E&E RISK REGISTER



Version Date: March 2015

Details of Risk				Inherent Risk		rent Risk			Residual Risk		Actions						
Risk No.	Service Committee	Risk Description	Trigger	Result	Probability	Impact	Owner	Key Controls	_	Impact	Residual Score	Description	Action Owner	Target Date	Revised Target Date Action Status		
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 an 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.			Executive Director, ETE	Maximisation of developer contributions through Section 106 negotiations. Prudential borrowing strategy is in place. Section 106 deferrals policy is in place. Section 106 deferrals policy is in place. External funding for infrastructure and services is continually sought. Implementation of Community Infrastructure Levy (CIL). Strategic development sites dealt with through \$106 rather than CIL and \$106. The Community Infrastructure of the Strategy of the Str				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	and Infrastructure, Policy and Funding	Early 2015	G		
					4	4 16			4	4	16	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	Head of Transport and Infrastructure, Policy and Funding Head of Transport and Infrastructure, Policy and Funding	Ongoing Spring 2015	A		
													planni Suppl Docur be ad 5. Inve of Tax	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 f		Ongoing	G
													Respond to District Council Local Plans to address infrastructure policy deficit at all stages of the Local Plan process.	Head of Growth and Economy	Ongoing	G	
												to be pulled together within one policy document for use	and Infrastructure, Policy and Funding	Spring 2015	G		
												Scope out potential for a more joined up approach to CIL and investment in infrastructure	Head of Transport and Infrastructure, Policy and Funding	Autumn 2015	G		
CRR22	Economy and Environment	Transport (CFT) programme fails to meet its	Cambridgeshire Future Transport fails to deliver effective, efficient and responsive passenger transport services around Cambridgeshire	Cambridgeshire residents are not met, contributing to social exclusion, poor take up of employment and education			Strategy and	 A Governance group is in place to oversee the programme. The group includes member representation from each of the districts, the county, NHS and Cambridgeshire ACRE. The Cambridgeshire Future Transport programme board consisting of representatives from ETE and CFA 				Engagement in areas H,I, J H - St Ives, Ramsey, Whittlesey I - St Neots, Brampton J - Isleham, Fordham	Head of Passenger Transport	January 2015	G		
			opportunities, and reduced quality of life. allure to complete the programme of work on time will mean business plas awings are		place. 4. Communications strategy in place and is being revised to reflect with revised purpose of the programme. 5. Engagement strategy including stakeholder mapping. Being extended to reflect the revised purpose of the programme				Identify suitable delivery models for areas E, F, G E - A14 Corridor F - A1 Corridor and A14 G - Harston, Great Shelford	Head of Passenger Transport		G					
				not achieved.	4	5 20		Monthly Member Steering Group meetings. Office programme board meeting monthly also. Topdates are provided for Members via Key Issues. The focus of the CFT work has now been extended to review the commissioning of all of the transport services that the County Council funds. This is following a motion to Full Council in December 2014.	3	3		Manage the review of the commissioning of transport across all forms of provision in the county.	Head of Passenger Transport	Mar-16	G		

								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.			Engagement in areas K.L.M K - Chatteris, March, Wisbech L - Gorffield, Leverington M - Melbourn, Bassingbourn	Head of Passenger Transport	February- April 2015		G
CRR26		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.			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.			Continue to monitor and inspect Busway and repair defects as they arise Prepare a strategy for the procurement of a contract to rectify the busway defects: This has been put on hold as a result.	Service Director Strategy and Development, ETE Service Director Strategy and Development, ETE	ongoing Feb-15	Oct-15	A
					5	5 25	3	5. Independent Expert advice has been taken confirming that the defects ar 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.		5 1	contractors to identify working methods that minimise disruption during the defect correction works: On hold pending surveys	Service Director Strategy and Development, ETE	Oct-15	Jan-16	A
								6. Legal Advice has been taken confirming that the defects are defects undithe 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.	F		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	Oct-15		G
E&E 4 Previously ETERR13	Economy and Environment	Borrowing requirement for major transport schemes	Development schemes are delayed, meaning that the Countly 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	12	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 indiffied. 6. Effective legal advice is being taken. 7. Housing Growth Fund is being used to ensure the timely delivery of key infrastructure.	3	3	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 managemen 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 1	Service Director Strategy and Development	The Cambridgeshire Flood Risk Management Partnership has been established to provide a strategic overview to a programme of work that will meet statutory duties. The County Council has a Flood and Water team to undertake duties related to the relevant legislation. The County Council has been allocated a grant from Government to undertaken flood risk management activities. Introduce pre application charging. Coordination and management of the Cambridgeshire Flood Risk Management Partnership's programme of work and its projects to meet legistrative 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 Head of Growth and Economy	2015		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.	undermining their sustainability,	4	4 10	Executive Director, ETE	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	Ongoing		G G

				requirements on existing network. Increased road risk to			1		П		Re-assess future maintenance requirements.	Head of Assets and Commissioning	Ongoing	G
E&E 7 Previously ETERR22	Environment	Parking at Park & Ride (P&R) sites	impact on ridership, falling use of P&R sites	through failure to generate required revenue in order to meet targets to make running of the site cost neutral. Failing ridership affects viability of bus routes and impact on targets to reduce congestion. The accessibility needs of Cambridgeshire residents are not met, contributing to social exclusion, poor take up of employment and education opportunities, and reduced quality of life.	4	4 16	Strategy and Development	1. Business case identified the probability of a 5% drop in passenger numbers post implementation. This drop in demand was identified by WS Atkins in an elasticity of demand paper. 2. Paper also predicted the drop to be temporary in nature. Charge sel low at only £1 per vehicle. An Automatic Number Plate Recognition (ANPR) system trather than a barrier control system used to reduce inconvenience to passengers. An hour for free period introduced to ensure drop-off and pickups. 4. Ability for payment to be made in advance with discounts and via mobile, online, cash and credit/debit cards. 5. ANPR system allows additional income to be gained by offering overnight parking at a premium rate. 6. ANPR system allows further cost reductions in other areas. (barrier systems), 7. Close monitoring of passenger numbers from first day of implementation	3	3 9	Joint Marketing and Promotion campaign with Stagecoach.	Head of Passenger Transport		G
E&E 8 Previously ETERR24	Economy and Environment	Deregistration of commercial bus services	Funding is not available to replace commercial services that are deregistered.	Communities are left with no public transport.	3	4 12	Strategy and	1. Work with operators to receive information about their plans at an early stage. 2. Negotiate service provision for key journeys/requirements. 3. £1.5m available annually to provide these types of service and if there is a new requirement funding can be diverted away from existing services where the need is assessed as being lower. Close links with the Cambridgeshire Future Transport (CFT) programme, CRR22.	2	4 8	Ouarterly meeting held with Stagecoach Regular contact with Whippet and Norfolk Green.	Head of Passenger Transport Head of Passenger Transport		next meeting 01/05/201 5 June 2015 and April 2015 respectivel
E&E 9 Previously ETERR26	Economy and Environment	Growth and major sites fail to meet local authorities requirements and policy objectives	Lack of shared vision, deficient planning applications Failure to successfully ensure the delivery of services. X. Exacerbrated by changes in national and local planning policy and relaxation of local authorities development control powers	to sub standard quality, failing to meet the standards required by local authorities and expected residents. Public service delivery to new communities is hampered. Unsustainable growth proposals maybe granted on appeal if infrastructure constraints meant that growth cannot come	3	4 12	Service Director Strategy and Development	1. CCC manage the Quality Panel. 2. Strong partnerships exist with Joint Planning colleagues. 3. The County Council maintains up-to-date demographic forecasts to project service and infrastructure needs. 4. External funding sources, such as the Housing Growth Fund, help to ensure that the infrastructure provision for development sites meets the Loca Authorities' requirements. 5. County Council responses to consultations on emerging policy ensure that the policies of partner organisations reflect County requirements. 6. Local Plan seek to secure aspirational affordable housing targets 30-40% across Cambridgeshire and appropriate Infrastructure.	2	4 8	1. Outstanding objection against South Cambo Bistrict Council and City Local Plans for lack of provision to secure a suitable site for: - a household recycling centre to serve Cambridge and the South of Cambridge. Local Plans are currently at examination.	Head of Growth and Economy	2015	,
				forward as planned. Additional pressure and maintenance requirements on the existing road network. Increased road risk to current and expanding							Shape proposals for Northstowe phase 2. Shape proposals for Ely North. North . \$106 agreement to be signed.	Head of Growth and Economy Head of Growth and Economy		,
E&E 10 Previously ETERR28	Economy and Environment	Failure to deliver the Greater Cambridge City Deal	Loss of local and/or national political support for the deal, delays in considering and prioritising potential infrastructure investments, or inability to establish an integrated governance framework.	City Deal funding is not made available for investment in infrastructure and the integrated approach to driving economic growth in the city-region breaks up, with substantial negative implications for the reputations of the partners and the local area.			Executive Director: Economy, Transport and Environment	A constructive dialogue exists with Cabinet Office contacts. Appropriate project documentation has been prepared and will be kept live.			Agree the details of the 2019 and 2024 independent economic assessments. Compile a communications strategy across the partnership.	Executive Director ETE Community Engagement & Business Support Manager, External Communications Manager	Dec-14 Dec-14	Mar-15
					2	5 10		The deal document was signed on behalf of all local partners and Government on 19 June 2014	1	5	Establish the Skills Service agreed in the Deal.	Head of Adult Learning and Skills	Jun-15	,
								 The governance framework has been established, with the Joint Assembly, and Executive Board both holding their inaugural meetings in January 2015. 			Undertake scheme development as per the prioritise infrastructure programme agreed by the Executive Board.	Head of Transport and Infrastructure Policy and Funding	ongoing	,
E&E 11	Economy and	Egilure to secure personne	Failure to secure necessary	Infrastructure not fit for purpose,			Director of IMO	The Executive Board agreed a prioritised programme for investment from 2015-20 on 28 January 2015. Prevent: Asset Management Strategy in place/ appropriate policies within			Annual review of Asset	Asset Strategy	Jul-15	
Previously ETERR29	Environment	railute to secure necessary funding commensurate with growth	Failure to secure necessary funding to improve/maintain infrastructure required as a result of a growing economy	innessucture from it on purpose, deteriorating at a faster rate	4	4 16	Enecution INIO	1. Prevent. Asset Management Strategy in placer appropriate policies within local transport plan. 2. Reduce: Ensuring Asset Management Strategy is applied, taking a long term view of funding 3. Contingency: Three year rolling programme (transport delivery plan) provides flexibility 4. Accept: Accept that there is unlikely to be the funding available to maintain/improve everything	3	4 1:	Management Strategy (includes a review of strategy, HIAMP and models)	Asset Strategy Manager	oul*10	,

VERY HIGH (V)	5	10	15	20	25
HIGH (H)	4	8	12	16	20
MEDIUM (M)	3	6	9	12	15
1.000 (1.)	•				4.0

LOW (L)	4	4	Ö	ŏ	10
NEGLIGIBLE	1	2	3	4	5
IMPACT	VERY RARE	UNLIKELY	POSSIBLE	LIKELY	VERY LIKELY