

Appendix 2 - Corporate Risk Register
2024

Risk Management Group Meeting date: 4th January

| Inherent Risk | | | | | | | | Residual Risk | | | | Assurances | Actions | | | |
|-----------------------------|--|--|---|-------|------------|--------|-------------|--|------------|--------|-------------|--|---|-------|-------------|------------|
| Risk No. | Risk Description | Cause | Effect | Owner | Likelihood | Impact | Score & RAG | Key Controls | Likelihood | Impact | Score & RAG | Sources of assurance over key controls | Actions | Owner | Target Date | Action RAG |
| CUSTOMER PERSPECTIVE | | | | | | | | | | | | | | | | |
| A2 | East Cambridgeshire Trading Company (ECTC) fails to deliver upon its Business Plan | Poor performance by the Company with a lack of challenge and oversight. Failure to embed effective governance arrangements and segregation of duty. Changing macro-economic environment. | Failing to achieve Corporate Plan and Medium Term Financial Strategy (repayment of loan). Reputational risk. | D-F | 3 | 5 | 15 (A) | Business Plans, Articles of Association and Shareholder Agreements. Established shareholder arrangements. Regular reporting to Finance and Assets Committee (in remit as Shareholder committee). Company Business Plans include risk register. Independent Chairperson. Independent external audit review of accounts, and opportunity to commission ad-hoc advice if required. S151 Officer and Monitoring Officer are expected to attend Board meetings as representatives of the Council. Council has a Debenture Agreement in place providing security over all loan funding it provides to the Company | 2 | 5 | 10 (A) | 2023/24 Business Plan approved by Board and Finance and Assets Committee. An Internal Audit rolling risk review took place of this area in May / June 2023 2022/23 Statutory Accounts audited and approved at Board. | Internal Audit of trading company governance currently taking place. Actions from this will be picked up in the coming months | | Apr 2024 | |

| Inherent Risk | | | | | | | | Residual Risk | | | | Assurances | Actions | | | | | | |
|---------------|--|--|--|-------|------------|--------|-------------|---|------------|--------|-------------|---|--|-------|-------------|------------|-----|----------|---|
| Risk No. | Risk Description | Cause | Effect | Owner | Likelihood | Impact | Score & RAG | Key Controls | Likelihood | Impact | Score & RAG | Sources of assurance over key controls | Actions | Owner | Target Date | Action RAG | | | |
| 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. | D-C | 3 | 4 | 12 (A) | <p>Council Support Programme to Community Land Trusts.</p> <p>Community Led Development SPD.</p> <p>Published Strategic Housing Market Assessment (SHMA)</p> <p>Loan provided to ECCLT to deliver 15 Shared Ownership Units in Ely.</p> <p>Approved £100k homes allocation policy.</p> <p>Establish relationship with Homes England and local allocation policy.</p> <p>First Homes Interim Policy Statement approved by Finance & Assets Committee in June 2022.</p> <p>Land supply monitoring report published.</p> | 2 | 3 | 6 (A) | <p>Between 1 April 2022 and 31 March 2023, there were 181 affordable dwelling completions which represent approximately 22.7% of gross dwelling completions in that year. This is the highest gross number of affordable housing completions in the district in the plan period, and when combined with the previous year, 335 affordable homes have been delivered in the past two years.</p> <p>2022/23 AMR was published December 2023</p> | <p>Discuss pipeline with Homes England for grant funding.</p> <p>Existing affordable housing needs assessment, dated 2019, is being challenged as out of date. However still legally holds. Reiteration to developers that all schemes must be supported by their own viability assessment if any deviation from 20% allocation.</p> | D-C | On-going | G | D-O | On-going | G |

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| A4 | Homelessness in the District. | <p>Increase in homelessness driven by external factors such as the cost of living crisis (fuel and energy), Universal Credit and the Homelessness Reduction Act.</p> <p>Breakdown of relationships following Ukrainian's being taken into homes via the Homes for Ukrainian Scheme.</p> <p>Government's Asylum dispersal programme.</p> | <p>Impact on the Council's finance and resources.</p> <p>Reputational risks.</p> | 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.</p> <p>Community bus visits various locations throughout the month to give advice on housing and community advice.</p> <p>Team continues to prevent homelessness. Bed and breakfast accommodation is only utilised in exceptional circumstances relating to specific individual needs.</p> <p>Resettlement Officer and additional admin. support recruited to assist with the Ukrainian schemes.</p> <p>Community Hub set-up.</p> <p>Working with multiple organisations, including SERCO who will be responsible for sourcing housing for Asylum dispersal programme.</p> <p>Maintenance of Foundry system.</p> <p>Relationships with social housing providers.</p> | 3 | 3 | 9 (A) | <p>2020/21 Internal Audit of Homelessness – Satisfactory Assurance</p> <p>Annual homelessness count</p> | | | | |

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| A5 | Cost of living crisis impacting on the residents of East Cambridgeshire | Increase in cost of utilities and food Increase in interest rates leading to increase in mortgage payments and other debts | Health and wellbeing compromised. Residents having to choose between fuel and food. Financial hardship could lead to homelessness. Increase in mental health issues | D-O | 4 | 5 | 20 (R) | <p>Cost of living pages on ECDC website</p> <p>Energy efficiency officers providing advice on available funding for fuel and energy efficiency measures</p> <p>PECT – providing additional support on energy efficiency and funding for fuel</p> <p>Community hubs open throughout the district – Cambridgeshire Acre</p> <p>Sign post to food banks</p> <p>Joining up with community groups/voluntary organisations/CCC/PCN to ensure effective sign posting to most appropriate organisation.</p> <p>Funding available to those impacted by hardship and ensuring they access it, including the exceptional hardship fund (£10,000) set up by Council.</p> <p>Action on Energy website available to sign-post residents towards support options.</p> | 3 | 3 | 9 (A) | PECT and Cambridgeshire Acre funded until December 2024. | <p>Continue to collaborate with key delivery partners</p> <p>Keep up to date with available funding streams</p> <p>Health and Wellbeing Strategy and action plan going to Operational Services Committee</p> <p>CAWS and BACAC proposals for grant funding to voluntary organisations .</p> | D-O | On-going | G |
| | | | | | | | | | | | | | | D-O | On-going | G |
| | | | | | | | | | | | | | | D-O | Mar 2024 | G |
| | | | | | | | | | | | | | | | Mar 2024 | G |

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| A6 | East Cambridgeshire Street Scene (ECSS) Ltd fails to deliver upon its Business Plan | <p>Poor quality service delivery with a lack of challenge and oversight.</p> <p>Poor financial management of services</p> <p>Increased financial pressures relating to variable costs carried by ECSS (fuel, MRF sales, vehicle maintenance, sickness)</p> <p>Failure to embed effective governance arrangements and segregation of duty.</p> <p>Inability to recruit and retain staff.</p> <p>Failure to achieve performance targets.</p> <p>Availability of fleet.</p> <p>Lack of clarity of Legislative changes.</p> <p>ECDC requesting service delivery beyond MOA.</p> | <p>Failing to achieve ECDC corporate priorities.</p> <p>Disruption to service.</p> <p>Significant reputational risk.</p> <p>Significant overspends.</p> <p>ECDC levy performance sanctions.</p> | D-F | 5 | 5 | 25 (R) | <p>Business Plans, Articles of Association and Shareholder Agreements.</p> <p>Established shareholder arrangements.</p> <p>Regular financial reporting to Operational Services Committee (in remit as Shareholder Committee).</p> <p>Company Business Plan includes a risk register.</p> <p>Independent Chairperson.</p> <p>Independent external audit review of accounts, and opportunity to commission ad-hoc advice if required.</p> <p>S151 Officer and Monitoring Officer are expected to attend Board meetings as representatives of the Council.</p> <p>Updated MOA which includes KPIs and review mechanism for overspends.</p> <p>Fleet management - purchase of 10 RCVs to replace nine-year-old vehicles in 2023.</p> | 4 | 3 | 12 (A) | <p>ECSS Business Plan approved by Board and Operational Services Committee in March 2023.</p> <p>Quarterly performance reports presented to Operational Services Committee.</p> <p>Operational Services Committee monitors progress with Street Smart Project.</p> <p>Management accounts and minutes reported to Operational Services Committee.</p> | <p>ECDC procurement for new MRF contract for 5 plus 5 years (linked risk A7 below).</p> <p>ECSS undertaking fleet review for all vehicles older than 5 years.</p> <p>New vehicle maintenance and fuel contract to be procured by ECSS.</p> | D-O | Sept 2024 | G |
| | | | | | | | | | | | | | | D-O | On-going | |
| | | | | | | | | | | | | | | D-O | On-going | |

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| A7 | Failing to deliver a cost effective, sustainable and high quality domestic Waste Collection and Street Cleansing Service | <p>Lack of clarity of legislative changes in relation to the implementation of the Environment Act including:</p> <ul style="list-style-type: none"> Lack of guidance relating to extended producer responsibility payments and the impacts on Recycling credits Provision of net burdens funding to enable weekly food waste collections <p>ECDC named in Transitional Arrangements preventing the Council accessing Net burdens funding</p> <p>Costly MRF Contract procurement</p> <p>Lack of provision of waste Transfer Station for Recycling (arising from MRF procurement)</p> <p>Increased financial pressures relating to variable costs currently carried by Provider/ECSS - fuel, MRF sales, vehicle maintenance, sickness</p> <p>Inability for Provider/ECSS to recruit and retain staff.</p> <p>Poor service delivery by Provider ECSS, including a failure to achieve performance targets.</p> <p>Availability of fleet.</p> <p>ECDC requesting service delivery beyond MOA</p> <p>Current MOA and service specification not fit for Purpose</p> <p>Lack of clarity on ECDC short/medium and long term Waste and Street Cleansing strategy</p> <p>Poor Project implementation for Bins</p> | <p>Failing to achieve corporate priorities</p> <p>Failure to achieve national recycling rates</p> <p>Inability to introduce new services</p> <p>Disruption or failure to service</p> <p>Significant reputational risk</p> <p>Significant cost pressures</p> | D-F | 5 | 5 | 25 (R) | <p>RECAP Partnership and joint working with other Cambridgeshire collection and disposal authorities</p> <p>RECAP representation to DEFRA</p> <p>Existing MRF contract (expires in October 2024)</p> <p>ECSS Business Plan for Service Delivery</p> <p>Updated MOA which includes KPIs and review mechanism for overspends.</p> <p>Delineation of roles/responsibilities for contract/client-side management.</p> | 4 | 4 | 16 (R) | <p>ECSS Business Plan approved by Operational Services Committee in March 2023.</p> <p>ECSS Quarterly performance reports presented to Operational Services Committee.</p> <p>Operational Services Committee monitors progress with Street Smart Project.</p> <p>ECSS Management Accounts and minutes reported to Operational Services Committee</p> | <p>ECSS undertaking fleet review for vehicles plus 5 years.</p> <p>ECDC procurement for new MRF contract for 5 plus 5 years – involving Member Working Party.</p> <p>ECDC, via a Member working party, to carry out a strategic service review and develop new service specification, including review of infrastructure requirements.</p> <p>New overall Waste and Street Cleansing Arrangement in place in April 2025</p> <p>Proposal presented to DEFRA and Secretary of State to negotiate Transitional Arrangements and secure funding for food waste implementation.</p> | D-O | <p>Mar 2024</p> <p>Sept 2024</p> <p>Mar 2024</p> | G |
|----|--|---|---|-----|---|---|--------|---|---|---|--------|--|--|-----|--|---|

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| Risk No. | Risk Description | Cause | Effect | Owner | Likelihood | Impact | Score & RAG | Key Controls | Likelihood | Impact | Score & RAG | Sources of assurance over key controls | Actions | Owner | Target Date | Action RAG |
| | | Waste Disposal Authority restrict Service changes (power to direct) | | | | | | | | | | | | | | |
| FINANCE AND RESOURCES | | | | | | | | | | | | | | | | |
| B1 | Inability to balance the Council's annual budget. | Reductions in public sector funding. Lack of opportunity to make further savings. "Cost of living crisis" resulting in lost Council Tax receipts and increased direct costs to the Council as inflation increases. | Failure to spend in line with the budget in 2023/24. Failure to set a legal budget for 2024/25 in February 2024. | D-F | 3 | 5 | 15 (A) | The 2023/24 Budget was approved by Full Council in February 2023. Quarterly budget monitoring reports to Management Team and relevant Committees. Partnership working and on-going consideration of potential opportunities linked to key ambitions. Strong leadership from Members and officers. Use of Surplus Savings Reserve to balance budget. | 1 | 3 | 3 (G) | 2022/23 Internal Audit of Budgetary Control – Substantial / Good Assurance. Budget / MTFS update presented to Finance & Assets Committee in September 2023. Underspend currently being forecast for 2023/24. | Budget report to be presented to Finance & Assets Committee, before approval by Full Council. | D-F | Jan 2024 | G |
| B2 | Failure to achieve expected levels of development and planning gain | The viability and delivery of residential and commercial development. Changes in legislation such as the Levelling Up and Regeneration Bill. | Council failing to deliver its growth trajectory and not generating projected s106 and CIL income. | D-C | 3 | 4 | 12 (A) | CIL and Section 106 collection and monitoring CLT support programme Working with developers | 3 | 4 | 12 (A) | In 2022/23 the Council recorded 820 dwelling completions (gross completions: 796 dwellings minus demolitions: 11 dwellings, plus an (including allowance for C2 equivalent of 35 dwellings). This is the highest recorded number of completions for 15 years. Infrastructure Funding Statement 2022/23 was published December 2023 | Respond to the outcomes of the Levelling Up and Regeneration Bill. 5-year land supply update. New major projects board – including early negotiations on s106 agreements. | D-C D-C D-O | On-going March 24 On-going | G |

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| Risk No. | Risk Description | Cause | Effect | Owner | Likelihood | Impact | Score & RAG | Key Controls | Likelihood | Impact | Score & RAG | Sources of assurance over key controls | Actions | Owner | Target Date | Action RAG |
| B3 | Inability to balance the Council's Medium Term Financial Strategy | <p>Reductions in public sector funding.</p> <p>Uncertainty and changes in Government funding such as the Fair Funding Review not now expected until 1st April 2026, but no formal announcement to confirm this.</p> <p>Lack of opportunity to make further savings.</p> <p>Failure to maximise the opportunity from the Combined Authority deal and other income sources.</p> <p>"Cost of living crisis" resulting in lost Council Tax receipts and increased direct costs to the Council as inflation increases.</p> | Failure to have a balanced budget beyond year 2 of the MTFS. | D-F | 3 | 5 | 15 (A) | <p>Agree Medium Term Financial Strategy (MTFS) each February as part of budget setting process.</p> <p>The 2023/24 Budget (and MTFS) was approved by Full Council in February 2023 with 2023/24 and 2024/25 balanced.</p> <p>Partnership working and on-going consideration of potential opportunities linked to key ambitions.</p> <p>Strong leadership from Members and officers to identify savings / income generating opportunities in advance of need.</p> <p>Use of one-off funding from the Surplus Savings Reserve to balance future years.</p> | 3 | 4 | 12 (A) | <p>MTFS up-date presented to Finance & Assets Committee in September 2023.</p> <p>Underspend currently being forecast for 2023/24.</p> | Budget / MTFS report to be presented to Finance & Assets Committee before approval by Full Council. | D-F | Jan 2024 | G |
| PROCESSES AND SYSTEMS | | | | | | | | | | | | | | | | |
| C1 | Failure to maintain service delivery and support the community in the event of an unforeseen emergency or loss of resources | <p>Major civil emergency potentially due to:</p> <ul style="list-style-type: none"> • Loss of access to premises • Severe weather events (including from the impacts of climate change) • Fuel shortages • Communications failure • Pandemics • Loss of utilities • Terrorist events • Supply chain failure (including as a result of the war in Ukraine) | <p>Inability to access key staff or resources resulting in reduced ability to deliver services.</p> <p>Increased requests for Council resources and services</p> <p>Health and safety impact on staff and vulnerable residents</p> <p>Damage to Council property and impact on residents</p> <p>Reputation damage</p> | CEX | 3 | 4 | 12 (A) | <p>Council Emergency and Business Continuity plans in place with ongoing review programme.</p> <p>Staff training and exercises, both internally and externally facilitated.</p> <p>Member of the Cambridgeshire and Peterborough Local Resilience Forum (CPLRF).</p> <p>CPLRF multi-agency emergency plans.</p> <p>ICT functionality allowing staff to work remotely where required.</p> | 2 | 2 | 4 (G) | CPLRF monitoring of potential power outage scenarios over the winter. Mighty Oak exercise (work on power outages) completed in March 2023. | Multi agency exercise planned for January 2024 | HS M | Jan 2024 | G |

| Inherent Risk | | | | | | | | Residual Risk | | | | Assurances | Actions | | | |
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| Risk No. | Risk Description | Cause | Effect | Owner | Likelihood | Impact | Score & RAG | Key Controls | Likelihood | Impact | Score & RAG | Sources of assurance over key controls | Actions | Owner | Target Date | Action RAG |
| C2 | Loss of data or access to ICT systems due to a breach of information security and / or weaknesses in the IT infrastructure | <p>ICT systems abuse, intrusion or failure.</p> <p>Cyber attack</p> <p>Under investment in IT infrastructure and lack of resource to implement change.</p> <p>Employees not having the right tools for the job to work efficiently.</p> <p>Hacking of third party system providers.</p> | <p>Business interruption resulting in reduced ability to deliver services.</p> <p>Not prepared for disaster recovery.</p> <p>Non-compliance with legislation, resulting in financial penalties and reputational risk.</p> <p>Inefficient working.</p> <p>Loss of data.</p> <p>Business disruption</p> <p>Penalties and costs associated with data breach.</p> <p>Reputational damage.</p> | ITM | 4 | 5 | 20 (R) | <p>ICT Disaster Recovery Plan.</p> <p>System and penetration testing regime.</p> <p>ICT Information Security Policy.</p> <p>Government Connect and Public Sector Network (PSN) compliance.</p> <p>Implementation of Office 365</p> <p>Regular backups and restoration tests undertaken</p> | 3 | 3 | 9 (A) | <p>Disaster Recovery exercise took place in September 2023</p> <p>ICT Monitoring Strategy now in place</p> <p>PSN Compliance certificate awarded May 2023</p> <p>Incident Management log prepared and regularly monitored</p> <p>2023/24 Internal Audit assurances.</p> | <p>Reflect on lessons learnt from national incidents – MoveIT.</p> <p>New ICT Information Security Policy to Operational Service Committee</p> | ITM ITM | On-going Jan 2024 | G |

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| Risk No. | Risk Description | Cause | Effect | Owner | Likelihood | Impact | Score & RAG | Key Controls | Likelihood | Impact | Score & RAG | Sources of assurance over key controls | Actions | Owner | Target Date | Action RAG |
| C3 | Non-compliance with legislative and regulatory requirements. | <p>Changes in legislation from Central Government or Professional bodies can impact many areas, for example:</p> <ul style="list-style-type: none"> • health and safety, • equalities, • safeguarding, • environmental legislation, • employment law. | <p>Financial penalties for non-compliance.</p> <p>Reputational risk.</p> | CMT | 3 | 4 | 12 (A) | <p>Monitoring changes to legislation that impacts the Council. Topical examples include H&S sentencing guidelines, and earlier closedown of accounts.</p> <p>Procedural rules are changed as required and training delivered at least annually.</p> <p>Safeguarding Policy 2022. Safeguarding leads nominated and all staff trained in 2023.</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 presented to Finance and Assets Committee</p> <p>RIPA policy (Regulation of Investigatory Powers Act) and Covert Investigation Act Policy</p> <p>Whistleblowing Policy</p> <p>Monitoring of mandatory training completion by CMT leads</p> <p>Member safeguarding training</p> | 3 | 3 | 9 (A) | <p>Annual senior management assurance statements.</p> <p>2022/23 Internal Audit review of Assets of Community Value – Good / Substantial Assurance.</p> <p>2022/23 Internal Audit review of Safeguarding – Satisfactory Assurance</p> <p>2022/23 Internal Audit review of Enforcement Policy Compliance – Satisfactory Assurance</p> <p>Corporate Health and Safety policy approved by Finance and Assets Committee</p> <p>RIPA inspection in December 2023 provided assurance over compliance.</p> | Updates to Whistleblowing policy to Finance & Assets Committee | D-LS | Jan 2024 | G |

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| 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. Human error. | ICO monetary penalties, enforcement notices, prosecution. Compensation claims and reputational damage. | D-LS | 3 | 5 | 15 (A) | All Council staff required to undertake annual online data protection training. All new staff briefed at Corporate Induction. Data breach register maintained. All breaches risk assessed, investigated and recommendations made. Record of Processing Activity in place and maintained by Information Officer. Member training provided as part of induction programme. Phishing exercise being rolled out to all staff. | 2 | 4 | 8 (A) | 2023/24 Internal Audit review of Information Governance – Substantial Assurance for control design; Satisfactory Assurance for compliance. All staff completed the 2022 Data Protection Training. Annual report on Information Governance presented to October Audit Committee. | | | | |
| 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. | CMT | 3 | 3 | 9 (A) | Gifts and hospitality registers. Counter fraud and ethical governance policies and procedures. Anti-money laundering policy is part of the 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. Cambridgeshire Fraud Hub launched to reduce Council Tax fraud in March 2023. | 2 | 3 | 6 (A) | Annual senior management assurance statements. | | | | |

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| LEARNING AND GROWTH | | | | | | | | | | | | | | | | | |
| D2 | Failure to deliver upon strategic development plans and requirements. | <p>The Council not being able to demonstrate a five-year land supply for housing or an up-to-date Local Plan. However, on 21st April 2020 the Council did regain its five-year land supply, though developers are challenging this.</p> <p>Lack of up to date Local Plan.</p> <p>Lack of delivery of permitted schemes by developers.</p> | <p>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.</p> <p>More speculative development.</p> <p>Not delivering quantity of housing/employment to meet needs of the district.</p> | D-C | 3 | 4 | 12 (A) | <p>Development Management to manage speculative applications when submitted.</p> <p>Work with developers to help delivery of sites.</p> <p>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, which will determine whether the inherent risk materialises).</p> <p>Our latest Five Year Land Supply calculations demonstrate that the Council continues to have a very healthy supply of homes coming forward, of approximately 7 years' worth. This continues to put the Council in a very strong position should any developer attempt to challenge that it cannot demonstrate enough supply.</p> <p>Single Issue Review completed and amended Local Plan adopted by Council October 2023. The housing requirement figure in the Local Plan is now up to date.</p> | 2 | 4 | 8 (A) | <p>The East Cambridgeshire District Council Five Year Land Supply Report published August 2022 - ECDC 5YLS Report Aug 2022 - full and published.pdf (eastcambs.gov.uk)</p> <p>Five Year Land Supply update to be published early 2024.</p> | | | | | |

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| D8 | Difficulties with staff recruitment, absence (including sick leave) and retention – leading to lack of resources. | <p>Lack of staff resources in terms of numbers due to turnover, aging workforce or failed recruitment exercises.</p> <p>Lack of staff resources in terms of knowledge, skills and behaviours due to poor staff retention.</p> <p>National skills shortage for professional and technical roles.</p> | <p>A shortage of staff in roles across the Council and a loss of knowledge and skills, could lead to service failure, which in-turn 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.</p> <p>More acute in areas with reliance on single officer.</p> | CMT | 4 | 3 | 12 (A) | <p>Investment in training and up-skilling existing staff.</p> <p>Absence Management policy.</p> <p>Management Development training has been delivered to all Service Leads and team leaders.</p> <p>Remote working policy.</p> <p>Service Delivery Plans presented to Policy Committees in March 2023.</p> <p>Use of market supplements</p> <p>Use of recruitment agencies where necessary.</p> <p>Starters and leavers report presented to Finance and Assets Committee.</p> <p>Monthly review by Corporate Management Team of impact on service delivery.</p> <p>Review of exit interviews.</p> <p>Apprenticeship opportunities.</p> <p>Career scales.</p> | 3 | 2 | 6 (A) | Six-month and annual reviews of Service Delivery Plans. | CMT discussion on further options for maintaining staffing levels | CM T | Apr 2024 | |

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-CS Director, Commercial Services
- D-F Director, Finance
- D-LS Director, Legal Services
- D-C Director, Community
- D-O Director, Operations
- 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 | | A2 | | | |
| | High | 4 | | C4, D2 | B2, B3 | A7 | |
| | Medium | 3 | B1 | A3, C6 | A4, A5, C2, C3 | A6 | |
| | Low | 2 | | C1 | 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.

| Code | Title |
|------|---|
| A2 | East Cambridgeshire Trading Company fails to deliver upon its business plan and expected levels of performance |
| A3 | Failure to deliver the housing strategy, and provide affordable housing to residents within the district |
| A4 | Homelessness in the district |
| A5 | Cost of Living crisis |
| A6 | East Cambridgeshire Street Scene Ltd fails to deliver upon its business plan and expected levels of performance |
| A7 | Failing to deliver a cost effective, sustainable and high quality domestic Waste Collection and Street Cleansing Service |
| B1 | Inability to balance the Council’s annual budget. |
| B2 | Failure to achieve expected levels of development and planning income |
| B3 | Inability to balance the Council’s Medium Term Financial Strategy |
| 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 |