

E&E RISK REGISTER

Appendix 1

Version Date: March 2015

Details of Risk					Inherent Risk				Key Controls	Residual Risk		Actions				
Risk No.	Service Committee	Risk Description	Trigger	Result	Probability	Impact	Score	Owner		Probability	Impact	Residual Score	Description	Action Owner	Target Date	Revised Target Date
CRR9	Economy and Environment	Failure to secure funding for infrastructure	Insufficient funding is obtained from a variety of sources, including government funds, section 106 payments, community infrastructure levy and other planning contributions, to deliver required infrastructure. This is exacerbated by the recession and reduced government funding for local authorities	Key infrastructure, services and developments cannot be delivered, with consequent impacts on transport, economic, environmental, and social outcomes. This could also result in greater borrowing requirement to deliver essential infrastructure and services which is unsustainable.	4	4	16	Executive Director, ETE	1. Maximisation of developer contributions through Section 106 negotiations. 2. Prudential borrowing strategy is in place. 3. Section 106 deferrals policy is in place. 4. External funding for infrastructure and services is continually sought. 5. Implementation of Community Infrastructure Levy (CIL). 6. Strategic development sites dealt with through S106 rather than CIL and S106. 7. Local plan policies with District Councils. 8. Planning Obligations document in place for Districts and CCC use. 9. Lobbying with Local Government Association	4	4	16	1. Assist Cambridge City Council and South Cambridgeshire District Council in implementing the Community Infrastructure Levy (CIL) regime and setting charges. Working with City Council and South Cambridgeshire District Council to establish governance arrangements to monitor CIL monies and allocations. 2. Assist Hunts District Council in implementing the Community Infrastructure Levy regime 3. Assist East Cambs District Council in implementing the CIL regime. Work with East Cambridgeshire District Council Joint Member and Officer Group consulting on priorities for spending CIL monies. (CIL adopted) 4. Assist Fenland District Council in implementing the CIL regime and setting charges. Working with Fenland District Council having responded to draft planning contributions Supplementary Planning Document (SPD). (Anticipated to be adopted Spring 2015). 5. Investigate the potential for use of Tax Increment Financing and other innovative forms of funding. 6. Respond to District Council Local Plans to address infrastructure policy deficit at all stages of the Local Plan process. 7. Assist service areas define their infrastructure requirements to be pulled together within one policy document for use 8. Scope out potential for a more joined up approach to CIL and investment in infrastructure	Head of Transport and Infrastructure, Policy and Funding Head of Transport and Infrastructure, Policy and Funding Head of Transport and Infrastructure, Policy and Funding Head of Transport and Infrastructure, Policy and Funding Executive Director, ETE Head of Growth and Economy Head of Transport and Infrastructure, Policy and Funding Head of Transport and Infrastructure, Policy and Funding	Early 2015 Early 2015 Ongoing Spring 2015 Ongoing Ongoing Spring 2015 Autumn 2015	

									The review will lead to the formulation of recommendations for Members on necessary changes to commissioning. 9. Three year programme approved by Governance Group for bus subsidy work. 10. Two year programme now in place for the review of the commissioning.			3. Engagement in areas K,L,M K - Chalfers, March, Wisbech L - Gorfield, Leverington M - Melbourn, Basingbourn	Head of Passenger Transport	February-April 2015		G			
CRR26	Economy and Environment	Increasing manifestation of Busway defects	Failures of Busway bearings or movement of foundations continue and increase	Significant and ongoing costs to maintain the Busway or restricted operation of the Busway to the extent that it will no longer be attractive to operators or passengers.	5	5	25	Executive Director ETE	1 Monitoring and inspection regime in place 2 Defects have been notified to Contractor in accordance with Contract . The Contractor has failed to investigate the defects or correct the defects within the defect correction period. 3. Causes of defects have been investigated and identified by the Project Manager 4. The Project Manager has assessed the cost of correcting the defects. Under the terms of the Contract this is payable by the Contractor. 5. Independent Expert advice has been taken confirming that the defects are defects under the Contract and that a programme of preventative remedial action is required and will be cheaper overall and less disruptive in the long run than a reactive response. 6. Legal Advice has been taken confirming that the defects are defects under the contract and that the Council has a good case for recovering the cost of correction from the Contractor 7. Retention monies held under the contract have been withheld from the Contractor and used to meet defect correction and investigation costs. 8. Funds have been set aside from the Liquidated Damages withheld from the Contractor during construction, which are available to meet legal costs 9. General Purposes Committee have resolved to correct the defects and to commence legal action to recover the costs from the Contractor 10. Initially defects are being managed on a case by case basis until the contractual issues are resolved, minimising impact on the public.	2	5	10	1. Continue to monitor and inspect Busway and repair defects as they arise 2. Prepare a strategy for the procurement of a contract to rectify the busway defects: This has been put on hold as a result of negotiations with Contractor (Action 1) Leading to the drawing up of proposals for further surveys and monitoring to improve understanding of the busway behaviour 3. Engage with bus operators, Busway users and prospective contractors to identify working methods that minimise disruption during the defect correction works: On hold pending surveys and monitoring 4. Continue to manage defects on a case by case basis until the contractual issues are resolved, minimising impact on the public.	Service Director Strategy and Development, ETE	ongoing		A	G	
E&E 4 Previously ETERR13	Economy and Environment	Borrowing requirement for major transport schemes	Development schemes are delayed, meaning that the County Council needs to borrow to fund schemes that are committed, pending recovery of funds from developers when development commences.	Interest payments on prudential borrowing need to be met through Council budgets, with political/reputational damage to the Council and impacts on the delivery of the wider capital/revenue programme.	3	4	12	Service Director, Strategy and Development	1. A prudential borrowing strategy is in place to fund infrastructure where appropriate. 2. The scope of major schemes for which there is a funding shortfall can be reduced if necessary. 3. The progress of developments is continuously monitored and the negotiating and borrowing strategies can be adjusted if necessary. 4. The possible implications for the capital/revenue transport programme of interest payments needing to be serviced are being considered. 5. Potential alternative sources of funding are being identified. 6. Effective legal advice is being taken. 7. Housing Growth Fund is being used to ensure the timely delivery of key infrastructure.	3	3	9	1. Confirm Growth Deal funding, bid for European funding and negotiate Network Rail contribution to reduce borrowing for Ely Bypass.	Director of Strategy and Development	Jul-15		G		
E&E 5 Previously ETERR17	Economy and Environment	Failure to deliver to the Cambridgeshire Flood Risk Management Programme including new SUDs surface water management responsibilities	Failure to fulfil statutory duties related to flood risk.	Significant reputational and financial risk. In addition to possibly liability falling to the Council in the event of a flood incident.	4	4	16	Service Director, Strategy and Development	1. The Cambridgeshire Flood Risk Management Partnership has been established to provide a strategic overview to a programme of work that will meet statutory duties. 2. The County Council has a Flood and Water team to undertake duties related to the relevant legislation. 3. The County Council has been allocated a grant from Government to undertake flood risk management activities. 4. Introduce pre application charging. 5. Coordination and management of the Cambridgeshire Flood Risk Management Partnership's programme of work and its projects to meet legislative requirements.	2	4	8	1.Assessing options for fulfilling new as well as existing duties. Paper to Committee. 2. Ensure sufficient resource is available to manage and deliver the programme and associated work including nre responsibilities.	Head of Growth and Economy	May/June 2015		G	G	
E&E 6 Previously ETERR18	Economy and Environment	Failure to manage capacity, safety and maintenance issues on the A14 Cambridge-Huntingdon	Capacity, safety and maintenance Issues on the A14. Exacerbated by the withdrawal of the A14 improvement scheme by Government.	New communities cannot be delivered in their totality, undermining their sustainability, viability and the provision of necessary infrastructure. Unsustainable growth proposals may be granted on appeal if infrastructure constraints mean that growth cannot come forward as planned. Additional pressure and maintenance	4	4	16	Executive Director, ETE	1. Working with Department for Transport (DfT) and the Highways Agency (HA) to develop short and long-term plans for the improvement of the A14, given the withdrawal of the previous scheme.	2	4	8	1. Work with the Highways Agency (HA) to continue to progress the key development schemes. This includes Northstowe Phase 2 scheduled 2. Plan for managing increased congestion on the surrounding network 3. Review the programming of schemes within the Network Service Plan.	Head of Growth and Economy Head of Transport and Infrastructure, Policy and Funding Head of Assets and Commissioning	Mar-15 Ongoing Ongoing		G	G	G

LOW (L)	2	4	6	8	10
NEGLECTIBLE	1	2	3	4	5
IMPACT LIKELIHOOD	VERY RARE	UNLIKELY	POSSIBLE	LIKELY	VERY LIKELY