

Inherent Risk								Residual Risk				Actions			
Risk No.	Risk Description	Cause	Effect	Owner	Likelihood	Impact	Score & RAG	Key Controls	Likelihood	Impact	Score & RAG	Actions	Owner	Target Date	Action RAG
CUSTOMER PERSPECTIVE															
A2	East Cambridgeshire Trading Company and East Cambridgeshire Street Scene Ltd fail to deliver upon business plans and expected levels of performance.	Poor performance by the companies with a lack of challenge and oversight. Failure to embed effective governance arrangements and segregation of duty.	Failing to achieve corporate priorities and Medium Term Financial Strategy. Reputational risk.	D-CS / D-O	3	5	15 (A)	Business Plans, Articles of Association and Shareholder Agreements. Established shareholder arrangements. Regular reporting to Finance and Assets and Operational Services Committees (in remit as Shareholder committee) and Full Council. Independent Chairperson. Independent external audit review of accounts, and opportunity to commission ad-hoc advice if required. S151 Officer and Monitoring Officer present as non-voting members at Board meeting.	2	4	8 (A)				
A3	Failure to deliver the housing strategy, and provide affordable housing to residents within the district.	Challenges to future supply due to housing market and Government policy.	Failure to deliver the Council's commitment to 'genuine affordable' housing.	ISM D-C	3	4	12 (A)	Council Support Programme to Community Land Trusts. Community Led Development SPD. Engagement with CPCA to access Housing Fund. Newly published Strategic Housing Market Assessment (SHMA) Small loan agreed to ECCLT to deliver 15 Shared Ownership Units in Ely. Approved £100k homes allocation policy.	2	3	6 (A)	Approve first homes local allocation policy.	D-O	March 2022	G

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A4	Homelessness in the District.	Increase in homelessness driven by external factors such as Universal Credit and the Homelessness Reduction Act.	Impact on the Council finance and resources.	D-O	4	5	20 (R)	<p>Frontline resources focussed on preventing homelessness.</p> <p>Council retained hostels.</p> <p>Housing now has community advice within the department meaning that residents now have a one stop shop for early intervention and homelessness prevention. Purchase (via COMF fund) of a housing and community advice bus which tours the whole of the district, meaning that the service goes to the residents rather than vice versa to enable early intervention and prevention.</p> <p>Community bus is now on the road and stops at various locations throughout the month to give advice on housing and community advice.</p> <p>Team continues to prevent homelessness and B&B has not been required to date.</p>	2	2	4 (G)				
A5	Council unable to manage impact of Coronavirus (Covid-19) on Council services.	Lack of capacity to cope with the increase in community needs, as well as business as usual tasks, as a result of the virus. This will be caused by increased needs from the community as well as reduced staffing availability due to staff becoming ill themselves or needing to self-isolate or being unable to work due to caring for others. Technology constraints may also limit the amount of work able to be undertaken remotely. Availability of workforce from contractors as well as Council will have a negative impact on continuing the compliance related work.	Work will need to be prioritised resulting in some services either being scaled back or not delivered at all.	CM T	3	3	9 (A)	<p>Regular meetings of multi-agency groups and internal business continuity groups.</p> <p>Regular communication with all stakeholders, including contractors.</p> <p>Risk assessment produced to comply with the Government guidance document <i>Offices and Contact Centres – Working Safely During Coronavirus (COVID-19)</i> and the associated Council building risk assessments.</p> <p>Corporate buildings are 'COVID-19 Secure' in line with Government guidance control measures.</p> <p>Reviewed business continuity plans to ensure priority services are correctly assessed and continue to prioritise based on emerging needs and capacity.</p>	3	2	6 (A)	<p>Continue to ensure staff, members and the community are kept informed as the situation develops.</p> <p>Ongoing monitoring of 'Working Safely in East Cambridgeshire District Council Buildings' risk assessments.</p>	CM T	Ongoing	G
												DV	Ongoing	G	

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A6	Impact of Coronavirus (Covid-19) on the business and communities of East Cambridgeshire.	The various lockdowns and other restrictions have had and continue to have a significant impact on the economy. Whilst the Furlough scheme has helped protect jobs in the short term there is an expectation that unemployment and dependency on welfare and support will increase over the coming months. This in turn may create greater financial, physical and mental health challenges and put pressure on housing. Whilst the Council has provided support to businesses in East Cambridgeshire through government grant schemes, there is a risk that some businesses do not survive.	Higher unemployment, greater dependency on welfare, impacts on physical and mental health, impacts on business survival rates, increased homelessness.	CM T	4	4	16 (R)	<p>The Council continues to work closely with partner agencies in the LRF to ensure response are co-ordinated and as effective as possible.</p> <p>Recovery group meets twice a week. Strategic coordinating group meets three times a week with health, PHE and all other cat 1 responders.</p> <p>Strategy and action plan is regularly monitored and updated. This plan has enabled the Council to bid for extra monies - £880k from the Government's COMF - which is purely to assist residents.</p> <p>The Council has established recovery structures to fully assess impacts and identify appropriate responses. These have been discussed with Members and with partners.</p> <p>Resources have been secured to support those areas where the Council anticipates greater demand but to an extent the Council, and the public sector more generally, will require ongoing government support to mitigate the substantial impacts there have been.</p> <p>Fraud risk assessments completed in relation to business grants.</p> <p>Members are being regularly up-dated on the pandemic, both regarding the national position and the actions being taken locally.</p> <p>East Cambs Recovery group (headed by Director, Operations) has a 12 month roadmap, action plan which has been approved by Public Health.</p> <p>Rollout of the national COVID vaccination programme. Staff encouraged to get vaccinated.</p> <p>Track and Trace system operating within Council corporate buildings.</p>	3	3	9 (A)	<p>Continued involvement, leadership and engagement within the LRF and support to local partners and businesses as required.</p> <p>Review of Corporate Strategy to incorporate key recovery actions.</p> <p>Recovery group, led by Director, Operations, continues to meet twice a week to understand epidemiology and put measures in place to keep covid positive numbers to a minimum. Have continued to provide payments for those self isolating. Roadmap is referred to and updated where appropriate</p>	CM T	Ongoing	G	CM T	Ongoing	G

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C1	Failure to maintain service delivery and support the community in the event of an unforeseen emergency or loss of resources.	Major civil emergency potentially due to: <ul style="list-style-type: none"> • Loss of access to premises • Severe weather events • Fuel shortages • Communications failure • Pandemics • Loss of power • Terrorist events • Supply chain failure 	Inability to access key staff or resources resulting in reduced ability to deliver services. Increased requests for Council resources and services Health and safety impact on staff and vulnerable residents Damage to Council property and impact on residents Reputation damage	CEX	3	4	12 (A)	Business Continuity Plan (BCP) updated. Business Continuity Training and exercises. Member's handbook. Emergency Management Plan with supporting plans for specific activities e.g. rest centres. Rest Centre plans reviewed by National Resilience Forum. Registration process and template forms aligned to other Councils so they can mutually assist each other as responders. Improved ICT functionality allows more staff to work remotely, aiding the response. Note – specific risk on Covid-19 pandemic on risk register at A5 / A6	2	2	4 (G)				
C2	Loss of data or access to ICT systems due to a breach of information security and / or weaknesses in the IT infrastructure.	ICT systems abuse, intrusion or failure. Under investment in IT infrastructure and lack resource to implement change. Employees not having the right tools for the job to work efficiently.	Business interruption resulting in reduced ability to deliver services. Not prepared for disaster recovery. Non-compliance with legislation, resulting in financial penalties up to £0.5m and reputational risk. Inefficient working.	D-O	3	4	12 (A)	ICT Disaster Recovery Plan. System and Penetration testing regime. ICT Security Policy. Government Connect and Public Sector Network compliance. Implementation of Office 365	3	3	9 (A)	Actions arising from Cyber Security audit report Internal audit review of Outlook outages	ITM ITM	March 2022 January 2022	

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C3	Non-compliance with legislative and regulatory requirements.	Changes in legislation from Central Government or Professional bodies can impact many areas, for example: <ul style="list-style-type: none"> • health and safety, • equalities, • safeguarding, • environmental legislation, • employment law. 	Financial penalties for non-compliance. Reputational risk.	CM T	2	3	6 (A)	<p>Monitoring changes to legislation that impacts the Council.</p> <p>Topical examples include H&S sentencing guidelines, and earlier closedown of accounts.</p> <p>Procedural changes and training is delivered as required.</p> <p>Safeguarding policy in place and refreshed in 2017/18. Safeguarding leads nominated and all staff have received safeguarding training.</p> <p>Health and safety management system.</p> <p>Disaster Recovery Plan and supporting systems / hardware.</p> <p>Equality, Diversity and Inclusion policy.</p> <p>Training on equality, diversity and inclusion for Members and officers rolled out.</p> <p>Equality monitoring reports published.</p> <p>Annual health and safety report.</p>	1	3	3 (G)	Review Safeguarding Policy	H&CA-M	By March 2022	
C4	Failure to achieve compliance with Data Protection legislation (UK General Data Protection Regulations and Data Protection Act 2018).	Data breaches. Failure to meet legislation deadlines. ICT system failure / cyber-attack.	ICO monetary penalties, enforcement notices, prosecution. Compensation claims and reputational damage.	LSM	3	5	15 (A)	<p>All Council staff and members undertake annual online data protection training. All new staff briefed at Corporate Induction.</p> <p>Data breach register maintained. All breaches risk assessed, investigated and recommendations made.</p> <p>Record of Processing Activity in place and maintained by Information Officer.</p>	2	4	8 (A)				

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C6	Failure of corporate governance and counter fraud and corruption controls.	Attempts at fraud and corruption from internal or external sources are successful due to inadequate corporate governance and counter fraud controls.	Financial losses and reputational damage. Impact on service delivery.	CM T	3	3	9 (A)	Counter fraud training for officers as part of induction process. Gifts and hospitality registers. Counter fraud and ethical governance policies and procedures. Anti-money laundering policy added to Constitution. Internal control framework including segregation of duties and authorisations. Reviewed annually for Annual Governance Statement. Participation in National Fraud Initiative. Fraud awareness promotion on annual basis, with targeted reminders in year. Fraud reporting tool available internally and externally. Fraud risk assessments completed in relation to Covid-19 business grants and post payment assurances.	2	3	6 (A)				
LEARNING AND GROWTH															
D2	Failure to deliver upon strategic development plans and requirements.	The Council not being able to demonstrate a five-year land supply for housing or an up-to-date Local Plan. However, on 21 st April 2020 the Council did regain its five year land supply, though developers are challenging this. Lack of up to date Local Plan. Lack of delivery of permitted schemes by developers.	Planning applications can only be refused if the adverse impacts significantly and demonstrably outweigh the benefits of the proposal, in accordance with the presumption in favour of the sustainable development. More speculative development Not delivering quantity of housing/employment to meet needs of the district	ISM	3	4	12 (A)	Development Management to manage speculative applications when submitted. Work with developers to help delivery of sites. Robustly defend appeals in order to maximise chances of success (note: ultimately, it will be a planning inspector, in reaching a decision on an appeal, that will determine whether the inherent risk materialises).	3	4	12 (A)	Second Consultation on Single Issue Review of Local Plan Proposed Submission draft (for consultation)	IS M IS M	February 2022 Summer 2022	

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D8	Difficulties with staff recruitment, absence and retention – leading to lack of resources.	Lack of staff resources in terms of numbers due to high turnover or failed recruitment exercises. Lack of staff resources in terms of knowledge, skills and behaviours due to poor staff retention.	A shortage of staff in roles across the Council and Trading Companies and a loss of knowledge and skills, could lead to service failure, which could result in an increased level of complaints, poor reputation and financial penalties from breaches in legislation or failure to follow rules, procedures and meet deadlines. More acute in areas with reliance on single officer.	CM T	3	3	9 (A)	Investment in training and up-skilling existing staff. Absence Management policy. Management Development training has been delivered to all Service Leads and team leaders. Remote working policy.	3	2	6 (A)	Service Delivery Plans to be reintroduced	CM T	April 2022	G

Corporate Priorities:

- 1 Sound financial management
- 2 Improving transport
- 3 Housing
- 4 Cleaner, greener East Cambridgeshire
- 5 Social and community infrastructure

Key to risk owners (above):

CEX	Chief Executive
D-O	Director, Operations
D-CS	Director, Commercial Services
FM	Finance Manager and S151 Officer
LSM	Legal Services Manager and Monitoring Officer
ISM	Infrastructure and Strategy Manager
HSM	Health & Safety Manager
HRM	Human Resources Manager
CMT	Corporate Management Team
ITM	IT Manager
H&CA-M	Housing & Community Advice Manager

Appendix 3 - Corporate Risk Register Heat Map

Summary of Residual Scores for Corporate Risks

Impact	Very High	5		C5			
	High	4		A2, C4	B1, B2, D2, C2		
	Medium	3	C3	A3, C6	A6, C2		
	Low	2		A4, B3, C1	A5, D8		
	Negligible	1					
			1	2	3	4	5
			Very rare	Unlikely	Possible	Likely	Very Likely
Likelihood							

Red scores – in excess of the Council's risk appetite. Action is needed to redress, with regular monitoring. In exceptional circumstances residual risk in excess of the risk appetite can be approved if it is agreed that it is impractical or impossible to reduce the risk level below 16. Such risks should be escalated through the management reporting line to Corporate Management Team, Resources and Finance Committee and Council.

Amber scores – likely to cause the Council some difficulties (risk score 5 to 15) – six monthly monitoring.

Green scores (risk score 1 to 4) – low risk, monitor as necessary.

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A3	Failure to deliver the housing strategy, and provide affordable housing to residents within the district.
A4	Homelessness in the district.
A5	Council unable to manage impact of Coronavirus (Covid-19) on Council services.
A6	Impact of Coronavirus (Covid-19) on the business and communities of East Cambridgeshire.
B1	Inability to balance budget.
B2	Failure to achieve expected levels of development and planning income.
B3	Failure to plan for and accommodate the impact of Brexit.
C1	Failure to maintain service delivery and support the community in the event of an unforeseen emergency or loss of resources.
C2	Loss of data or access to ICT systems due to a breach of information security or weaknesses in the IT infrastructure.
C3	Non-compliance with legislative and regulatory requirements.
C4	Failure to achieve compliance with the General Data Protection Regulations & Data Protection Act.
C6	Failure of corporate governance and counter fraud and corruption controls
D2	Failure to deliver upon strategic development plans and requirements.
D8	Difficulties with staff recruitment, absence and retention – leading to lack of resources.