

**APPENDIX A – STRATEGIC RISK REGISTER (NOVEMBER 2021)**

| Risk Title  | Risk Cause and Effect   | Current Risk Rating | Risk Control/Mitigations  | Further Actions (as required)   | Residual Risk |
|---|---|---------------------|---|---|---------------|
| <b>IT Infrastructure Failure</b><br>Head of Service (HoS): Jeff Membery<br>Risk Owner (RO): Alex Young    | Major IT failure of infrastructure and systems - leading to complete loss of service and network connectivity in one or more service areas across SCDC, resulting in potential to miss statutory obligations, risk to vulnerable residents; incurring financial penalties, and reputational damage.   | 16                  | <ul style="list-style-type: none"> <li>• Appropriate investment in IT</li> <li>• Business Continuity plans updated and exercised, including with 3C partner councils</li> <li>• Council Anywhere working across Multiple Sites</li> <li>• Independent Penetration/Resilience testing undertaken as part of PSN compliance</li> <li>• Emergency upgrade arrangements in place</li> </ul>   | <ul style="list-style-type: none"> <li>• Investment in the Data Centre</li> <li>• Review the Business Continuity Plans to reflect agile working</li> <li>• PEN tests regularly undertaken and reviewed, driving new action plans</li> </ul> | 8             |
| <b>Northstowe Civic Hub and other Community Buildings</b><br>HoS: Peter Campbell<br>RO: Kirstin Donaldson | Risk of project failure to deliver on time and to budget. This could lead to additional costs; reputational damage and/or delays to service and community provision.  | 16                  | <ul style="list-style-type: none"> <li>• Commissioned external advisers (Civic) to produce blueprint for the Civic Hub</li> <li>• Considering community Centre as part of the development of the town centre and EZ rather than a stand alone project. Working with external advisors.</li> <li>• Regular monitoring of project</li> </ul>  | <ul style="list-style-type: none"> <li>• Consideration of S106 contributions</li> <li>• Potential for investment in the Civic Hub to be further explored</li> </ul>   | 12            |
| <b>Flooding</b><br>HoS: Bode Esan<br>RO: Michael Parsons  | Periods of heavy rain can cause surface water saturation and rising ground-water and river-levels. Potential for houses, businesses and infrastructure to flood, resulting in people forced to leave their homes and disrupting communities and damaging the local economy/water and food supplies. SCDC services are interrupted as staff are diverted to manage emergency response. | 16                  | <ul style="list-style-type: none"> <li>• Local Plan policies and Sustainable Environment</li> <li>• SPD address flood reduction and mitigation</li> <li>• Parishes supported to have own Emergency Plans and resources</li> <li>• SCDC is active in CPLRF</li> <li>• SCDC practices its Emergency Plan and Business Continuity Plan responses</li> <li>• Sandbag service provided by Greater Cambridge</li> <li>• Shared Waste Service</li> </ul> | <ul style="list-style-type: none"> <li>• Annual inspections of award drainage system to ensure that the awarded watercourse network can transfer maximum levels of surface water.</li> </ul>  | 12            |

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|   | Extreme weather incidents are rising due to the climate crisis and likely to continue in the short term.  |    |  |  |    |
| <b>Audit of Accounts</b><br>HoS: Peter Maddock<br>RO: Farzana Ahmed   | On going issues with the completion and audit of accounts. 2018/19, 2019/20 and 2020/21 are all still outstanding.  | 16 | <ul style="list-style-type: none"> <li>• Additional dedicated temporary resources with a proven track record have been employed to carry out the process of getting the accounts up to date</li> <li>• Regular progress monitoring including regular catch up meetings.</li> <li>• Clear plan with timescales now in place to achieve catch up.</li> </ul> | <ul style="list-style-type: none"> <li>• Further training requirement to get finance team up to speed with all accounting requirements</li> <li>• Regular liaison with Auditors to understand their requirements as they change</li> </ul> | 12 |
| <b>Partnership Working – Infrastructure</b><br>HoS: Stephen Kelly<br>RO: Stephen Kelly  | Delivery of key infrastructure across Greater Cambridge is critical to implementation of the Council's Local Plan, and improved transport and infrastructure for the public                                       | 16 | <ul style="list-style-type: none"> <li>• Close working with partners at Cambridge and Peterborough Combined Authority and Greater Cambridge Partnership</li> </ul>   | <ul style="list-style-type: none"> <li>• Close collaboration on consultations emanating from CPCA, GCP and GCSPS to ensure project outcomes are aligned.</li> </ul>  | 10 |
| <b>Cyber Security</b><br>HoS: Jeff Membery<br>RO: Jeff Membery  | Risk of having data stolen and held to ransom – potential data breach for residents with sensitive data. Includes medical history and bank details and family history. Implications, legal, financial, reputation | 12 | <ul style="list-style-type: none"> <li>• Looking at implementing a cyber security team</li> <li>• Most of the Council is on Single Sign-on</li> <li>• Having strong and effective passwords</li> </ul>   | <ul style="list-style-type: none"> <li>• Currently reviewing best practice in terms of password settings</li> <li>• Strengthening dual factor authentication</li> </ul>  | 8  |
| <b>Failure to meet targets for building new affordable Council housing and failure to spend the right to buy receipts</b><br>HoS: Peter Campbell<br>RO: Kirstin Donaldson | Lack of experienced, commercial new-build development and project management skills, experience and capacity. Leading to failure to build enough new affordable homes each year and spend Right-To-Buy receipts.  | 12 | <ul style="list-style-type: none"> <li>• Council supports new HRA Borrowing freedoms</li> <li>• Well established systems in place to acquire properties from developers, target in recent years exceeded</li> <li>• Government Policy towards used of Right to Buy receipts has been relaxed, giving more time to spend</li> </ul>                         | <ul style="list-style-type: none"> <li>• Opportunities arising from the Investment Partnerships being explored</li> </ul>  | 6  |

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| <p><b>Information Governance</b><br/>HoS: Jeff Membery<br/>RO: Jeff Membery</p>                                    | <p>Failure to effectively manage information and data handling and retention, use of incorrect information and legal non-compliance. Leading to loss or corruption of data, inability to access or share data across services and with Partners. Limitations to service delivery, possible financial and legal penalties and reputational damage.</p>  | <p>12</p> | <ul style="list-style-type: none"> <li>• Policies, guidance in place</li> <li>• PSN compliance achieved</li> <li>• Staff resources. New Information Governance</li> <li>• Manager started Autumn 2021</li> </ul> <p><b>Corporate Training</b></p> <ul style="list-style-type: none"> <li>• •Good practice</li> <li>• •IT Systems</li> <li>• •IT Security policies</li> <li>• •Document Storage</li> <li>• •GDPR and DPA compliance</li> <li>• Protocols &amp; Sharing agreement Member awareness</li> <li>• Information Governance Group meeting regularly and assesses new risks</li> </ul>   | <ul style="list-style-type: none"> <li>• Moved from systems that store data outside of the UK</li> </ul>  | <p>6</p> |
| <p><b>Housing delivery and maintaining a 5 year housing supply</b><br/>HoS: Stephen Kelly<br/>RO: Sharon Brown</p> | <p>Failure to meet targets in housing and affordable homes delivery, standards and design, or appropriately plan for new housing. Failure to address national changes in housing policies, and miss targets in local plan housing, as allocated in the local plan. Leading to lack of suitable housing for residents and high house prices.<br/><br/>Lack of a 5 year housing land supply would expose the council to risk of losing control over development.</p> | <p>12</p> | <ul style="list-style-type: none"> <li>• Annual monitoring of delivery against housing trajectory in Annual Monitoring Report (AMR)</li> <li>•Tracking of outline planning permissions through to implementation</li> <li>•Planning Performance Agreements (PPAs) in place for all strategic sites to set out agreed programmes and secure monies for staff.</li> <li>•Neighbourhood Planning Toolkit to enable parishes to develop local housing and design polices reflecting local circumstances</li> <li>•Tracking of delivery against Housing Delivery test</li> <li>•New Housing Strategy agreed by Cabinet in April 2019</li> <li>•Major Sites Programme Board meeting every 2 months.</li> </ul> | <ul style="list-style-type: none"> <li>• Implement an adequate workforce plan which addresses risk around difficulties in recruitment and retention of planners</li> <li>• Housing Strategy action plan progress to be reported to Cabinet on an annual basis</li> <li>• Careful ongoing monitoring of housing supply by the 5 YLS officer</li> </ul> | <p>8</p> |

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| <p><b>Insufficient people resources and skills</b><br/>HoS: Anne Ainsworth<br/>RO: Jeff Membery</p> | <p>Council unable to recruit in a high employment area, national skills shortages in certain skills areas (HGV drivers, planners, environmental health officers, lawyers, project managers), high cost of living, inability to match market-place pay and package levels. Leading to staff shortages and a lack of suitable skills and capacity, resulting in an inability to deliver services and business plan. Negative impact on current staff.</p> | <p>12</p> | <ul style="list-style-type: none"> <li>• Develop an adaptable and flexible workforce, with digital skills and agile working</li> <li>• Promote the Values and Behaviours of the SCDC workplace</li> <li>• Branding and selling South Cambs as an employer –</li> <li>• HGV publicity and Planning microsities</li> <li>• Develop career progression schemes in areas that are hard-to-fill</li> <li>• Diversity of work and development opportunities</li> <li>• Focus on personal and career development as part of PDRs</li> <li>• Good management and leadership (1:1s, PDR, etc)</li> </ul>   | <ul style="list-style-type: none"> <li>• Review Apprenticeship Strategy</li> <li>• Include recruitment and skills development within Service Reviews</li> <li>• New approach to hybrid-working proposed</li> <li>• Review the Job Evaluation Scheme</li> </ul> | <p>6</p>  |
| <p><b>Brexit</b><br/>HoS: Anne Ainsworth<br/>RO: Jeff Membery</p>                                   | <p>Increases in prices for goods and services; and potential supply chain issues leading to stockpiling, lack of materials, delays to projects and increased costs.</p>   | <p>12</p> | <ul style="list-style-type: none"> <li>• SCDC fully engaged in CPLRF Emergency Planning meetings and reporting arrangements locally</li> <li>• SCDC Heads of Service have assessed service and resident impacts.</li> <li>• Extra fuel ordered and stored for SCDC operations</li> <li>• Staff home locations mapped to support flexible deployment of officers in the event travel / fuel disruption</li> <li>• Being monitored at SCG Gold level along with other public services</li> <li>• Investment strategy takes consideration of potential effect of Brexit on the construction industry</li> <li>• Investment strategy considers impacts on property portfolio</li> </ul> | <ul style="list-style-type: none"> <li>• Attend CPLRF Brexit Strategic Coordination Group and Tactical Coordination Group meetings.</li> </ul>   | <p>12</p> |

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| <p><b>Risk around carbon reduction for existing housing stock</b></p> <p>HoS: Peter Campbell<br/>RO: Eddie Spicer</p> | <p>Failure to meet carbon reduction target for existing Council housing stock with time and/or budget</p>   | <p>12</p> | <ul style="list-style-type: none"> <li>• Asset Management Strategy being developed</li> <li>• External report commissioned from Savills</li> <li>• Participate in Net Zero Collective to trial solutions.</li> <li>• Stock condition survey to be commissioned, with detailed business plan to follow.</li> </ul>   | <ul style="list-style-type: none"> <li>• Review of HRA business plan following completion of HRA AMS</li> </ul>   | <p>6</p> |
| <p><b>Compliance risk for Council Housing</b></p> <p>HoS: Peter Campbell<br/>RO: Eddie Spicer</p>                     | <p>Compliance for housing is facing increasing scrutiny following the Grenfell tragedy and the subsequent white paper. There is a significant reputational risk of failure and the impact of the housing regulator being involved.</p>  | <p>10</p> | <ul style="list-style-type: none"> <li>• There is an increased focus on compliance within the new HRS asset management plan.</li> <li>• The new repairs contract increase more KPIs on compliance</li> <li>• The new service manager has carried out an audit of working practice</li> <li>• The Council will continue an independent audit of gas servicing.</li> </ul>  | <ul style="list-style-type: none"> <li>• Consideration of additional external audit or scrutiny of compliance activities.</li> <li>• Data quality checks to be introduced.</li> </ul> | <p>4</p> |
| <p><b>Financial position</b></p> <p>HoS: Peter Maddock<br/>RO: Farzana Ahmed</p>                                      | <p>Government Spending reduces and business rates retention if changed, impacts on SCDC as a growth area. Economic growth reduces and so tax income to government reduces, impacting on the Local Government Settlement. PWLB restrictions prevent Council from implementing investment plans which would have generated commercial income. Cost of growth sees demand for services outstrip income from new business rates or Council tax.</p> | <p>10</p> | <ul style="list-style-type: none"> <li>• Investment Strategy has yielded a good investment return, (Ermine Street and other commercial properties)</li> <li>• Budgeting cycle linked to Business Plan</li> <li>• Budget cycle for 22/23 well underway</li> <li>• New Economic Development Team in place bringing together Business Support and Commercial/Regeneration Investments</li> <li>• Staff and Member training</li> <li>• Delay of Fair Funding review has had a positive impact on 22/23 budget gap, creating a further year with to ensure transformation savings are delivered</li> </ul> | <ul style="list-style-type: none"> <li>• Refresh Investment Strategy</li> <li>• Programme of Service Reviews to continue</li> </ul>   | <p>6</p> |

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| <p><b>Governance of Shared Services</b><br/>HOS: Anne Ainsworth<br/>RO: Jeff Membery</p>                                | <p>Ineffective and bureaucratic Shared Service decision-making processes are not open and transparent. Leading to lack of clarity of and Councillor involvement in what Shared Services are expected to deliver</p>  | <p>10</p> | <ul style="list-style-type: none"> <li>Quarterly performance, finance and risk reviews undertaken by Shared Service Director Board with each Head of Shared Service.</li> <li>Shared Service Agreement signed by all Councils</li> <li>Governance structure has been in place for 3 years</li> <li>Quarterly Shared Services Member-lead meetings</li> <li>Joint Member Boards for Waste and Planning services</li> </ul>   | <ul style="list-style-type: none"> <li>Governance arrangements currently under review to ensure they are fit for purpose moving forward</li> </ul>   | <p>10</p> |
| <p><b>Organisational culture doesn't reflect organisational direction</b><br/>HoS: Liz Watts<br/>RO: Anne Ainsworth</p> | <p>Council is unable to reflect appropriate skills, behaviours and attitudes in Managers and Staff, leading to poor behaviour and poor working practice, ineffective use of resources, reputational damage, failure to deliver, loss of partner engagement, low retention and recruitment, poor Member-Officer, partnership working, and a lack of a joined-up approach.<br/>Possible intervention</p> | <p>8</p>  | <ul style="list-style-type: none"> <li>Appraisal and performance management processes in place</li> <li>Significant programme of engagement and communications across the council, including: Awards ceremony and Town Hall sessions, Weekly Vlogs from CEO and Leadership Team, Corporate Management Team (CMT) development/formal meetings and briefings, Insite opportunities to thank colleagues and celebrate excellence</li> <li>Well-developed Comms strategy &amp; engagement</li> <li>A range of internal and external training opportunities for all staff funded through central budget</li> <li>Good recruitment practices, including recent changes to support improved diversity (eg blind recruitment)</li> <li>Inclusive &amp; enabling organisational structure now well embedded</li> <li>Regular Staff Survey</li> </ul> | <ul style="list-style-type: none"> <li>Further development of CMT through a programme of training events, some of which will be mandatory, and an expectation that every CMT member will attend a certain number of training sessions throughout the year</li> <li>Development of Team Charters</li> <li>Consideration of how to manage teams in a hybrid environment</li> </ul> | <p>6</p>  |
| <p><b>Failure to meet carbon emission reduction target</b></p>  | <p>Annual carbon emissions in 2024-25 exceed the target published in the Zero Carbon Strategy</p>  | <p>8</p>  | <ul style="list-style-type: none"> <li>Programme of projects which will result in reductions to carbon emissions, captured through the Council's <a href="#">Zero Carbon Strategy</a></li> </ul>  | <ul style="list-style-type: none"> <li>Complete the Greening S Cambs Hall project</li> <li>Waterbeach solar project</li> </ul>   | <p>6</p>  |

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| HoS: Bode Esan<br>RO: Siobhan Mellon   |   |   |  | <ul style="list-style-type: none"> <li>Gradual transition to electric waste vehicles</li> </ul>  |   |
| <b>Organisational Review and Operating Model</b><br>HoS: Jeff Membery<br>RO: Jeff Membery: | The Council's operating model, organisational values, capabilities, and structure fail to deliver the Business Plan.  | 8 | <ul style="list-style-type: none"> <li>Engagement and comms plan for colleagues,</li> <li>Members and Partners in place</li> <li>Transformation Fund set up to resource change Programme</li> <li>Transformation projects and Board established to oversee delivery of objectives</li> </ul>   | <ul style="list-style-type: none"> <li>Restructure the review to separate out the Automation Project</li> </ul>  | 6 |
| <b>Lack of commercialisation skills</b><br>HoS: Anne Ainsworth<br>RO: Jeff Membery         | Lack of the skills sets to make an impact with the private sector leading to poor decision making and identification of opportunities. Potential reputation damage.   | 8 | <ul style="list-style-type: none"> <li>New Economic Development Team established</li> <li>Support for CMT as a whole to think commercially</li> <li>Robust business planning activities</li> <li>Joint cross-service teams considering commercial opportunities</li> </ul>   | <ul style="list-style-type: none"> <li>Commercial skills and resource to be strengthened within the Economic Development Team. April 2022</li> </ul>   | 6 |
| <b>Impacts of Covid</b><br>HoS: Liz Watts<br>RO: Anne Ainsworth                            | Ongoing Covid related risks, including the ability to manage continuing Covid-related service demands as well as Business as Usual; the potential impact on staff sickness and performance levels; impact on residents and business needing help and support as Covid levels remain high. | 6 | <ul style="list-style-type: none"> <li>Ongoing use of the remaining Covid Grant Funding to support our communities and businesses - including additional resource to manage increased demands on services resulting from the pandemic</li> <li>Weekly monitoring of staff sickness</li> <li>Continuing to be flexible across the workforce to deploy resources as needed, including agile working</li> <li>Pandemic related business support and advice being provided by the Business Support Teams</li> <li>Active Comms engagement to ensure information flows to communities, businesses, relevant groups and parishes in a timely manner</li> <li>Continuing to coordinate a network of covid support groups to try to mitigate the impact of the pandemic</li> </ul> | <ul style="list-style-type: none"> <li>Internal Covid Gold Group continuing to meet fortnightly to review the ongoing and current demands of Covid and continue to be agile and flexible in our service delivery</li> <li>Reviewing best use of any remaining Covid recovery funding</li> <li>Cambridgeshire is currently an ERA and appropriate actions are being taken with the County and Peterborough SCG</li> </ul> | 6 |

**RAG Rating Key:**

- Red is any strategic risk with a rating 11-20 (Likelihood x Impact)
- Amber is any strategic risk with a rating 6-10
- Green is any strategic risk with a rating of 5 or below