

**Cambridgeshire County Council Corporate Risk Register**  
**Part 2: Detailed Risk Analysis - Controls and Mitigating Actions**

**APPENDIX 1**

Risk Number	Risk Title	Risk Description	Probability	Impact	Overall Risk Score	Direction of travel	Risk Owner	
							SMT Member	Portfolio Holder
<Use the common risk identifier tba>	<Short title for the risk; wording to be exactly the same as risk title in detailed analysis section below>	<A description of the risk. Needs to express the real risk that we are trying to manage. Should <b>not</b> be expressed in a positive way.> <The <b>trigger</b> of the risk and the <b>result</b> of its impact needs to be described> <Wording to be exactly the same as risk description in detailed analysis section below> <The RR is to be updated on three monthly basis - consider what the specific issue is that needs to be managed within that time frame>	<Use the risk score from the corporate scoring system>	<Use the risk score from the corporate scoring system>	<Use the risk score from the corporate scoring system>	<Insert arrow showing whether risk has improved ↓; worsened ↑; or remained static ↔>	<Post holder who can best influence the management of the risk>	<Cabinet member with lead accountability for the risk>
1	IPP Delivery	<b>Trigger:</b> Failure to deliver against approved Integrated Plan 2011-12 in terms of efficiency savings or transformation  <b>Result:</b> The Council is unable to achieve required savings and fails to meet statutory responsibilities or budget targets; need for reactive in-year savings; adverse effect on delivery of outcomes for communities	3	4	12	↔	All SMT	All Cabinet Members

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2	Shared Services programme	<p><b>Trigger 1:</b> failure to deliver proposed transformation and efficiency particularly in respect of reduced IT costs, transactional efficiencies, reduced management costs and procurement and other benefits.</p> <p><b>Trigger 2:</b> failure to adapt to likely significant changes in the way the authority manages and delivers its services.</p> <p><b>Trigger 3:</b> failure to sign up additional customers to LGSS and delivery of the LGSS savings dependent on this.</p> <p><b>Result:</b> failure of the Local Government Shared Service (LGSS) programme and adverse impact on support service delivery and budget position</p>	3	3	9	↔	Director of Finance	Cabinet Member Resources and Performance
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3	Workforce reductions, recruitment and retention	<p><b>Trigger:</b> Failure to manage planned workforce reductions in a timely and appropriate manner</p> <p><b>Result:</b> budget overspend and adverse impact on:</p> <ul style="list-style-type: none"> <li>• service delivery</li> <li>• employee relations,</li> <li>• employee engagement</li> <li>• trust in employer,</li> <li>• morale and reputation;</li> </ul> <p>leading to increased voluntary turnover, increased absence levels, and reduced ability to recruit and retain high quality employees</p>	3	3	9	↔	Director of Human Resources and Organisational Development	Cabinet Member Resources and Performance
4	Procurement and contract management	<p><b>Trigger:</b> Insufficiently strong and consistent procurement and contract management arrangements</p> <p><b>Result:</b> poor value for money, legal challenge, and wasted time and effort in contractual disputes</p>	4	4	16	↔	Director of Finance	Cabinet Member Resources and Performance

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5	Partnership working	<p><b>Trigger:</b> Failure of new partnership arrangements (including LEP and Health &amp; Wellbeing Board) to deliver outcomes for communities; failure to maximise potential for new partnership opportunities</p> <p><b>Result:</b> Reduced ability for partners to work together effectively and efficiently, and target limited resources to achieve shared outcomes</p>	3	3	9	↔	SMT	All Cabinet Members
8	Housing growth	<p><b>Trigger:</b> General economic downturn (reduced market liquidity and credit availability) the dismantling of the regional planning structure and constraints placed on growth by the A14.</p> <p><b>Result:</b> Housing growth fails to meet to meet housing need, shortfall in affordable housing, re-emergence of unsuitable sites made subject to planning applications, and lack of co-ordinated strategic planning. New communities cannot be delivered in their totality, undermining their suitability viability and the provision of necessary infrastructure</p>	4	4	16	↔	Acting Executive Director, Environment Services	Cabinet Member for Growth and Planning

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9	Infrastructure funding shortage	<p><b>Trigger:</b> Insufficient funding obtained from a variety of sources, including Government funds, Section 106 payments and other planning contributions. Exacerbated by the recession and increased requests for deferral of developer payments.</p> <p><b>Result:</b> Problems delivering key infrastructure/services/developments, with consequent impacts on transport, economic, environmental, and social outcomes. Issues with repayment where investment has already been made.</p>	4	4	16	↔	Acting Executive Director, Environment Services	Cabinet Member for Growth and Planning
10	Cambridgeshire Guided Busway	<p><b>Trigger:</b> Settlement of Busway disputes exceeds contingency allowances already made</p> <p><b>Result:</b> Financial impacts of additional costs to Council above contingency</p>	1	4	4	↓	Acting Executive Director, Environment Services	Cabinet Member for Growth and Planning
11	Climate change mitigation	<p><b>Trigger:</b> Failure to stabilise and reduce operational greenhouse gas emissions and energy use.</p> <p><b>Result:</b> Additional costs (arising from fuel and electricity consumption, and financial penalties associated with poor performance in the Carbon Reduction Commitment (CRC) Energy Efficiency Scheme, and cost of allowances bought under auction as part of CRC); and reputational damage of not being able to demonstrate community leadership in tackling climate change.</p>	4	3	12	↔	Corporate Director of Customer Service and Transformation	All Cabinet Members / Cabinet Member for Community Infrastructure

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12	Climate change adaptation	<p><b>Trigger:</b> Failure to prepare for and adapt to current and future changes in climate</p> <p><b>Result:</b> Climate impacts resulting in:-</p> <ul style="list-style-type: none"> <li>• Social risks to vulnerable members of the population (e.g. increased risk of heat stress and mortality during hotter summers)</li> <li>• Economic risks (e.g. increased financial impact of flood damage)</li> <li>• Reputational risks (e.g. increased third party claims and costs associated with deformation and damage to the highways network)</li> <li>• Environmental risks (e.g. loss of local biodiversity and damage to sites)</li> <li>• Increased pressure on frontline service delivery (e.g. increasing number of phone calls and public enquiries to contact centre during extreme weather events)</li> </ul>	3	3	9	↔	Acting Executive Director, Environment Services	All Cabinet Members, Cabinet Member for <b>Community Infrastructure</b>
13	Community engagement	<p><b>Trigger:</b> Failure to engage with local communities and limited impact of residents on decisions about service delivery</p> <p><b>Result:</b> loss of confidence in service delivery and service transformation.</p>	3	3	9	↔	Executive Director Community and Adult Services	Cabinet Member for Community Engagement

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14	Community cohesion	<p><b>Trigger:</b> Failure to address issues of community cohesion.</p> <p><b>Result:</b> exclusion of sections of the community, potentially resulting in increased community tensions and public dissatisfaction</p>	3	3	9	↔	Executive Director Community and Adult Services	Cabinet Member for Community Engagement
15	Safeguarding vulnerable children and adults	<p><b>Trigger:</b> Failure to follow the robust arrangements in place designed to prevent harm to adults and children</p> <p><b>Result:</b> Harm to an adult receiving services from Community and Adult Services or harm to children (including in Domestic Violence situations)</p>	3	4	12	↔	Chief Executive, Executive Director Children's and Young People's Services / Executive Director Community and Adult Services	Leader of the Council, Cabinet Member for Children and Young People's Services, Cabinet Member for Adult Services
16	Resourcing Provision for children and adults	<p><b>Trigger:</b> Unanticipated Increase in needs of children and adults</p> <p><b>Result:</b> the needs of children and adults cannot be met with the resultant adverse impact on strategic objectives</p>	3	3	9	↔	Executive Director Children's and Young People's Services/ Executive Director Community and Adult Services	Cabinet Member for Children and Young People's Services, Cabinet Member for Adult Services
18	Pooled Budgets	<p><b>Trigger:</b> Unbudgeted demand pressures in pooled budgets, especially with regards to older people</p> <p><b>Result:</b> social care needs cannot be met within the budget available, adverse effect on relations between partners.</p>	4	3	12	↔	Executive Director Community and Adult Services	Cabinet Member for Adult Services

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19	IT Resilience	<p><b>Trigger:</b> A failure in availability and/or performance of service-critical IT systems which cannot be rapidly resolved</p> <p><b>Result:</b> Prolonged loss of systems and/or connectivity, leading to inability to deliver services, support vulnerable adults and children, and interact with partners; loss of reputation</p>	4	4	16	↔	Corporate Director of Customer Services and Transformation	Cabinet Member for Resources and Performance
20	Non compliance with legislative and regulatory requirements	<p><b>Triggers:</b></p> <ol style="list-style-type: none"> <li>1. Staff unaware of changes to legislative/regulatory requirements</li> <li>2. Lack of staff training</li> <li>3. Lack of management review</li> </ol> <p><b>Results:</b></p> <ol style="list-style-type: none"> <li>1. Adverse reports from regulators</li> <li>2. Criminal or civil action against the Council</li> <li>3. Reputational damage</li> </ol>	3	4	12	New Risk	Chief Executive	Cabinet Member for Resources and Performance
21	Business Disruption	<p><b>Triggers:</b></p> <ol style="list-style-type: none"> <li>1. Industrial action</li> <li>2. Pandemics</li> <li>3. Adverse weather</li> <li>4. Loss of use of assets</li> <li>5. Loss of 'utility' services</li> </ol> <p><b>Results:</b></p> <ol style="list-style-type: none"> <li>1. Death or injury to vulnerable people for whom the Council has a responsibility</li> <li>2. The Council is unable to meet legislative and statutory requirements</li> </ol>	3	3	12	New Risk	Head of Service Transformation	Cabinet Member for Resources and Performance



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Risk Title IPP Delivery	Risk Number	Risk Owner	Risk Score:
<b>Risk Description</b>  <b>Trigger:</b> Failure to deliver against approved Integrated Plan 2011-12 in terms of efficiency savings or transformation  <b>Result:</b> The Council is unable to achieve required savings and fails to meet <b>statutory responsibilities</b> or budget targets; need for reactive in-year savings; adverse effect on delivery of outcomes for communities	1	All Cabinet Members / All SMT	Probability 3 Impact 4  12
<b>Reason for change in Direction of Travel</b>  Revised risk (formally Financial Strategy)			
<b>Controls in place</b> <ul style="list-style-type: none"> <li>▪ Strengthened governance framework to manage transformation agenda               <ul style="list-style-type: none"> <li>Integrated portfolio of programmes and projects</li> <li>Routine portfolio review to identify and address dependencies, cross cutting opportunities and overlaps</li> <li>Transformation Board to review and recommend priorities</li> <li>Directorate Management Teams/Programme Governance Boards to ratify decisions</li> </ul> </li> <li>▪ Integrated performance and resource reporting               <ul style="list-style-type: none"> <li>Monthly progress against savings targets</li> <li>Corporate Scorecard monitors performance against priorities</li> <li>Regular meetings with Director of Finance/151 Officer, Portfolio Holders and relevant Directors to track exceptions and identify remedial actions</li> </ul> </li> <li>▪ Performance Management</li> <li>▪ Limited reserves for minor deviations</li> <li>▪ Robust service planning; priorities cascaded through management teams and through appraisal process</li> </ul>			

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<b>Action</b>		<b>Responsibility</b>	<b>Implementation Date</b>
1	Review transformation projects from the Portfolio against the strategic priorities and agreed Integrated Plan	Corporate Director, Customer Service and Transformation/Strategic Management Team	Closed
	Regular recommendations to be provided to Strategic Management Team (SMT)		Closed
	SMT to act on recommendations		Closed
2	Translate IP into service plans and individual employee appraisals to ensure work programmes deliver against plan and budget	Individual directors and heads of service	Closed
3	Introduce earlier, more comprehensive and integrated (LGSS) financial reporting	Director of Finance	Closed
<b>Progress with actions</b> <Indicate whether actions are complete or give progress update>>			
1	Sep 2010 – Actions relating to Portfolio Management are on track for presentation of interim report in September. Nov 2010 – Portfolio in place and updated monthly (now a control). Revised management process awaiting SMT approval in November, after which will follow regular recommendations to SMT and QIAs, and SMT actions. Jan 2011 – Review of transformation projects from the Portfolio against the strategic objectives and IP (now budget has been agreed). April 2011 - Closed		
2	April 2011 – The Integrated Plan, new priorities and ways of working are being embedded throughout the organisation, cascaded through management teams as service planning and individual appraisals take place, and vis Council-wide activities such as the latest edition of countywide and appraisal training. This action is now a control. Closed.		
3	April 2011 – Monthly reports requested as part of finance and performance reporting on savings achieved to date and forecast savings ay year-end. Regular meetings with Director of Finance/ 151 Officer, Portfolio Holders and relevant Directors to track exceptions and identify remedial actions. This action is now a control. Closed.		

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Risk Title Shared Services Programme	Risk Number	Risk Owner	Risk Score:
<p><b>Risk Description</b></p> <p><b>Trigger 1:</b> failure to deliver proposed transformation and efficiency particularly in respect of reduced IT costs, transactional efficiencies, reduced management costs and procurement and other benefits.</p> <p><b>Trigger 2:</b> failure to adapt to likely significant changes in the way the authority manages and delivers its services.</p> <p><b>Trigger 3:</b> failure to sign up additional customers to LGSS and delivery of the LGSS savings dependent on this.</p> <p><b>Result:</b> failure of the Local Government Shared Service (LGSS) programme and adverse impact on support service delivery and budget position</p>	2	Cabinet Member Resources and Performance / Director of Finance	Probability 3 Impact 3  9
<p><b>Reason for change in Direction of Travel</b></p> <p>Risk Static</p>			
<p><b>Controls in place</b></p> <ul style="list-style-type: none"> <li>▪ Joint Committee Structure, governance arrangements and LGSS Management Board (with interim MD arrangements) in place</li> <li>▪ New LGSS structure implemented</li> <li>▪ LGSS director representation on SMT to ensure LGSS meets current and future Council needs</li> <li>▪ Pathway for implementation in (Full Business Case) agreed by both Cabinets</li> <li>▪ Readiness plan and transition plan for move to Shared Service</li> <li>▪ LGSS Strategic Plan, Strategy Map and Improvement Activities identified</li> <li>▪ Programme Management arrangements in place to move forward workstreams (progress on specific workstreams monitored in LGSS risk register)</li> </ul>			

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<b>Action</b>		<b>Responsibility</b>	<b>Implementation Date</b>
1	Creation of Joint Committee Structure and governance arrangements for the LGSS	Chief Executive	Closed
2	Restructure of the Council's senior management team	Chief Executive	Closed
3	Appointment of LGSS Management Board	Chief Executive	Closed
4	Establishment of programme management arrangements to move forward workstreams (e.g. Oracle Release 12, move to self-service) aimed at delivering benefits	Chief Executive	Closed
5	Implementation of new LGSS structures	Chief Executive	Closed
6	Harmonisation of IT infrastructure	LGSS Operations Director	June 2011
7	Agreement of service levels between LGSS and residual organisation	Chief Executive	June 2011
8	Joint procurement of contract for hosting the E-Business Suite	Chief Executive	Closed
9	Develop and implement marketing strategy, service catalogue and other marketing materials	LGSS Finance Director	June 2011
<b>Progress with actions</b> <Indicate whether actions are complete or give progress update>>			
1	Joint Committee now established and governance arrangements in place. Action achieved.		
2	Consultation paper on structure of LGSS management team issues; response under consideration. Appointment process in progress.		
3	Director posts now appointed. MD post appointment not yet made.		
4	Preliminary actions in train, e.g. procurement exercise, service catalogue.		
5	LGSS MD work still being taken forward despite postponement of appointment.		
6	May 2011 – Mechanism for harmonising CCC and NCC Microsoft Office systems being trialled over next couple of weeks, to then be rolled out in June 2011		
7	May 2011 – Basic level of expectations in process of being completed. Key performance indicators discussed at Joint Committee on 25/05/11. Service Catalogue, clarifying service offer and level, currently being finalised for June 2011.		
8	Ahead of target, have selected partners, and savings achieved have been better than expected. This action is now complete.		
9	May 2011 – Marketing Strategy in place, Service Catalogue for external customers being finalised and clear focus on exploiting potential market opportunities, including not-for profit organisations.		

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<b>Risk Title</b> <b>Workforce reductions, recruitment and retention</b>	<b>Risk Number</b>	<b>Risk Owner</b>	<b>Risk Score:</b>
<b>Risk Description</b>  <b>Trigger:</b> failure to manage planned workforce reductions in a timely and appropriate manner  <b>Result:</b> budget overspend and adverse impact on: <ul style="list-style-type: none"> <li>• Service delivery</li> <li>• Employee relations</li> <li>• Employee engagement</li> <li>• Trust in employer</li> <li>• Morale and reputation,</li> </ul> leading to increased voluntary turnover, increased absence levels, and reduced ability to recruit and retain high quality employees	3	Cabinet Member Resources and Performance / Director of Human Resources and Organisational Development	Probability 3 Impact 3  9
<b>Reason for change in Direction of Travel</b> Static			
<b>Controls in place</b> <ul style="list-style-type: none"> <li>• Comprehensive Redundancy policies covering each aspect of the redundancy process – fully updated in April 2011</li> <li>• Specific focus on statutory compliance and statutory consultation requirements</li> <li>• Model restructure consultation document used for all restructures</li> <li>• Early discussion between HR adviser and manager about workforce reduction, enabling early planning and HR support</li> <li>• Early engagement of recognised trade unions</li> <li>• Communication undertaken with affected employees throughout redundancy process</li> <li>• Restructure presentation available for managers which outlines all of the steps in the restructure process</li> <li>• Employee guidance pack available for employees which gives comprehensive information on the redundancy process and sources of support</li> <li>• Prior consideration process used to maximise redeployment</li> <li>• Tracking spreadsheets used to centrally monitor the progress of restructures occurring across the Council (i.e. to monitor the progress of all the current restructures covered by the current section 188 notifications).</li> </ul>			

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<b>Action</b>		<b>Responsibility</b>	<b>Implementation Date</b>
1	Service risk registers will indicate local action being taken where restructures are underway.	N/A	N/A

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Risk Title Procurement and Contract Management		Risk Number	Risk Owner	Risk Score:
Risk Description		4	Cabinet Member Resources and Performance / Director of Finance	Probability 4 Impact 4  16
Trigger: Insufficiently strong and consistent procurement and contract management arrangements				
Result: poor value for money, legal challenge, and wasted time and effort in contractual disputes				
Reason for change in Direction of Travel				
Static				
Controls in place Contract regulations; procurement and contract management guidance and support located within the Procurement Team				
Action		Responsibility	Implementation Date	
1	New Strategic Procurement Advisor starts in post	Director of Finance	Closed	
2	Development of new procurement policy	Director of Finance	Closed	
3	Establishment of new procurement team arrangements within LGSS service and development of category management model	Director of Finance	Interim arrangements now in place.  Permanent arrangements April 2011 subject to consultation being complete by end Jan 2011	

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4	Establishment of Contract Management Board (CMB)	Director of Finance	Terms of Reference agreed November.  CMB established January 2011
5	Establishment of forum for sharing learning from contract management and procurement exercises	Director of Finance	Closed
<b>Progress with actions</b> <Indicate whether actions are complete or give progress update>>			
1	<p>The creation of LGSS has provided an opportunity to review how procurement and contract management can best be provided across the Council. It is planned that a single Head of Profession will now have responsibility for leadership of the procurement function across both organisations and interim arrangements have been put in place for this position to be covered.</p> <p>A key part of the Head of Profession role is to define the optimal organisation structure for the LGSS Procurement function and this will include how strategic procurement advice is provided. The current advice from HR is that any restructuring proposals will require a period of consultation and therefore any permanent organisational changes are unlikely to be implemented until April 2011. In order to progress with implementing the recommendations from the Member led review on Procurement and a number of other initiatives it is proposed to put in interim arrangements for the appointment of a Senior Procurement role from January 2011.</p> <p>The focus will be on improved procurement but will include responsibility for providing advice and guidance on improving contract management practices across the authority.</p> <p>Jan 2011 – Interim arrangements are in place, permanent senior procurement role will be advertised at end of consultation period. Subject to the consultation not being extended an April appointment date is still achievable.</p> <p>April 2011 – An appointment on an acting up basis has now been made to the Senior Procurement Manager role – closed.</p>		
2	<p>An overall Procurement strategy is planned to be submitted to CCC Cabinet in December 2010. The more detailed procurement policy will be documented in a Procurement Statement of Required Practice (SORP). The 1<sup>st</sup> draft of this SORP will be available for review by the end of Jan 2011.</p> <p>Jan 2011 – The Procurement strategy has now been issued to the February Cabinet for approval and the 1<sup>st</sup> draft of the Procurement SORP is complete.</p> <p>April 2011 – The Procurement Strategy was approved by Cabinet in February – closed.</p>		
3	<p>Interim arrangements have been put in place with the appointment of a single Head of Service and it is proposed subject to HR approval to alter reporting lines on an interim basis until a revised structure is implemented.</p> <p>Steps have been taken to ensure any new procurement activity is reviewed to understand any joint opportunity or best practice already applied elsewhere. A list of upcoming contracts across the two authorities is also being developed to enable improved planning. A number of joint procurement activities are already being carried out utilising the existing category management leads in place.</p>		



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	<p>Proposals for a category management approach spanning both authorities will form part of the procurement restructuring proposals that subject to consultation are planned to be implemented in April 2011.</p> <p>Jan 2011 – Proposals for new structure complete and agreed with Finance Director still on target for April implementation subject to completion of consultation mid February.</p> <p>April 2011 – The delay in completing the consultation process and the consideration of displaced staff has slightly delayed the completion of the appointment process for all roles this is now expected to be completed by the end of May subject to the availability of suitable candidates.</p>
4	<p>A draft terms of reference for the CMB has been drawn up and once approved by the Director of Finance will be established, a final decision on whether this is an Officer only Board is still awaited.</p> <p>A separate Member Panel is also being considered whose purpose would be to monitor the delivery of the overall Procurement Strategy.</p> <p>Jan 2011 – The procurement Strategy that is going to Cabinet includes the recommendation for an Officer Board to review contracts and the process for reporting progress on the procurement strategy, once approval is given by Cabinet the Board can become operational, now likely to be March.</p> <p>April 2011 – Following a review of CLT the re the role and nominations for the proposed Contract Review Group a revised terms of reference have now been circulated to Executive Directors for final comment and approval of nominations. Once approved will become operational with briefings issued to all managers.</p>
5	<p>This forum is due to hold its 1<sup>st</sup> meeting in December with meetings scheduled on a bi monthly basis.</p> <p>Jan 2011 – The 1<sup>st</sup> internal meeting has now been held and one of the recommendations from this was that we build the learning and sharing into regular procurement update and learning sessions offered to all service areas. The 1<sup>st</sup> event was held in December and these will be followed up both in the form of briefings for service area team meetings and open events.</p> <p>April 2011 – This has continued with events being advertised via Camweb – closed.</p>

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Risk Title Partnership Working		Risk Number	Risk Owner	Risk Score:
<b>Risk Description</b>  <b>Trigger:</b> Failure of new partnership arrangements (including LEP and Health & Wellbeing Board) to deliver outcomes for communities; failure to maximise potential for new partnership opportunities.  <b>Result:</b> Reduced ability for partners to work together effectively and efficiently, and target limited resources to achieve shared outcomes		5	All Cabinet Members / SMT	Probability 3 Impact 3  9
<b>Reason for change in Direction of Travel</b>  <b>Static.</b> This reflects the fact that, despite financial pressures, partnership working has continued, and the new partnership arrangements should help focus on achieving outcomes. However, it is also noted that the Corporate Policy and Partnerships function will no longer exist from April onwards, so there will no longer be a dedicated resource to support partnerships from that team.				
<b>Controls in place</b> The new model of partnership working commissioned by Cambridgeshire Together has been completed and based on achieving outcomes rather than bureaucracy and meetings. The Chief Executive of Cambridgeshire County Council has taken over the role of Chairman of Cambridgeshire Public Service Board (CPSB), allowing for greater opportunities to strengthen the role of CPSB.				
<b>Action</b>		<b>Responsibility</b>		<b>Implementation Date</b>
1	Review effectiveness of Cambridgeshire Public Service Board (CPSB) and implement more robust meeting support arrangements and leadership development programme, identifying key strategic priorities for the county which CPSB will drive forward.	Chief Executive/ Head of Corporate Development		Closed
2	Develop a more robust process for sharing high level financial information across partners and making collaborative resource decisions, to inform budget planning for 2012-13.	Director of Finance		June 2011
3	Consider resource and skills support for the LEP in delivering its vision of job growth and supporting infrastructure	Executive Director, Environment Services		September 2011

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4	Rod to complete		
<b>Progress with actions</b> <Indicate whether actions are complete or give progress update>>			
1	January 2011 – A leadership consultant has been commissioned to undertake a development session with CPSB members on 7 <sup>th</sup> February, and has already conducted individual diagnostic interviews. April 2011 – Leadership development with CPSB has been undertaken, moving to a meeting structure based on conducting “deep dives” into strategic issues, encouraging greater collaboration and partnership working.		
2	January 2011 – A series of district-level meetings have been held, with district and county partners attending to discuss particular areas of potential multiple cuts and opportunities for further joint working. A hot spot analysis is underway to map partner proposals in order to identify areas of overlap for specific thematic areas. An analysis of the impact on particular geographic areas and communities of interest will follow once more detailed proposals are available. April 2011 – The hotspot analysis on thematic overlap was completed and shared with partners earlier in the year. The IP process is currently being reviewed for 2012-13, with specific focus on how to engage more robustly with partners in cross-organisational budget planning.		
3	April 2011 – Work is ongoing with LEP partners and expected to be completed in the Autumn.		

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Risk Title Housing Growth	Risk Number	Risk Owner	Risk Score:
<p><b>Risk Description</b></p> <p><b>Trigger:</b> General economic downturn (reduced market liquidity and credit availability) and the dismantling of the regional planning structure and constraints placed on growth by the A14.</p> <p><b>Result:</b> Housing growth fails to meet housing need, shortfall in affordable housing, re-emergence of unsuitable sites made subject to planning applications, and a lack of co-ordinated strategic planning. New communities cannot be delivered in their totality, undermining their suitability, viability and the provision of necessary infrastructure.</p>	8	Cabinet Member for Growth and Planning / Acting Executive Director, Environment Services	Probability 4 Impact 4  16
<p><b>Reason for change in Direction of Travel</b></p> <p>No change in the risk score (Updated April 11)</p>			
<p><b>Controls in place</b></p> <p>Joint planning and delivery arrangements are in place for major growth sites and strategic issues relating to growth. The joint working groups include the Northstowe Delivery Board, Growth Partnership Board, Senior Officer Board, Joint Strategic Growth Implementation Committee and the Cambridgeshire Horizons Board. These arrangements allow joint solutions to be identified and implemented to address development financing (for example the Horizons Board agreement of Housing Growth Fund allocations) and to respond to strategic issues affecting development finance.</p> <p>The New Communities Service ensures effective leadership and coordination of the County Council's work in preparing for growth and communicates in a timely fashion with our key stakeholders, South Cambridgeshire District Council, City Council, Cambridgeshire Horizons as well as the developers, and advises the Joint Development Control Committees and Cabinet. This work has included mechanisms to provide funding to help ensure development will start – for example securing Cabinet approval for the use of prudential borrowing for secondary education at Cambridge Southern Fringe.</p> <p>A Section 106 deferrals policy is in place to unlock housing sites where cashflow issues are preventing commencement of house building.  A joint statement has been published by the County Council and District Councils committing in principle to the 2003 Structure Plan Strategy</p>			

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following the government's localism bill, which announced plans to withdraw the Regional Spatial Strategy. This statement is a necessary step in reaffirming that growth in Cambridgeshire continues to progress.

The Local Development Framework policy of obtaining 40% affordable housing where viable remains despite the abolition of the Regional Spatial Strategy (RSS).

The Department for Transport has pledged to make resources available to lead a study into the current issues relating to the whole A14 corridor. It is hoped that this work will be concluded by mid-2012 in order for any proposed schemes to be considered in the next comprehensive spending review.

Action		Responsibility	Implementation Date
1	Maximise investment in infrastructure and services from alternative sources of Government funding (e.g. Housing Growth Fund).	Cambridgeshire Horizons (lead body)	Ongoing
2	Work with the Highways Agency to continue to progress the key schemes		Ongoing
3	Plan for managing increased congestion on the surrounding network due to the withdrawal of the A14 improvements scheme		Ongoing
<b>Progress with actions</b>			
1	The Homes and Communities Agency is expected to respond to the Cambridgeshire Local Investment Plan proposal bid by July 2011. The bid is in the region of £690m, of which £100m is for County Council projects. The level of available Homes and Communities Agency funding, and whether it will all be used for affordable housing grant, remains uncertain.		
2	The County Council, District Councils and the Highways Agency have produced a brief for the traffic modelling needed to progress individual development sites along the Cambridge to Huntingdon corridor. Key points are to secure funding for the technical work and identify the necessary improvements and other measures that allow developments to continue in this corridor.		
3	A Cambridge Area Transport Strategy (CATS) is currently being drawn up. The intention is for this to be adopted in 2012.		

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Risk Title Infrastructure Funding Shortage		Risk Number	Risk Owner	Risk Score:
<b>Risk Description</b>  <b>Trigger:</b> Insufficient funding is obtained from a variety of sources, including Government growth funds, Section 106 payments and other planning contributions to deliver required infrastructure. This is exacerbated by the recession and increased requests for deferral of developer contributions.  <b>Result:</b> Key infrastructure, services and developments cannot be delivered, with consequent impacts on transport, economic, environmental, and social outcomes. Issues with repayment where investment has already been made.		9	Cabinet Member for Growth and Planning / Acting Executive Director, Environment Services	Probability 4 Impact 4  16
<b>Reason for change in Direction of Travel</b>  No change in the risk score. (Updated April 2011)				
<b>Controls in place</b> Maximisation of securing developer contributions is achieved through County Council input to Section 106 negotiations. A prudential borrowing strategy is in place to fund infrastructure where appropriate. The implementation of the Section 106 deferrals policy optimises the total collected amount of Section 106 by affording flexibility on the timing of payments. Maximisation of securing external funding for infrastructure and services (e.g. from Government grants) primarily through partnership working led by Cambridgeshire Horizons.				
<b>Action</b>		<b>Responsibility</b>		<b>Implementation Date</b>
1	Pursue the 'Single Conversation' with the Homes and Community Agency	Service Director Growth and Infrastructure		2011
2	Jan 2011 - Assist District Councils in investigating and trialling the applicability of the Community Infrastructure Levy.	Service Director Growth and Infrastructure		July 2011
3	Develop strategy and investment priorities for Cambridge City and the surrounding area, taking into account the Government's cancellation of the Transport	Service Director Growth and		2012

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	Innovation Fund.	Infrastructure	
4	Through work on the Local Transport Plan 3, establish a framework for bidding for transport funds.	Service Director Growth and Infrastructure	Completed
5	Investigate the potential for use of Tax Increment Financing (working with Cambridgeshire Horizons).	Service Director Growth and Infrastructure	Ongoing
6	Arrangements to be formalised and implemented for a Greater Cambridge-Greater Peterborough Local Enterprise Partnership	Acting Executive Director, Environment Services	September 2010
<b>Progress with actions</b>			
1	<ul style="list-style-type: none"> <li>April 2011 – The Cambridgeshire Local Investment Plan was approved by the Cambridgeshire Horizons Board 23<sup>rd</sup> March 2011. The bid is in the region of £690m, of which £100m is for County Councils projects (agreed by Cabinet 22<sup>nd</sup> February 2011). The level of available HCA funding and whether it will all be used for affordable housing grant remains uncertain. HCA expected to respond to the bid by July 2011.</li> </ul>		
2	<ul style="list-style-type: none"> <li>Huntingdonshire District Council aim to adopt CIL by July 2011.</li> <li>Jan 2011 - East Cambridgeshire District Council aim to adopt CIL in early 2012. The County Council response to the related draft Obligations Supplementary Planning Document was endorsed by cabinet on 14<sup>th</sup> December 2010.</li> <li>Infrastructure Study for Cambridge and South Cambridgeshire – Baker Associates have been appointed and have commenced work to write a Local Investment Framework. This will feed into the review of the Core Strategies for both of these Districts and is programmed to be completed by July 2011. Baker Associates have been asked to prepare a report on their progress.</li> </ul>		
3	<ul style="list-style-type: none"> <li>A Cambridge Area Transport Strategy (CATS) is currently being drawn up. The intention is for this to be adopted in 2012.</li> </ul>		
4	<ul style="list-style-type: none"> <li>LTP3 is expected to be in place on time, providing an updated framework for bidding for transport funds.</li> </ul>		
5	<ul style="list-style-type: none"> <li>Jan 2011 - Government has confirmed that it is investigating the possibility of implementing TIF, although this is only conceptual at the moment and pilot areas are being sought by Government.</li> <li>The CLG Business Plan sets a date of April 2012 for proposals to implement local retention of business rates and TIF to be developed and introduced – no other dates are yet known.</li> </ul>		
6	<ul style="list-style-type: none"> <li>Jan 2011 - Government approved the bid in the local growth white paper.</li> <li>Consideration is being given to the exact form and function of the LEP.</li> </ul>		

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Risk Title Cambridgeshire Guided Busway	Risk Number	Risk Owner	Risk Score:
<b>Risk Description</b>  <b>Trigger:</b> Settlement of Busway dispute exceeds contingency allowances already made  <b>Result:</b> Financial impacts of additional costs to Council above contingency	10	Cabinet Member for Growth and Planning / Acting Executive Director, Environment Services	Probability 1 Impact 4  4
<b>Reason for change in Direction of Travel</b>  The previous risk of the Contractor not repaying the pain share has been realised. The Project Manager's forecast final assessment of target cost and hence incentive share results in a forecast outturn cost including an allowance for dispute costs, which is within the budget and contingency already made. The risk has therefore been revised to consider the likelihood and potential impact of the dispute not being resolved within the budget and contingency.			
<b>Controls in place</b>  The key areas of contractual dispute have been identified and are being assessed in detail by external contract advisers and by legal representatives.  Formal notice has been given to BAM Nuttall, their parent company and their Guarantors, of legal action to recover the pain share.  BAM Nuttall has also been advised that CCC would welcome mediation as required by the legal pre-action protocol.  Legal advice has been and continues to be taken on the management of the dispute.			



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Action		Responsibility	Implementation Date
1	Continue to take legal advice and ensure sufficient expert resources are in place to defend the Council's position in disputes.	Service Director Growth and Infrastructure	Ongoing
2	Continue to press BAM Nuttall to set out their case and to enter into mediation.	Service Director Growth and Infrastructure	Ongoing
3	Pursue legal processes for recovery of debt.		Ongoing
<b>Progress with actions</b>			
1	<ul style="list-style-type: none"> <li>• A strategy is being developed with legal advisers to manage the anticipated legal action.</li> <li>• Detailed papers are being drawn up on key areas of potential dispute.</li> <li>• Additional resource requirements are in place to meet them.</li> </ul>		
2	<ul style="list-style-type: none"> <li>• Busway Contract Resolution Group is being established to manage the legal and mediation processes and if appropriate to negotiate and recommend settlement to Cabinet, if this represents best value and is in the public interest.</li> </ul>		
3	<ul style="list-style-type: none"> <li>• Notice of legal action has been issued</li> </ul>		

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Risk Title Climate Change Mitigation		Risk Number	Risk Owner	Risk Score:
<b>Risk Description</b>				
<b>Trigger:</b> failure to stabilise and reduce operational greenhouse gas emissions and energy use		11	All Cabinet Members, Cabinet Member for Community Infrastructure / Corporate Director, Customer Service and Transformation	Probability 4 Impact 3  12
<b>Result:</b> additional costs (arising from fuel and electricity consumption, and financial penalties associated with poor performance in the Carbon Reduction Commitment (CRC) Energy Efficiency Scheme, and cost of allowances bought under auction as part of CRC); and reputational damage of not being able to demonstrate community leadership in tackling climate change				
<b>Reason for change in Direction of Travel</b>				
Static (Updated April 2011)				
<b>Controls in place</b>				
<ul style="list-style-type: none"> <li>The Climate Change and Environment Strategy (CCES) and Action Plan consists of 65 areas of action, for completion during the five years to 2013 (note the Action Plan is subject to a comprehensive review in 2010). The County Council's Climate Change Programme brings together areas of work within the strategy and action plan where appropriate senior and cross-authority support and engagement is necessary. The Climate Change Programme has a specific focus on managing carbon emissions from Council operations, and has an associated Carbon Management Plan and carbon reduction targets.</li> <li>Climate Change Programme Board established to direct the delivery of Climate Change objectives and ensure responsibility for appropriate actions are embedded within appropriate services across the County Council.</li> <li>Internal audit has been used to add challenge and ensure the Action Plan is robust, achievable and being effectively implemented</li> </ul>				
<b>Action</b>		<b>Responsibility</b>		<b>Implementation Date</b>
1	Action Plan to be reviewed in 2010	Corporate Director, Customer Service		Closed

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		and Transformation	
2	Climate Change Programme Board to monitor and manage the delivery of the Carbon dioxide reductions from projects and business as usual across the authority and to use this to inform the CRC Energy Efficiency Scheme Trading Strategy	Corporate Director, Customer Service and Transformation	During 2010/11
3	Development of revised Action Plan	Corporate Director, Customer Service and Transformation	March 2011
<b>Progress with actions</b> <Indicate whether actions are complete or give progress update>>			
1	Jan 2011 - COMPLETE. An Internal Audit of the 'Effectiveness of the organisational approach to tackling climate change' was completed in May 2010. Whilst the review has focused on a number of issues relating to the Council's Climate Change and Environment Strategy, many of the recommendations relate to how the organisation is managing its approach to carbon reduction. Good progress has been made in taking forward recommendations from the Audit, and following a full update to Audit & Accounts in December, the Audit Assurance level has been lifted from 'limited' to 'moderate'.		
2	Jan 2011 - Figures show little change between 2008/9 and 2009/10. Though overall targets for 2009/10 have not been met some areas e.g. schools are showing early indication of reductions. Further work is ongoing to better understand the changes. March 2011 – ongoing liaison with service areas to ensure they understand the emissions impacts of service delivery. IPP budget cuts mean that less monitoring and reporting will be possible in future and work is ongoing to establish the minimum requirements and who will be responsible for it. We have also supported DECC proposals that Councils should publish operational CO2 data according to Defra guidelines as they allow greater flexibility, but also expressed concerns about how the information is used to compare against other organisations.		
3	Jan 2011 - Re-development the CCES Action Plan is well underway, with a draft to be considered by the Climate Change Programme Board in February 2011. The Action Plan is being developed according to a framework agreed by the Climate Change Programme Board who has agreed a framework for the review of the CCES Action Plan; the objective is for it to be clearer, more focused and more closely related to carbon reduction objectives. March 2011 – changes to CCC strategic priorities and cuts to EMCC service which is responsible for coordinating it mean that ongoing monitoring of the CCES Action Plan is unlikely to be possible. A revised draft has been developed, but further steer is requested from SMT before finalising this, to ensure the final document reflects changing circumstances and level of priority given to this work within the Council.		

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Risk Title Climate Change Adaptation		Risk Number	Risk Owner	Risk Score:
<b>Risk Description</b>  <b>Trigger:</b> failure to prepare for and adapt to current and future changes in climate  <b>Result:</b> Climate impacts resulting in:- <ul style="list-style-type: none"> <li>• Social risks to vulnerable members of the population (e.g. increased risk of heat stress and mortality during hotter summers)</li> <li>• Economic risks (e.g. increased financial impact of flood damage)</li> <li>• Reputational risks (e.g. increased third party claims and costs associated with deformation and damage to the highways network)</li> <li>• Environmental risks (e.g. loss of local biodiversity and damage to sites)</li> <li>• Increased pressure on frontline service delivery (e.g. increasing number of phone calls and public enquiries to contact centre during extreme weather events)</li> </ul>		12	All Cabinet Members, Cabinet Member for Community Infrastructure / Acting Executive Director, Environment Services	Probability 3 Impact 3  9
<b>Reason for change in Direction of Travel</b>  Static (Updated April 2011)				
<b>Controls in place</b> The Adaptation Planning project is part of the Climate Change Programme and an Adaptation Project Group has been set up to contribute to and oversee delivery of an Adaptation Action Plan and cross authority approach to climate risk management. The Adaptation Planning project incorporates work on National Indicator (NI)188: Planning to Adapt to Climate Change. The Flood Risk Programme, which is managed separately, provides an additional control that focuses specifically on the risks presented to Cambridgeshire as a result of flooding and is working to meet our responsibilities as a Lead Local Flood Authority under the Flood and Water Act 2010, and reporting of NI 189 .				
<b>Action</b>		<b>Responsibility</b>		<b>Implementation Date</b>
1	Formalise project plan to identify and agree actions and milestones to achieve Level 3 of NI 188 by March 2011	Director of Environment and Regulation		Closed

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2	Establish the priority climate-related risks for the Council to form the basis of the adaptation action plan.	Director of Environment and Regulation	Closed
3	Draft the adaptation action plan, establishing ownership and agreeing adaptive responses in priority risk areas.	Director of Environment and Regulation	January 2011
4	Complete adaption Action Plan including approval and sign-off	Director of Environment and Regulation	June 2011
5	Embed climate risk management in all directorates (including incorporating climate-related risks into appropriate level risk registers)	Director of Environment and Regulation	June 2011
6	Establish a means for checking and enforcement of climate risk management for 2012 and/or after e.g. Internal Audit	Director of Environment and Regulation	December 2011
<b>Progress with actions</b> <Indicate whether actions are complete or give progress update>>			
1	Jan 2011 - COMPLETE. A project plan outlining the tasks required to meet Level 3 by March 2011 was drafted and taken to the Adaptation Project Board in October 2010. A formalized project plan was completed in December 2010. Good progress has been made against project milestones and a progress update will be made to the Adaptation Project Board in early February 2011.		
2	Jan 2011 - COMPLETE. A risk moderation workshop was undertaken in November 2010 to allow the Adaptation Project Board to review and approve the priority risks for the Council. A list of 15 Priority risks has now been agreed to form the basis of the Council's Adaptation Action Plan.		
3	Jan 2011 - Development of the Adaptation Action Plan is underway. Meetings have been arranged with Priority Risk owners throughout January and February 2011 to agree and better define the adaptive response to each designated priority risk. The agreed responses will constitute the basis of the Council's Adaptation Action plan. This action is on course for completion by May 2011. <b>March 2011 – Work has continued to draft and agree adaptive responses to the priority risks with designated action owners. A draft version of the action plan was taken to the Adaption Project Board in early March for review. A finalised action plan is on course for completion and will go to the Adaptation Project Board on 06/05/11.</b>		
4	<b>March 2011 – Subject to the progress of Action 3</b>		
5	<b>March 2011 – Climate related risks have been included in the risks registers for Environment Services and discussions are ongoing for their inclusion in CYPS risk register. There was an agreement from the Adaptation Project Board to seek steer from the Corporate Risk Group of the best way to ensure that climate related risks are embedded across the organisation.</b>		

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Risk Title Community Engagement		Risk Number	Risk Owner	Risk Score:
<b>Risk Description</b>  <b>Trigger:</b> Failure to engage with local communities and limited impact of residents on decisions about service delivery  <b>Result:</b> loss of confidence in service delivery and service transformation.		13	Cabinet Member for Community Engagement/ Executive Director Community and Adult Services	Probability 3 Impact 3  9
<b>Reason for change in Direction of Travel</b>  Static				
<b>Controls in place</b>  Community Engagement Strategy and Action Plan Quarterly monitoring of actions against expected outcomes to ensure that they are having the desired effect Appropriate remuneration for participation (including organising transport, childcare, refreshments, expenses) Quarterly reporting of the activities of the neighbourhood management boards/panels Quarterly monitoring of the impact of neighbourhood management activities Adopting Service Level Agreements				
<b>Action</b>		<b>Responsibility</b>		<b>Implementation Date</b>
1	Establish a variety of engagement gateways to allow choice in participation.	Service Director Community Engagement (Fenland)		January 2011
2	Build the capacity of local people to become community champions and advocates to grow the community's capacity.	Service Director Community		On-going

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		Engagement (Fenland)	
3	Support community groups to empower them to share the workload.	Service Director Community Engagement (Fenland)	On-going
4	Go live with ShapeYourPlace.org in Fenland.	Service Director Community Engagement (Fenland)	January 2011
5	Investigate rolling out ShapeYourPlace.org across the County	Service Director Community Engagement (Fenland)	June 2011
<b>Progress with actions</b>			
1	Community Engagement Action Plan is updated quarterly and reported to Community Engagement Programme Board. The Community Engagement Strategy has objectives that relate to increasing opportunities to participate in Council decision-making and shaping services. This is being refreshed in February to take account of further government ambition in this area. Jan 2011 - Volunteers are able to take part in the engagement activities in the ways that best suit them.		
2	See 1 above. CCC and Community Engagement Directorate need to develop an inter-disciplinary approach to neighbourhood management activity in Hunts North. Funding has been provided from CCC mainstream resources to support Parish Planning. Jan 2011 - Volunteers are recruited regularly e.g. ShapeYourPlace.org and the localism pilots.		
3	Work needs to be developed to ensure a robust corporate approach to social market development and this will be part of the refresh of the Community Engagement Strategy. Particular work has started on Social Engineering development and Parish Sector development (Parish Charter, SLA with CPALC). However there is a risk re 'localism', that major budget cuts will limit our ability to act in this area as Voluntary Community Sector groups may lose money or fold. <b>Strategic investment is being reviewed and applied to local development agents e.g. ACRE, CVSIC, CVS, Volunteer Centres, CPALC to build community capacity</b>		
4	ShapeYourPlace.org is live in Wisbech and the surrounding villages. Working with the developers to clone the site for the other 3 market towns. Jan 2011 - The sites for the 3 market towns will go live this spring.		

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5	A seminar in March with good level of interest from participants, explored rolling out the concept across the county. Rollout is one of the localism pilots. Meeting 16 May to determine strategic way forward and decide whether to pursue the rollout: much depends on capacity and funding.



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Risk Title Community Cohesion		Risk Number	Risk Owner	Risk Score:
Risk Description  Trigger: Failure to address issues of community cohesion.  Result: Exclusion of sections of the community, potentially resulting in increased community tensions and public dissatisfaction		14	Cabinet Member for Community Engagement/ Executive Director Community and Adult Services	Probability 3 Impact 3  9
Reason for change in Direction of Travel Static				
Controls in place  Community Cohesion Strategy and Action Plan Service Director has responsibility for community cohesion and represents the Directorate at the highest level within the county				
Action		Responsibility		Implementation Date
1	Develop and implement Community Cohesion Strategies and Action Plans in each District.	Service Director Community Engagement (Fenland)		December 2010
2	Share understanding across Services of Cambridgeshire County Council approach to communities.	Service Director Community Engagement (Fenland)		Closed
Progress with actions				

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1	There has been a varied response to implementing the Strategies. A review is underway
2	The Community Cohesion strategy has been presented to the Community Engagement Programme Board, which is made up of representatives from services (at Director / Head of Service level) and a review is taking place accordingly. Jan 2011 – Service Director: Community Engagement (Fenland) is a member of CLT and is able to share his approaches with senior colleagues who cascade information.

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Risk Title Safeguarding Vulnerable Children and Adults		Risk Number	Risk Owner	Risk Score:
<b>Risk Description</b>				
<b>Trigger:</b> failure to follow the robust arrangements in place designed to prevent harm to adults and children  <b>Result:</b> harm to an adult receiving services from Community and Adult Services or harm to children (including in Domestic Violence situations)		15	Leader of the Council, Cabinet Member for Adult Services, Cabinet Member for Children and Young People's Services/ Chief Executive, Executive Director Children and Young People's Services (CYPS), Executive Director Community and Adult Services (CAS)	Probability 3 Impact 4  12
<b>Reason for change in Direction of Travel</b>				
Static: however, with the restructuring of children's social care, this risk may increase.				
<b>Controls in place</b> Multi-agency Safeguarding Boards which effectively lead and monitor safeguarding processes in place across the council and partners, including the voluntary and community sector, in place for adults and children, for universal and targeted services. Implementation of Safeguarding Procedures, monitored during on-going supervision, and via quality assurance arrangements including case audits. Regular sharing of information with regulating bodies. Skilled and experienced safeguarding leads & their managers. Comprehensive and robust recruitment and training and development policies for staff, including safer employment practices and arrangements for induction and ongoing development. Effective implementation of the Common Assessment Framework to identify children at risk. <b>The new adult safeguarding policy and guidance was launched in March 2011</b> <b>Continuous process of updating practice and procedures, linking to local and national trends, including learning from local and national reviews such as Serious Case Reviews</b>				
<b>Action</b>			<b>Responsibility</b>	<b>Implementation Date</b>
1	Ensure there is appropriate training in place for all staff working in the statutory, voluntary and independent sector, and in the wider community, to enable them to		Executive Director (CYPS) / Executive	Closed (see control)

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	be aware of what abuse is and how to report it.	Director (CAS)	
2	Effective management of safeguarding process by lead safeguarding staff, including regular reviews of all cases, with a revised CYPS Quality Framework introduced by July 2010.	Executive Director (CYPS) / Executive Director (CAS)	Closed
3	Roll out of the Common Assessment Framework to ensure effective identification children.	Executive Director (CYPS)	Closed, bulk of training complete across Cambridgeshire by March 2011
4	Jan 2011 - Continuous process of updating practice and procedures, linking to local and national trends, including learning from local reviews, and serious case reviews of national prominence, e.g. the Pilkington case.	Executive Director (CYPS) / Executive Director (CAS)	Ongoing
5	Jan 2011 - Ensure that Safeguarding is fully addressed in the implementation of Personalisation	Executive Director (CAS)	Closed
<b>Progress with actions</b> <Indicate whether actions are complete or give progress update>>			
1	<p>CYPS: The Local Safeguarding Children Board sets the strategic direction and quality of training and makes it widely available for statutory, voluntary, community and private sectors. CYPS supports and contributes to this via the <b>LSCB working with partners to validate training materials, promote opportunities, contribute to a training pool, with around 450 practitioners and managers attending LSCB training during 2010-11.</b></p> <p>CAS: Training for Cambridge Community Services NHS trust and NHS Cambridgeshire is being developed to meet the needs of a range of Health Staff including District Nurses, GPs etc. A programme of refresher training for Independent Domestic Violence Advocates is in train.</p> <p>Jan 2011 - Audit of adult safeguarding training to commence following the recruitment in January of the Adult Safeguarding Training and Development Manager. Training for general practitioners is being developed in conjunction with NHS Cambridgeshire. Work with the police has commenced to identify their safeguarding training needs. An e learning pack for health staff working in CCS is being devised.</p> <p><b>Training for over 70 GPs taking place in April, the e learning training is being updated and an alert card has been devised. A GP has recently been invited to join the Cambridgeshire Adult Safeguarding Board.</b></p>		
2	CYPS: The quality assurance framework was introduced in June 2010.		

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	<p>CAS: Training for service users is being developed, including working with police to produce a DVD for victims of Hate Crime, Adult Safeguarding Service User and Carer Sub Group has been organised</p> <p>Training for General Practitioners is being developed in conjunction with NHS Cambridgeshire. Work with the Police has commenced to identify their safeguarding training needs. An e learning pack for health staff working in CCS is being devised.</p>
3	<p>CYPS:</p> <p>More than 2000 practitioners have been trained in CAF and revised processes to identify and secure support for children at risk.</p>
4	<p>CAS: The revision of the safeguarding guidance was presented to the Adult Safeguarding Board in September and after further amendments was presented again in December for final sign off.</p> <p>Jan 2011 - The Adult Safeguarding Guidance and Procedures will be launched in March 2011. Adult safeguarding operational manager provides support to the adult safeguarding leads on a quarterly basis and has developed local team meetings to support the safeguarding leads and their team managers.</p>
5	<p>CAS: Process for the identification of safeguarding risks within the personalisation agenda were presented to Adult Support Services MT in July and agreed that it should form part of the CAS Risk Register.</p>

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Risk Title Resourcing Provision for children and adults		Risk Number	Risk Owner	Risk Score:
<b>Risk Description</b>  <b>Trigger:</b> Unanticipated increase in needs of children and adults  <b>Result:</b> the needs of children and adults cannot be met with the resultant adverse impact on strategic objectives		16	Cabinet Member for Children and Young People's Services, Cabinet member for Adult Services/ Executive Director Children and Young People's Services, Executive Director, Community and Adult Services	Probability 3 Impact 3  9
<b>Reason for change in Direction of Travel</b>  No change				
<b>Controls in place</b> 1. Regular audits of assessment processes and the use of trend data to identify children's needs at the earliest stage. 2. Multi-agency panels enable commissioners of services to consider and plan to meet needs jointly and agree funding. 3. Joint Strategic Needs Assessment (JSNA) provides population information, which is used to target services in Adult Social Care 4. Other safeguarding measures in place to identify service users and close liaison between multi agency partners to help manage any unanticipated increase in need				
<b>Action</b>		<b>Responsibility</b>		<b>Implementation Date</b>
1	Fully implement the Placements Strategy to reduce the risk of children becoming	Executive Director		April 2011

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	<p>looked after, reduces the length of time that children are looked after and reduces the risk of children returning to care.</p> <p>Key milestones are:</p> <p>To be advised</p>	Children and Young People's Services	
2	Develop further the Special Educational Needs (SEN) Strategy to enable special schools to meet the needs of children and young people with higher levels of need.	Executive Director Children and Young People's Services	March 2011
3	Develop a cohesive set of services to support children and young people with Social, Emotional and Behavioural Difficulties (SEBD).	Executive Director Children and Young People's Services	October 2011
4	<p>MEAM (Making Every Adult Matter) pilot study to help identify chronically excluded adults who may require services. Other pilot studies are also ongoing, including one at Addenbrookes Hospital to help identify possible service users. (Chronically Excluded Adults are people who currently are not receiving our services, but who may have needs for support. Often they are excluded through their own choices. Or not wanting to receive any help or support from the local authority).</p>	Executive Director Community and Adult Services	August 2011
<b>Progress with actions</b> <Indicate whether actions are complete or give progress update>>			
1	The Placements Strategy – a comprehensive series of projects including the review of fostering and adoption, residential provision, short break services and support to meet the needs of children has been launched. Implementation will be ongoing to 2015 to realise the full benefits.		
2	Work delivered through a project as part of the SEN Programme and work is on track.		
3	Work is delivered through a Challenging and Complex Behaviours review: project in its early stages and expected to run to Sept 2012.		

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Risk Title Pooled Budgets		Risk Number	Risk Owner	Risk Score:
Risk Description		18	Cabinet Member for Adult Services/ Executive Director, Community and Adult Services	Probability 4 Impact 3  12
Trigger: unbudgeted demand pressures in pooled budgets, especially with regards to older people				
Result: social care needs cannot be met within the budget available, adverse effect on relations between partners				
Reason for change in Direction of Travel Static				
Controls in place				
Joint Strategic Needs Assessments (JSNA) Joint commissioning strategies Cambridgeshire Care Partnership (CCP) oversees the 3 Pooled Budgets of Older People (OP), Learning Disability (LD) and Integrated Community Equipment Services (ICES).				
Action		Responsibility		Implementation Date
1	Continue to utilise JSNAs to forecast demand for services.	Service Director Adult Support Services		Ongoing
2	Review Section 75 Agreements (that outlines roles and responsibilities) for Pooled Budgets.	Service Director Adult Support Services		Closed
3	Ensure effective implementation & monitoring of the section 75 agreements in service areas.	Service Director Adult Support Services		Quarterly
4	Ensure robust financial controls are in place and accurate and timely financial data is produced.	Service Director Adult Support Services		Quarterly
Progress with actions				



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1	<p>A Joint Strategic Needs Assessment (JSNA) has been produced for Adults of Working Age with mental health problems, learning disabilities and with sensory or physical impairment. There is also one for Older People. These were completed in Phase 1 of the programme. In the current Phase 4, the Older People and Mental Health JSNA have been refreshed and Children and Young People JSNA revised. . The Draft Phase 4 Summary report was issued to Cabinet / SMT on 1 November.</p> <p><b>The JSNA's are actively used in forecasting demography for use in the Integrated Planning Process (IPP).</b></p>
2	<p>There is 1 for each Pooled Budget. The Learning Disability one is agreed, pending an issue over Section 48 (the NHS contribution). The Older People's one is signed pending the financial risk associated with the sharing of any deficit or surplus between the PCT and CCC. The ICES agreement is signed. The next Cambridgeshire Care Partnership (CCP) meeting in November is reviewing the understanding of Section 75. These agreements will almost certainly need amending as a result of the Government White Paper on Health. Where refreshed Section 75 agreements have not been signed off, existing agreements continue to operate, so there is not a situation where any activity is without a current applicable Section 75 agreement.</p> <p><b>Amendments to Section 75 agreements agreed at 11 January 2011 Cambridgeshire Care Partnership meeting.</b></p>
3	<p>Older Peoples budget may be more difficult to manage as commissioning is by PCT, managed by Cambridgeshire Community Services (CCS) and paid by CCC. Awareness of budget issues is generally later with Older People than with Learning Disability and ICES as CCS prepare budget reports.</p>
4	<p>Service Level Agreement (SLA) with Mental Health Trust on Learning Disability and reports monthly. ICES has a Commissioners meeting with PCT and CCC. On Older People, the current Action Plan is reviewed monthly by PCT, CCS and CCC. Older People is also reported to Cambridgeshire Care Partnership monthly.</p>

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Risk Title IT resilience		Risk Number	Risk Owner	Risk Score:
<b>Draft Risk Description</b>				
<b>Trigger:</b> A failure in availability and/or performance of service-critical IT systems which cannot be rapidly resolved		19	Cabinet Member for Resources and Performance/ Corporate Director of Customer Services and Transformation	Probability 4 Impact 4
<b>Result:</b> Prolonged loss of systems and/or connectivity, leading to inability to deliver services, support vulnerable adults and children, and interact with partners; loss of reputation				16
<b>Reason for change in Direction of Travel</b>				
New risk				
<b>Controls in place</b>				
<ul style="list-style-type: none"> <li>Managed procurement processes in place for CPSN project to mitigate risks. Includes partner participation at project boards</li> <li>Individual service business continuity plans</li> <li>First phase of IT resilience project including the increased alternative power/environment conditions in major machine rooms</li> </ul>				
<b>Action</b>		<b>Responsibility</b>		<b>Implementation Date</b>
1	Develop risk based strategy for investment decisions associated with CPSN	Director of Customer Services and Transformation		Completed
2	Assess viability of further ICT resilience investment	Director of Customer Services and Transformation		Completed
3	Plan and conduct a table-top exercise with a view to identification of further mitigation actions	Director of Customer Services and		March 2012

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		Transformation	
4	Complete Phase 2 of IT resilience programme	Director of Customer Services and Transformation	July 2012
<b>Progress with actions</b> <Indicate whether actions are complete or give progress update>>			
1	April 2011 – Agreement reached via SMT and with schools regarding quality of service provision. Contract now awarded.		
2	April 2011 – Although the original capital provision for IT resilience was cut through the overall reductions in the capital programme, capital savings have been achieved through CPSN which Cabinet has agreed can be used to fund the final phases of the resilience project. Further exploration with NCC may identify other opportunities. Not capital not available until CPSN implementation is under way		
3	May 2011 – date deferred to March 2012 due to lack of resources.		

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<b>Risk Title</b> <b>Non compliance with legislative and regulatory requirements</b>	<b>Risk Number</b>	<b>Risk Owner</b>	<b>Risk Score:</b>
<p><b>Risk Description</b></p> <p><b>Non compliance with legislative and regulatory requirements, e.g. equalities legislation</b></p> <p><b>Triggers</b></p> <ol style="list-style-type: none"> <li>1. Staff unaware of changes to legislative/regulatory requirements</li> <li>2. Lack of staff training</li> <li>3. Lack of management review</li> </ol> <p><b>Results</b></p> <ol style="list-style-type: none"> <li>1. Adverse reports from regulators</li> <li>2. Criminal or civil action against the Council</li> <li>3. Reputational damage</li> </ol>	<p>20</p>	<p>Cabinet Member for Resources and Performance/Chief Executive</p>	<p>Probability 3 Impact 4  Risk score 12</p>
<p><b>Reason for change in Direction of Travel</b></p> <p>New risk</p>			
<p><b>Controls in place</b></p> <ol style="list-style-type: none"> <li>1. LGSS legal team robust and up to date with appropriate legislation.</li> <li>2. Service managers kept abreast of changes in legislation by the Monitoring Officer, Gov departments and professional bodies</li> <li>3. Monitoring Officer role</li> <li>4. Code of Corporate Governance</li> <li>5. Community impact assessments required for key decisions</li> </ol>			

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<b>Action</b>		<b>Responsibility</b>	<b>Implementation Date</b>
1	Approach to undertaking robust consultation and completing community impact assessments agreed by SMT. Briefing held for Corporate Leadership Team and now being disseminated across the County Council to raise awareness	LGSS Director of Legal Services	1 <sup>st</sup> September 2011
2	Report templates to be updated to ensure that responsibilities under Equalities Act 2010 are identified and represented properly in Council decision making.	Head of Democratic and Member Services	1st September 2011
<b>Progress with actions</b> <Indicate whether actions are complete or give progress update>>			
1			
2			
3			

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<b>Risk Title</b> <b>Business Disruption</b>	<b>Risk Number</b>	<b>Risk Owner</b>	<b>Risk Score:</b>
<p><b>Risk Description</b></p> <p>The ability of the Council to meet its objectives is adversely affected by business disruption</p> <p><b>Trigger</b>  Business disruption could arise from a wide range of different events. Events such as adverse weather, widespread and prolonged loss of utility services or industrial action would reduce staff availability directly or indirectly; pandemic influenza would both reduce staff availability and, in some areas, simultaneously increase service demand.</p> <p><b>Result</b></p> <p>The result would vary, depending on the nature of the trigger. Examples include:</p> <ul style="list-style-type: none"> <li>• Inability to deliver consistent and continuous services to vulnerable people, whether directly or through third parties, leading to increased risk</li> <li>• School closures at critical times e.g. during examination periods, impacting students' ability to achieve</li> <li>• Inability to fully meet legislative and statutory requirements</li> <li>• Increase in service demand (e.g. in pandemic)</li> </ul> <p>Inability to deliver normal service levels in responding to citizens' request for services or information</p>	<p>21</p>	<p>Cabinet Member for Resources and Performance/  Head of Registration &amp; Coroner Services</p>	<p>Probability 4  Impact 3    Risk score 12</p>
<p><b>Reason for change in Direction of Travel</b></p> <p>New risk</p>			
<p><b>Controls in place</b></p>			

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1. Business continuity plans			
2. Relationships with the Unions			
3. Corporate communication channels			
4. Multi-agency collaboration through the Cambridgeshire & Peterborough Local Resilience Forum (CPLRF)			
Action		Responsibility	Implementation Date
1	Develop agreement for emergency planning cooperation between district and county councils, including actions to build community resilience	Head of Emergency Planning	September 2011
2	Increase availability of information and customer transactions on-line	Head of Service Transformation	March 2012
3	Seek further cooperative actions through CPLRF	Head of Registration & Coroner Services	March 2012
<b>Progress with actions</b> <Indicate whether actions are complete or give progress update>>			
1			
2			
3			

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**Risk Definition Tables**

**Probability**

<b>Description</b>	<b>Descriptor</b>	<b>Scale</b>
May only occur in exceptional circumstances, highly unlikely	Very Low	1
Is unlikely to occur in normal circumstances, but could occur at some time	Low	2
Likely to occur in some circumstances or at some time	Moderate	3
Is likely to occur at some time in normal circumstances	High	4
Is highly likely to occur at some time in normal circumstances	Very High	5

**Impact**

<b>Description</b>	<b>Descriptor</b>	<b>Scale</b>
Insignificant disruption to internal business or corporate objectives Little or no loss of front line service No environmental impact No reputational impact Low financial loss <£100k	Negligible	1
Minor disruption to internal business or corporate objectives Minor disruption to front line service Minor environmental impact Minor reputational impact Moderate financial loss >£100k <£500k	Marginal	2



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<b>Description</b>	<b>Descriptor</b>	<b>Scale</b>
Noticeable disruption to internal business and corporate objectives Moderate direct effect on front line services Moderate damage to environment Extensive reputational impact due to press coverage Regulatory criticism High financial impact >£500k < £1m	Significant	3
Major disruption to corporate objectives or front line services High reputational impact – national press and TV coverage Major detriment to environment Minor regulatory enforcement Major financial impact >£1m <£2.5m	Critical	4
Critical long term disruption to corporate objectives and front line services Critical reputational impact Regulatory intervention by Central Govt. Significant damage to environment Huge financial impact >£2.5m	Catastrophic	5