

## S&D Risks in Corp and E&E Registers

Version Date: 28th Sep 2016

	Details of Risk					Inherent Risk		Re	sidual Risk	Actions Actions			
Risk No.		Risk Description	Trigger	Result	Probability Impact	Score 7	Key Controls/Mitigation	Probability Impact	Score *	Description	Action Owner	Target Date	Revised Target Date Action Status
Corporate F	Risks												
			Insufficient funding is obtained from a variety of sources, including growth funds, section 106 payments, community infrastructure levy and other planning contributions, to deliver required infrastructure. This is exacerbated by the austerity measures 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 servces which is unsuatainable.			Maximisation of developer contributions through Section 106 negotiations.      Prudential borrowing strategy is in place.			County planning obligation strategy being developed for district's and CCC use.      Seek Members' approval of the new Transport Investment Plan which pulls together all transport infrastructure required for growth in Cambridgeshire and to monitor funding for schemes including S106. Members sign-off will take place annually thereafter	Infrastrucutre Policy &	Jul-16 Oct-16	Oct 16 <b>G</b>
CR9		Failure to secure funding for infrastructure			4 4 16	Executive Director: Economy, Transport and Environment	3. Section 106 deferrals policy is in place. 4. External fundino for infrastructure and services is continually sought. 5. Maintain dialogue with Huntingdonshire DC and East Cambridgeshire DC where Community Infrastructure Levy is in place to secure CIL monies for County protects. 6. Strategic development sites dealt with through \$106 rather than CIL and \$106*  1n dealing with sites through \$106 alone the County Council has direct involvement in negociation and securing of developer contributions to militiate the inneard of a snerific Development 7 County lanning obliqation stratego being developed for district's and CCC use in identifying community infrastructure needs. 8. Lobby with LGA over infrastructure deficit 9. On-opion review, scrutiny and challenge of design and build costs to ensure maximum value for money 10. Coordination of requirements across Partner organisations to secure more viable shared infrastructure 11. Respond to District Council Local Plans and input to infrastructure policy at all stages of the Local Plan process. 12. Annual school capacity return to the Department of Education seeks to secure maximum levels of funding for basic need. 13. Maintain dialogue with Cambridge City Council and South Cambridgeshire District Council to input into Community Infrastructure Levy prior to adoption of the Local Plan (Adoption of CIL anticipated 2016).	3 4	12				
CR 22			The changes to services that     Total Transport introduces generate	An overall reduction in transport     budgets would then result in the	4 3			2 3	6	Smartcard technology was introduced in September 2016, with review of initial data in Neuropher. This will provide a good indication of natortial environ.	Total Transport Project	Nov-16	Nov-16 G
			a level of adverse opinion such that they prove impossible to sustain.     One or more individual serious			and Development	<ol> <li>A Total Transport Programme Board meets at least quarterly, bringing together Service Directors from CFA and ETE to provide strategic direction.</li> <li>A Total Transport Project Group meets monthly, bringing together Heads of Services from CFA and ETE, to consider the operational impacts and opportunities.</li> </ol>			Initial date in November. This will provide a good indication of potential savings from this workstream.  2. New school bus networks were introduced September 2016, testing different approaches that may offer savings. Results of analysis of the savings are anticipated October 2016. The operational results and the public response will provide an indication of whether these can be applied more widely.  3. A further report is scheduled for General Purposes Committee in November 2016, considering in particular the options for integrating social care and school journeys. This will provide formal consideration of options going forward.	Operational Projects Manager  Transport Policy &	Oct-16	Oct-16 <b>G</b> Nov-16 <b>G</b>
			without incurring additional costs elsewhere (e.g. the impact on	employment and education opportunities, and reduced quality			4. A stakeholder engagement and communications strategy continues to be followed. A consultation exercise was undertaken early in 2016, to inform the proposals presented to committee.	11		A new Flexible Minibus Service is scheduled for introduction in January 2017. This will test a possible model that could mitigate future reductions to the	Total Transport Area Office	cer Jan-17	Jan-17 G
		domicilary care provision would outweigh the savings available by changing travel times).  4. The provider market proves unable or unwilling to meet the Council's requirements at an affordable rate.				5. A new procurement framework has been established, and work continues to engage with (potential operators). High level work is also being undertaken to explore the costs and benefits of in-house operation.  6. The Council is actively engaged with other local authorities pursuing a Total Transport agenda, and attends quarterly DfT meetings to share experience and ideas.	-		burloet for local hus services, for example				
CR 26		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	Executive Director: Economy, Transport and Environment	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.  A process is established to record defects and pass on to the Contractor.  3. Monitoring and inspection regime in place  4. 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 resoonse.  5. Legal Advice has been taken confirming that the defects are defects under the Contract and that has a good case for recovering the cost of correction from the Contractor  6. Retention monies held under the contract have been withheld from the Contractor and used to meet defect correction and investigation costs.  7. Funds have been set aside from the Liquidated Damages withheld from the Contractor during construction, which are available to meet legal costs.  8. General Purposes Committee have resolved to correct the defects and to commence legal action to recover the costs from the Contractor  9. 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	Survey and investigation work - Programme of investigation and surveys agreed with BAM Nuttall to better understand nature, cause and possible solutions to defects are complete. Our independent experts have produced a report. Other actions put on hold pending outcomes.  Report to the General Purpose Committee 29/11/16	Service Director Strategy Development, ETE	and Sep 2016	Nov-16 <b>G</b>
ш «б ш E&E 4	Economy and Environment	Borrowing requirement for	Development schemes are delayed			Service Director, Strategy	A prudential borrowing strategy is in place to fund infrastructure where appropriate.	П		Confirm Growth Deal funding, and Network Rail contribution to reduce	Director of Strategy and	Jul-16	Dec 2016
Previously ETERR13		major transport schemes	meaning that the County Council needs to borrow to fund major Transport Infrastructure schemes that are committed, pending recovery of funds from developers when development commences.		3 4	and Development	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 capitalizerwenue 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	borrowing for Ely Bypass. Awaiting DfT to gain ministerial sign off. Full approval is subject to final construction target cost and it not causining the VfM to fall into a lower threshold. Target cost expected Dec 2016.  2. Ely Bypass detailed design and construction Target Price to be agreed to allow commencement of construction.	Development  Director of Strategy and Development	Jan-17	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.	4 4	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. We will work closely with parners to ensure efficiant delivery of duties, using public sector co-opoeration agreements where appropriate. 2. Partnership coordination and management of the Cambridgeshire Flood Risk Management Partnership's programme of work and its projects to meet the duties. 3. Introduce pre application charging for planning and ordinary water course consent. 4. Ensure clear prioritisation for work streams working closly with communities and manageing expectations. 5. Seek new funding streams.	3 3	9	Monitor income with the introduction of fees and charges and to review April 2017	Economy	Apr-17	G
E&E 6 Previously ETERR18	Economy and Environment	Failure to manage capacity, evironment, safety and maintenance issues on the A14 Cambridge-Huntingdon Corridor	Delay in the delivery of the A14 Improvement Scheme.	New communities cannot be delivered in their totality, undermining their sustainability, viability and timely 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 requirements on existing network. Increased road risk to current and expanding road users.	4 4	Service Director Strategy and Development	<ol> <li>Joint working management structure established between Local Authorities and Highways England. Appointed integrated design team to take forward stages of the design.</li> <li>Env Group established to discharge schedules associated with the Dev Consent Order. County managing interests including borrow pits, movement of minerals and waste, and drainage.</li> <li>Established a legal agreement to charge for Cambridgeshire County Council officers time and added resources needed. Teams to be set up.</li> <li>County to aprove design changes as part of the detailed design process.</li> <li>Traffic and transport impact, asset management, and future liability assessment to the local highway authority</li> <li>Legacy - additional funding £3.5 M for mitigation to be spent by 2021.</li> </ol>		8	Surveying to detruck section of A14 and negciating with Highways England.      Development Consent Order compliant checks and schuduals, reconciling departure standards.      Mobilisation of site compounds and temp works. County to aprove haulage routes.	Head of Major Infrastruct. & Delivery  Head of Major Infrastruct. & Delivery Head of Major Infrastruct. & Delivery		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	and Development	Work with operators to receive information about their plans at an early stage.     Negotiate service provision for key journeys/requirements.     S.£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	Quarterly meeting held with Stagecoach     Regular contact with Whippet.	Head of Passenger Trans Head of Passenger Trans		Oct-16 <b>G</b>

E&E 9 Previously ETERR26	Economy and Environment	Growth and major sites fail to meet local authorities' requirements and policy objectives		New communities are delivered 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 forward as planned. Additional pressure and maintenance requirements on the existing road network. Increased road risk to current and expanding road users.	3 4 1:		<ol> <li>CCC manage the Quality Panel.</li> <li>Strong partnerships exist with Joint Planning colleagues. Cambridgeshire Infrastructure Plan is drafted by the Joint Strategic Planning Unit.</li> <li>The County Council maintains up-to-date demographic forecasts to project service and infrastructure needs.</li> <li>External funding sources, such as the Housing Growth Fund, help to ensure that the infrastructure provision for development sites meets the Local Authorities' requirements.</li> <li>County Council responses to consultations on emerging policy ensure that the policies of partner organisations reflect County requirements.</li> <li>Local Plan seek to secure aspirational affordable housing targets 30-40% across Cambridgeshire and appropriate infrastructure.</li> </ol>	2 4	8	Outstanding objection against City Local Plan for lack of provision to secure a suitable site for:     a household recycling centre to serve Cambridge and the South of Cambridge and Local Plans that are currently at examination.	Head of Growth and Economy	01-Sep-16 06-Nov-16
E&E 10 Previously ETERR28	Economy and Environment	challenging transport infrastructure programmes	struggle to retain and employ staff to cater for demand to deliver infrastructure schemes in the county. City Deal and County Infrastructure schemes compete for resources.	economic growth in the city-region breaks up, with substantial negative implications for the promotion of economic growth in Greater Cambridgeshire and for the reputations of the partners and the local area.	2 5 11	Executive Director: Economy, Transport and Environment	A Prioritised City Deal Programme for Investment from 2015-20 is in place, agreed by the Executive Board January 2015.  6. Review and monitor resources towards the Programme.  7. Work looking at staff retention and career progression.	2 5	10	Recruitment of Team Leader in Major Infratsructure Delivery Service.      Review of MID and TIPF Service Structures.      Appointing consultants to resourse delivery programmes. Tender process to commence.	Head of Major Infrastructure & Delivery  Head of Major Infrastructure & Delivery/ Head of Transport & Infrastructure Policy and Fundino Head of Major Infrastructure & Delivery	G
E&E 12	Economy and Environment	Inability to fund Adult Learning services, including employability training	Reduction in Government funding through the Skills Funding Agency for Adult Learning and Skills	Reduction of basic employability training for service users.	2 3 6	Service Director, Strategy and Development	<ol> <li>Risk management in place for small to medium reductions, able to take action short term using recovery plan with providers.</li> <li>Maintian dialogue with the Government to understand future funding and roll of the new CA.</li> </ol>	2 2	4			