut its budgets, resulting in cuts in services, public dissatisfaction, audit and inspection criticism.</i></p> <p>Aims, Objectives: 1, 2, 6, 10</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 Cabinet in February 2015. Implement plans to deliver Council's programme in line with latest General Fund income and 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. Treasury management reports to Finance & Staffing PFH. Monthly monitoring of business rates income, collection rates and appeals. Monthly monitoring of council taxbase to identify financial implications of growth. Additional income/savings targets built in to Business Improvement & Efficiency and Commercialisation Programmes projects, shared services and other initiatives. Reports to Cabinet on shared service opportunities in October 2014 (ICT, Legal and Waste) and November 2014 (Building Control). Autumn Statement and Local Government Finance Settlement: 2015/16 figures confirmed in February 2015.</p> <p>TIMESCALE TO PROGRESS: Continue to explore opportunities for further savings beyond those in the MTFS. Commercialisation Programme being progressed. Updated MTFS to Cabinet in July 2015. New Government Budget, 8 July 2015; Autumn Statement and Local Government Finance Settlement, December 2015.</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 (December 2010) Radical changes to benefits, including localised council tax support scheme 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, Objectives: 10</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	16	<p>SCORES - IMPACT: 4; LIKELIHOOD: 4.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: Cabinet approved revised Discretionary Housing Payments policy in September 2013 and application for funding of additional help for SCDC residents via HRA top up for DHP, agreed by DCLG. DWP have confirmed increased DHP budget for 2016/17. Software suppliers have provided details of enhanced software for Localised Council Tax Support which provides alternative options for LCTS, including options which may enable different admin arrangements to be made. 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. Review of 2013/14 and 2014/15 LCTS completed and Scheme for 2015/16 agreed at Council in January 2015. Under occupation exercise updated monthly; all tenants affected written to, to ensure information held is correct. Monthly meetings with Housing re under occupancy etc. 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 & Homelessness, and Revenues & Benefits working with Monthly monitoring of the project by Executive Director, Benefit Manager and Revenues Manager, as part of the regular one to one process. The Fraud team transferred to DWP SFIS on 1 March 2015. Grant reduction amounts provided by DWP indicated that this is less than the cost of the team.</p> <p>TIMESCALE TO PROGRESS: Remainder fraud requirement to be tied into the Enforcement and Inspection Review outcomes to ensure solution can be found. Looking at options for remainder fraud during summer 2015; implement temporary solution prior to final decision being made in autumn 2015. DWP notified us of the intention to implement Universal Credit in February 2015 for single people. The DWP have indicated that the implementation date for Universal Credit within South Cambs is likely to be Autumn 2016. There are around 120 people who could claim Universal Credit. Monitoring of cases which would be universal credit cases is being undertaken to assess the impact of the impending changes.</p>

Risk Reference, Title, (date first included) and Description, plus associated Aims, Objectives	Risk Owner	Risk Score		Risk Owner's Comments
		Target	Current	
<p>STR03 - Illegal Traveller encampments or developments (June 2007)</p> <p>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, Objectives: 5</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 planning policies included in draft Local Plan. In 2015 five pitches were granted permanent planning permission on appeal at Smithy Fen Cottenham, and temporary planning permission for 1 pitch was granted on appeal at Wimpole. There are four other pitches with temporary planning permission, which expire between 2015 and 2018. At May 2015 there is one pending application, for changes to an existing site at Chesterton Fen Road for nine pitches. There is also an outstanding planning appeal for one pitch at Willingham. The total number of permanent consented pitches is 321, in addition to the public sites that provide 30 pitches (with planning permission for 2 additional pitches). The Affordable Homes departmental risk register includes delivering HCA funded projects, to ensure the supply of Gypsy & Traveller pitches and sufficient investment in existing pitches.</p> <p>TIMESCALE TO PROGRESS: New applications – ongoing. Local Plan due for completion 2016.</p>

Risk Reference, Title, (date first included) and Description, plus associated Aims, Objectives	Risk Owner	Risk Score		Risk Owner's Comments
		Target	Current	
<p>STR27 – Shared Services initiatives with other authorities (November 2014) Shared services initiatives are not completed in a timely fashion due to</p> <ul style="list-style-type: none"> • inadequate stakeholder engagement, • conflicting priorities, or • unavailability of key staff, <p><i>leading to</i> inadequate resources and support <i>resulting in</i> a delay or failure in delivering the outputs, required additional income and savings targets, and associated benefits for the district's residents and businesses, including possible dilution in service levels initially.</p> <p>Aims, Objectives: 2, 6, 8</p>	Jean Hunter	9	9	<p>SCORES - IMPACT: 3; LIKELIHOOD: 3.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE:</p> <p>Progress to be overseen by a joint steering group including Leaders and relevant portfolio holders. For SCDC, reports to Cabinet in October 2014 (re ICT, Legal and Waste) and November 2014 (re Building Control). Strong programme and project management provided by an overall programme Shared Services Board comprising senior managers from each authority, supported by individual project boards of lead officers and relevant support services officers from each authority. Prioritisation of projects within workloads. Dedicated external resources obtained for each projected, funded from Transformation Challenge Award grant. A dedicated risk register is being drawn up for the Shared Services Board to monitor; progress will be reported through Corporate Plan monitoring.</p> <p>TIMESCALE TO PROGRESS: Dependent on the timeframe/milestones for each initiative – outline implementation milestones for the proposed single shared waste service are attached to the October 2014 report to Cabinet.</p>
<p>STR26 – Business Improvement & Efficiency, Development Control Improvement, and Commercialisation Programmes (November 2013) The Business Improvement Efficiency Programme (BIEP), Development Control Improvement Programme (DCIP) and Commercialisation Programme have their own associated risk registers. The risks included are summarised as follows:</p> <p>The Projects on the programmes are not completed in a timely fashion due to</p> <ul style="list-style-type: none"> • inadequate stakeholder engagement, • conflicting operational, programme and project priorities, or • long term unavailability of relevant and crucial staff, <p><i>leading to</i> inadequate programme and project resources and support, <i>resulting in</i> a delay or failure to deliver the outputs, associated benefits, and required income and savings targets.</p> <p>Aims, Objectives: 2, 7</p>	Alex Colyer	9	9	<p>SCORES, IMPACT: 3; LIKELIHOOD: 3</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE:</p> <p>The Programme Manager identified programme and project resource requirements before the start of the tranches. The Senior Responsible Officer is responsible for securing the required resources. Regular 1:1s with Executive Director. Regular update meetings with Project Managers & Project Sponsors used to assess required resource levels. A Stakeholder Engagement Strategy and detailed stakeholder analysis has been developed. Stakeholder engagement activities place regularly throughout the programme.</p> <p>TIMESCALE TO PROGRESS: Throughout 2012-2017.</p>

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<p>STR20 – Partnership working with Cambridgeshire County Council (September 2011) The failure of partnership arrangements (e.g. health & wellbeing, economic development, transport, City Deal) 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, Objectives: 3, 6, 8, 11</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>
<p>STR19 - Demands on services from an ageing population (September 2011) 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, Objectives: 1, 4, 5, 9</p>	Mike Hill	9	9	<p>SCORES - IMPACT: 3; LIKELIHOOD: 3.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: Following "Ageing Well" workshops, Cabinet agreed an "Ageing Well" plan in July 2014 following a Joint Portfolio Holder Task & Finish Group. SCDC is also engaged with the CCG Older People's Service procurement. Contract awarded to Uniting Care Partnership.</p> <p>TIMESCALE TO PROGRESS: Ageing Well implementation plan under development March – September 2015 to deliver Cabinet-agreed Ageing Well Plan. SCDC to contribute to the multi-agency Cambridgeshire Executive Partnership Board leading on joined-up approach to older people's service (from September 2014) with Uniting Care Partnership and reporting to the Health & Wellbeing Board. SCDC has committed Housing staff to design of CEPB projects including Data Sharing, 7-Day Working, Person-Centre System, & Ageing Healthily & Prevention.</p> <p>Take account of demographic change in the corporate and financial planning cycle. Redesign services to address demands.</p>
<p>STR24 - HRA Business Plan (March 2012) 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, Objectives: 1, 2, 4, 5, 6, 9, 12</p>	Stephen Hills	8	8	<p>SCORES - IMPACT: 4; LIKELIHOOD: 2</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>

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		Target	Current	
<p>STR22 - Safeguarding the Council's services against climate change (March 2012) 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, Objectives: 4</p>	Mike Hill	8	8	<p>SCORES - IMPACT: 4; LIKELIHOOD: 2.</p> <p>CONTROL MEASURES / SOURCES OF ASSURANCE: Effective drainage plans required for planning consents. A range of Climate Change related policies have been included in the Submission Local Plan. Response to Flood Events reviewed by EMT in October 2014.</p> <p>TIMESCALE TO PROGRESS: SCDC Service Business Continuity Plans to be reviewed by September 2015.</p>
<p>STR02 – Equalities (June 2007) 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> decisions relating to service delivery being overturned and possible Commission for Human Rights and Equalities inspection, <i>resulting in</i> delays to the implementation of new service proposals causing detriment to customer service, preventing the timely delivery of policy and financial objectives, reduction in reserves available to support balanced MTFS, adverse publicity and effect on reputation.</p> <p>Aims, Objectives: 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 on an annual basis. This information is incorporated into a revised draft Equality Scheme 2015-2020, which is currently subject to public consultation. The Council has embedded equality monitoring arrangements whereby new and revised policies and service delivery proposals are subject to screening for their likely equality implications. Where appropriate, timescales are agreed for full subsequent assessment prior to adoption of the new proposals, or as part of implementation, monitoring and review arrangements. EMT designed Stephen Hills, Director of Housing, to lead a self-assessment against the 'Excellent' standard of the government's equality framework in 2013. The assessment found evidence of broad compliance across the council's activities. The development and improvement areas identified will be incorporated in normal business activity through the draft Equality Scheme 2015-2020. EMT approved the Annual Equality Report 2014 on 10 December 2014.</p> <p>TIMESCALE TO PROGRESS: Following consultation, we anticipate submitting a final draft Equality Scheme to the lead Portfolio Holder (Cllr Mark Howell) in October 2015. In the meantime, work on the 2015-17 priorities and commitments identified in the scheme is underway.</p>

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<p>STR25 - Increase in numbers in Bed & Breakfast accommodation (January 2013) 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, Objectives: 10, 12</p>	Stephen Hills	9	6	<p>SCORES - IMPACT: 3; LIKELIHOOD: 2 (down from 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, other homelessness prevention measures and New Build Programme. Improved supply of temporary accommodation achieved during 2013/14 and 2014/15 have helped to alleviate the pressure.</p> <p>TIMESCALE TO PROGRESS: New hostel opened in April 2015 with increased capacity. Review of temporary accommodation portfolio now underway to rationalise the supply held.</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 2015/16 Aims and Objectives adopted by Council on 26 February 2015.
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