












Risk Ref	Risk Description	Commentary	Risk Owner	Lead Cabinet Portfolio	Gross Score	Risk Management Activity	Current Net Risk Score	Previous Net Risk Score	Direction of Travel
SR1 Threat	<b>Increased Demand for People Services:</b> That Cheshire East's local social, economic and demographic factors lead to an increase in the level of need and increased demand for adults and children's social care services, resulting in the capacity of the Council's systems relevant to these areas are unable to continue to respond/ absorb the pressures presented, resulting in a possible lack of staff working in social care/ increased market failure pertaining to a range of service providers, unmet need, potential safeguarding issues, and difficulty in achieving the Council's desired outcomes - that people live well and for longer, and have the life skills and education they need to thrive.	The impact of COVID-19 since March 2020 has been to increase demands upon Adults and Children's Social Care, together with our health partners. This is the reason for increasing the likelihood of the risk in the net Risk Score.	Executive Director of People	Adult Social Care and Health  Children and Families  Corporate Services and Public Health	16	<ul style="list-style-type: none"> <li>Adults operate monthly quality monitoring partnership forum.</li> <li>Quality and reporting and alerting of risk escalation is being effectively managed. Provider risk register is monitored and reviewed.</li> <li>Established a care sourcing team support service and local area co-ordination services to divert people away from care where appropriate.</li> <li>Working with partners and CCG to develop single plan to manage the overall reduction in demand and system redesign work to support an improved community offer.</li> <li>A great deal of activity is directed at managing this risk and above details so key activity,</li> <li>Activity has been focused on COVID response.</li> <li>Short to medium term impact on the economy may lead to increased unemployment, benefit claims, associated mental health, alcohol related harm, domestic violence etc.</li> </ul>	16	16	
SR2 Threat	<b>NHS Funding Pressure</b> There is a circa £50 million pressure for the NHS across Cheshire East. Risk that due to the increasing financial deficit this may cause a pressure in Cheshire East Council shared service delivery and NHS service delivery. If there was a shifting of costs and demand which places additional strain on Council resources resulting in unmet need and potential difficulty in achieving the Council's outcomes that people live well and for longer and local communities being strong and supportive.	Interdependencies between SR1 and SR3 are recognised.  The Cheshire East Health and Care Partnership Five-Year Plan and Technical Appendix was published in October 2019. The COVID-19 outbreak has hampered implementation and increased risk with significant financial impacts across both health and social care. The full extent of this is still to be ascertained as the increasing infection rates once again put strain on the system.  The Cheshire East Integrated Care partnership has now been established and their Transformation Plan has been drafted. Work on the other work-streams is progressing, however COVID-19 has impacted upon each and limited their progress.	Executive Director of People	Adult Social Care and Health  Children and Families  Corporate Services and Public Health	16	<ul style="list-style-type: none"> <li>There has been a lot of activity directed at this risk through the Sustainability and Transformation Plan for Cheshire and Merseyside – this plan comes to an end in 2021. There is a Health and Wellbeing Board which looks for key players to work together to address the issues and inherent risk of NHS funding pressures. There is also the Cheshire East partnership which brings together key partners and submits reports to CLT on a six weekly basis.</li> </ul>	16	16	
SR3 Threat	<b>Financial Resilience – lack of certainty about future funding make it difficult to set a robust MTFS</b>	The impact of COVID 19 has added a significant financial pressure to the budget. The expenditure is being tracked and	Executive Director of	Finance, IT and Communications	16	<ul style="list-style-type: none"> <li>The Medium Term Financial Strategy has been produced with activity to address the risk of lack of certainty about future funding.</li> </ul>	16	16	

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	The reduction in funding from Central Government means the Council must manage funding shortfalls over the next four years, through reduced expenditure, managing demand or increased local income. There is a possibility that the Council does not adopt its financial plans in sufficient detail quickly enough, either by deferring the difficult decisions about services, using over-optimistic planning assumptions, or not rethinking sources of income in a sustainable way. This may result in difficulties in closing and managing the funding reductions, financial stress and may impede the Council's ability to meet its statutory requirements and deliver all of its intended outcomes and objectives in full. Additionally the Council may fail to achieve the savings required in year which may have a consequential impact on future years,	<p>returns completed monthly to government. The increase in expenditure teamed with the decrease in income is having an adverse effect to the council's financial resilience.</p> <p>Reports on the impact of Covid19 on the Council's finances have been made to Cabinet, A&amp;G, overview and scrutiny and informal reports also.</p> <p>This risk will be further exacerbated if there are cost implications based on the realization of SR1 (Increased Demand for People Services) and/or SR2 (NHS Funding and Health and Care Partnership Plan).</p> <p>The Medium Term Financial Strategy has been produced with activity to address the risk of lack of certainty about future funding.</p> <p>Business planning process has been completed. The financial reserve strategy has been reviewed.</p> <p>Income has significantly declined due to the impact of COVID 19 and expenditure has increased.</p> <p>The 20/21 budget was presented to Council 20th February 2020. More robust analysis and regular review of high risk budgets. COVID tracking of expenditure is submitted monthly to government.</p>	Corporate Services			<ul style="list-style-type: none"> <li>Business planning process has been completed. The financial reserve strategy has been reviewed.</li> <li>The 20/21 budget was presented to Council 20th February 2020.</li> <li>Tracking of additional COVID related expenditure and impact upon income is undertaken and reported upon monthly to central government</li> <li>The financial impact of Covid is regularly reported to Cabinet and Corporate Overview and Scrutiny meetings.</li> </ul>			
SR4 Threat	<b>Information Security and Cyber Threat</b> As the Council continues to move towards using new technology systems to reduce costs and fulfil communication, accessibility and transaction requirements, it becomes increasingly at risk of a security breach, either malicious or inadvertent from within the organisation or from external attacks by cyber-criminals. This could result in many negative impacts, such as distress to individuals, legal, financial and reputational damage to the Council,	<p>The Council is still aware of increased threat of malicious activity during the Covid-19 pandemic. ICT Service has stepped up its monitoring and staff have been made aware.</p> <p>The Council has a number of technologies to reduce the risk of infection. Although existing mitigation controls reduce the likelihood the threat is ever increasing. If the risk materialises there is the potential of a 'major' impact on the corporate plan which may affect services in one or more</p>	Executive Director of Corporate Services	Finance, IT and Communications	16	<ul style="list-style-type: none"> <li>ICT have plans in place to protect and secure our systems to cyber attacks.</li> <li>Testing of security systems is carried out to provide assurance on the quality of systems in use</li> <li>The Council is exploring Cyber threat insurance and further developing its management of this risk.</li> <li>ICT has supported CEmart and Bronze Cell structures with dedicated ICT partners to identify and implement change requirements needed to minimise disruption to service</li> </ul>	12	12	

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	possible penetration and crippling of the Council's IT systems preventing it from delivering its Corporate Outcomes.	<p>areas for a short period and so the net risk rating is 12 High Risk.</p> <p>ICT have plans in place to protect and secure our systems to cyber attacks.</p> <p>The Council is exploring Cyber threat insurance and planning simulated cyber attack exercises whilst further developing its management of this risk.</p>				provision and maintain appropriate levels of security.			
SR5 Threat	<p><b>Business Continuity</b></p> <p>Risk that an internal or external incident occurs which renders the Council unable to utilise part or all of its infrastructure (such as buildings, IT systems etc.) such that the Council is unable to deliver some, or in extreme cases all of its services and putting residents at risk for a period of time and resulting in a reduced achievement of Corporate Plan outcomes over the longer period.</p>	<p>Interdependencies with SR4 recognised.</p> <p>A second wave COVID wave will impact on this risk and hence warrants regular review.</p> <p>The EU Exit may increase the likelihood of an incident arising and so the net risk rating remains at 12 high risk. Whilst the majority of incidents are outside of the Council's control this risk could have a major impact if it materialised as with COVID impacts.</p> <p>The use of, and further development of the Business Continuity software is ongoing.</p>	Executive Director of Corporate Services	Corporate Services and Public Health  Finance, IT and Communications	16	<ul style="list-style-type: none"> <li>Implementation of Clearview Scenario testing has been undertaken</li> <li>Training has been provided to Heads of Service</li> <li>Post emergency response review planned to capture feedback and lessons learned to inform further training and system development.</li> </ul>	12	12	
SR6 Threat	<p><b>Capacity and Demand Risk – Corporate Enablers</b></p> <p>Local demographic factors lead to an increasing demand for services to be delivered, combined with reducing and reduced staff resource / skills of the workforce and an increasing demand for additional unplanned work results in;</p> <ul style="list-style-type: none"> <li>- key resources being overstretched and having insufficient capacity to deliver all business plan requirements,</li> <li>- an inability to retain or attract staff to deliver services sufficient to support the achievement of the Council's objectives. resulting in business operational issues and pinch points, possible failure to deliver priority activities and projects, adverse organisational behaviour and a detrimental impact upon physical, emotional and mental wellbeing of staff impacting upon to the Council's ability to</li> </ul>	<p>The 2019/20 outturn is in the process of being completed as per extensions to returns granted by government due to COVID-19 impact. Ongoing work to assess, and report COVID-19 pressures in returns to central government. T</p> <p>here have been significant additional demands in terms of responding to the COVID-19 pandemic. Staff have worked flexibly, with all those who are able to working from home. In addition, we have deployed a comprehensive programme to migrate staff and Members to Windows 10/Office 365. The overall net risk rating is 12 and remains High.</p> <p>The budget has been presented to the Council. Budget planning system has been introduced to improve the timeliness of data.</p>	Executive Director of Corporate Services	Corporate Services and Public Health	12	<ul style="list-style-type: none"> <li>The budget has been presented to the Council.</li> <li>Budget planning system has been introduced to improve the timeliness of data.</li> </ul>	12	12	

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	deliver all of its intended objectives and outcomes.								
SR7 Threat	<b>EU Exit, Single Market and Local Growth</b> Failure to be adequately prepared for the Exit from the EU particularly in relation to the potential impacts on Consumer Protection, Food Safety, Waste Operations Highways, Traffic Management and the business community.	<p>The UK Government left the EU in January 2020.</p> <p>The levels of integration have gone so far that a UK departure will have profound legal, economic, social and political implications irrespective of the type of agreement reached. (Threat) The Council has been preparing on a basis of a no deal exit which could have significant impacts on the local economy, communities, infrastructure and on council services.</p> <p>The EU transition may affect Cheshire East in many different ways e.g. changes in demand, changes to economic sectors, including the rural economy, and the labour market in the local area, significant impacts on local companies, possible successor regional aid funding schemes, changes to trading legislation and enforcement impacts, state aid and procurement laws.</p>	Executive Director of Place	Environment and Regeneration	12	<ul style="list-style-type: none"> <li>The Council will need (with others in through the local resilience forum) to try to minimise possible disruption alongside business as usual. (Impact) Planning for disruption and any disruption as a result of pre and post Exit may have a detrimental effect on finance and capacity to deliver the Council's business as usual and the timeliness and quality of corporate objectives.</li> <li>The UK Government have confirmed that EU structural funds (the ESIF programme) will be maintained until the end of the current parliament (2020)</li> <li>CEMART group has been established.</li> </ul>	16	8	
SR8 Threat	<b>Decision Making</b> Risk that the Council's Constitution is insufficiently detailed and/or contains inaccurate or ambiguous information leading to ineffective and inefficient decision making processes resulting in a failure to ensure value for moment and on compliance with best practice and statutory responsibilities.	<p>Sound governance processes including oversight by officers and members will mitigate the risk.</p> <p>No significant changes made to the Constitution during 2020/21 to date. Work to implement virtual committee meetings has been completed. This has ensured the Council has continued to function, with decision making not being inhibited by the impact of COVID-19. PCC elections have been postponed until May 2021 and a by-election has also been postponed due to COVID 19.</p>	Executive Director of Corporate Services	Corporate Services and Public Health	12	<ul style="list-style-type: none"> <li>Constitution amendments overseen by Constitution Committee</li> <li>Working party overseeing development of Committee system governance chance</li> <li>Use of urgency powers</li> <li>Covid plans</li> </ul>	6	6	
SR9 Threat	<b>Capital Projects</b> Risk that the Council's major capital projects are insufficiently managed to ensure that they are delivered on time, on budget and at the required quality level	<p>Each major capital scheme has its own programme governance in place. In addition the council's Assets Board reviews major projects.</p> <p>Robust management of projects Financial controls in place</p>	Executive Director of Place  Executive Director of People	Finance, IT and Communications	16	<ul style="list-style-type: none"> <li>Robust management of projects</li> <li>Financial controls in place</li> <li>Governance mechanisms include Corporate Board overseeing all capital schemes (Assets Board).</li> <li>Individual schemes have appropriate governance. Review of resources for each</li> </ul>	12	12	

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		Governance mechanisms include Corporate Board overseeing all capital schemes (Assets Board). Individual schemes have appropriate governance. Review of resources for each scheme being undertaken.							
SR10 Opp	<b>Infrastructure Investment</b> Securing the required investment to support our major infrastructure and development priorities particularly in relation to HS2 and delivery of the Crewe Hub	<p>The council has strengthened its working arrangements with local public sector partners, government departments and commercial investors. The council has secured significant capital allocations to support major regeneration and development project to support key development projects in Crewe and Macclesfield. This risk requires ongoing work and monitoring to ensure that the opportunities come to fruition.</p> <p>Cheshire East Council chairs the Partnership Board with partners including Government, HS2, and National Rail. Business Case being developed with support from the Local Enterprise Partnership and future decisions will be taken through Cabinet / Council</p>	Executive Director of Place	Environment and Regeneration	16	<ul style="list-style-type: none"> <li>This risk will be reviewed by the HS2 Programme Board on a monthly basis and the chair informs CLT accordingly.</li> <li>Day to day management of the actions in place to reduce the risk is a combination of the PB3: Business Case and Investment Integration, the Programme Director and the Programme Manager. The controls above will be used to monitor the risk.</li> <li>There have been no control failures to date. In fact, the controls in place today are probably stronger than at any point in achieving the objective. This is commensurate to the closing window of opportunity and the increase in work required by the council to turn the outputs of the consultants Business Case work. Future issues may arise if the dedicated resource currently requested is not quickly put in place to release the efficiencies of working a close dedicated team brings.</li> <li>Ultimately, while the Council can control the technical evidence, business case formation and the technical level negotiation with Government Departments, the risk is being impacted on by recent Government administration changes and the resultant changes in Government policy.</li> </ul>	8	8	
SR11 Threat	<b>Pandemic virus</b> Ongoing risk of genetic shift resulting in rapidly spreading strain of influenza and other diseases previously unseen in humans for which no preventative treatment is available. In addition to the human health risks pandemic flu poses a risk to healthcare capacity and CEC business continuity.	<p>There is at present no means of removing the COVID-19 virus from the population or its associated risks. Managing the spread and mitigating against the impact is what we have to continue to work on in partnership with all those living and working in Cheshire East (in collaboration with partners across the sub-region and Cheshire and Merseyside).</p> <p>A second wave of the virus is developing and will coincide with the flu season, increasing risks to individuals and placing additional pressures on health and social</p>	Chief Executive	<p>Adult Social Care and Health</p> <p>Children and Families</p> <p>Corporate Services and Public Health</p>	8	<ul style="list-style-type: none"> <li>Review pandemic flu and business continuity plans</li> <li>Work with Local Resilience Forum (LRF) partners together to plan for the management of: <ul style="list-style-type: none"> <li>Demand on the NHS and social care Co-ordination of vaccinations</li> <li>Public awareness and media management</li> <li>Excessive levels of death.</li> </ul> </li> <li>Ongoing COVID-19 pandemic poses risk of need for local lockdowns and increased pressures being placed on local health and care settings and workforce.</li> <li>Financial impact - see SR3</li> </ul>	16	16	



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		care providers. Local Authorities are being requested to take on more responsibilities in relation to local contact tracing. There will be additional financial pressures and workload pressures on organisations and staff across health and social care as a result.				<ul style="list-style-type: none"> <li>Test and Trace hub established, and local contact tracing in place. Significant learning from first phase of COVID-19 pandemic informing future response and recovery planning.</li> </ul>			
SR12 Threat	<p><b>Fragility and failure in the social care market</b></p> <p>Increased pressure within the Social care market, rising costs, increasing complex needs and funding pressures, which have been exasperated by Covid 19 increases the likelihood of multiple provider failure and market collapse.</p>	The COVID 19 pandemic has placed immense strain on the Provider market since March 2020. The Council has been proactive in supporting providers and continues to do so. Staffing remains a significant issue, but the reputation of care homes has been damaged because of the numbers of deaths and restrictions placed on visiting and this appears to be impacting upon level of demand for places – further impacting upon the financial pressures of the providers and increasing the risk of provider failure.	Executive Director of People	Adult Social Care and Health	16	<ul style="list-style-type: none"> <li>ASC/ Commissioning continue to respond to significant challenges pertaining to the acceleration of prevention.</li> <li>ASC/Commissioning and Communities have developed a Standard Set of Fit for the Future Contracts</li> <li>The Council has recommissioned residential care and domiciliary care which should enable <ul style="list-style-type: none"> <li>sustainability within the market.</li> <li>Continue to monitor and review preventative and support service activity.</li> </ul> </li> <li>Improved utilisation of public health JSNA and wider regional data sets informing future commissioning plans.</li> <li>Develop engagement with community groups and 3rd sector.</li> <li>Continue to strength and develop liquid logic and controcc solutions to better map trend and demand.</li> <li>To monitor and review thresholds and gatekeeping processes.</li> <li>Review and strengthen partnership working with wider agencies.</li> <li>A fee review has been undertaken with the market and recommendations made to Cabinet in respect of future fee levels.</li> <li>* Ongoing support for care providers to assist in their response to the COVID-19 outbreak</li> </ul>	16	n/a	
SR13 Threat	<p><b>Reputation:</b></p> <p>Risk that consideration is not given and management action is not taken, to effectively manage the reputation of the Council, leading to a loss of public confidence, threatening the stability of the Council and our ability to meet the corporate priorities.</p>	Media training programme for key spokespersons Communications and media function advised at an early stage of all future demand and emerging issues to enable effective planning Effective monitoring and reporting of organisational reputation and sentiment.	Chief Executive	All affected	16	<ul style="list-style-type: none"> <li>Continue media training programme for key spokespersons</li> <li>Communications and media function advised at an early stage of all future demand and emerging issues to enable effective planning</li> <li>Effective monitoring and reporting of organisational reputation and sentiment</li> </ul>	9	n/a	

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SR14 Threat	<b>Climate Change</b> Risk that the Council has an increased cost due to implementation of the climate change strategy and balanced against the impacts of extreme weather conditions.	Cheshire East Council committed itself to becoming carbon neutral for its own operations by 2025 and to using its influence to assist the borough in reducing its carbon impact. To enable this a Carbon Action Plan was produced to detail the measures that would need to be taken in order to achieve this commitment. Appropriate risk assessed budgets and reserves levels will be considered as part of the MTFS 21/22	Executive Director of Place	Environment and Regeneration	16	<ul style="list-style-type: none"> <li>Carbon Action Plan</li> <li>Environmental Strategy</li> <li>Carbon Board</li> <li>ELENA Programme</li> </ul>	9	n/a	
SR15 Threat	<b>Business rates</b> Current system of business rates does not allow the Council to benefit proportionally from the level of rates collected. This could have effect on the MTFS if BR are changed.	The Council continues to engage with consultation and networks which lobby Government in order to ensure the Council is sighted and involved in any changes to Business rate allocations which are proposed.	Executive Director Corporate Services	Finance, IT and Communications	9	<ul style="list-style-type: none"> <li>The Council engage and respond to consultation when required</li> <li>The Council is involved in networks such as CCN, LGN to lobby government</li> </ul>	6	n/a	
SR16	<b>Council funding / Economic Risk</b> Ongoing and future changes to the financial framework - including several changes to national funding regimes - has increased the Council's reliance on self-financing. The combined external national economic shocks of EU transition and COVID -19 will have a severe detrimental impact on Cheshire East economy resulting in a protracted reduction in economic growth. This recession is expected to increase the number of local business failures resulting in: a loss of business, employment and consumer confidence in Cheshire East; and severe impacts on the Councils income and exert pressure on its revenue and capital programmes.	The risk has been assessed as high due to the impact of COVID -19 and also EU transition creating increased financial pressure and uncertainty in the business community. Although there are significant programmes of activity to treat the risk and support business and communities. This has an impact on the council's financial standing.	Executive Director of Place	Finance, IT and Communications	16	<ul style="list-style-type: none"> <li>Production of comprehensive plan to address the emerging risk which develops programmes of activity</li> </ul>	16	n/a	