

**Cambridgeshire County Council Summary Corporate Risk Register Summary
February 2012**

Appendix 1

| Risk Number | Risk Title | Risk Description | Probability | Impact | Overall Risk Score | Direction of travel | Risk Owner | |
|-------------|------------------------------|---|-------------|--------|--------------------|---------------------|--------------------------|--|
| | | | | | | | SMT Member | Portfolio Holder |
| 1 | IPP Formulation and Delivery | <p>Triggers:</p> <ol style="list-style-type: none"> 1. Failure to have clear political direction, priorities, vision and values. Organisation not sufficiently aligned to face challenges. 2. Assumptions in Integrated Plan regarding the wider economic situation are inaccurate. 3. Failure to plan effectively (with partners) in order to deliver against approved Integrated Plan in terms of efficiency savings or transformation <p>Result: 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</p> | 2 | 4 | 8 | ↓ | Chief Executive | Leader |
| 2 | Shared Services programme | <p>Triggers:</p> <ol style="list-style-type: none"> 1. Failure to deliver proposed transformation and efficiency particularly in respect of reduced IT costs, transactional efficiencies, reduced management costs and procurement and other benefits. 2. Failure to adapt to likely significant changes in the way the authority manages and delivers its services. 3. Failure to sign up additional customers to LGSS and delivery of the LGSS savings dependent on this. 4. Failure to manage LGSS service delivery to CCC <p>Result: Failure of the Local Government Shared Service (LGSS) programme and adverse impact on support service delivery and budget position</p> | 3 | 3 | 9 | ↔ | LGSS Director of Finance | Cabinet Member Resources and Performance |

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| 3 | Workforce reductions, recruitment and retention | <p>Trigger: Failure to manage planned workforce reductions in a timely and appropriate manner</p> <p>Result: Budget overspend and adverse impact on:</p> <ul style="list-style-type: none"> • service delivery • employee relations • employee engagement • trust in employer • morale and reputation <p>leading to increased voluntary turnover, increased absence levels, and reduced ability to recruit and retain high quality employees, industrial action</p> | 3 | 3 | 9 | ↔ | Director of Human Resources and Organisational Development | Cabinet Member Resources and Performance |
| 4 | Procurement and contract management | <p>Trigger: Insufficiently strong and consistent procurement and contract management arrangements</p> <p>Result: Poor value for money, legal challenge, and wasted time and effort in contractual disputes</p> | 2 | 2 | 4 | ↓ | Director of Finance | Cabinet Member Resources and Performance |

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| 5 | Failure of Partnership working | <p>Triggers:</p> <ul style="list-style-type: none"> 1. Governance arrangements to support statutory partnership arrangements (including LEP, Health & Wellbeing Board, Police and Crime Panel) are ineffective 2. Disagreement between partners over prioritisation/incompatibility of local priorities, failure to reach (consensus) decisions, 3. Lack of resources - financial, people 4. Failure to adhere to statutory or legislative requirements <p>Result: Reduced ability for partners to work together effectively and efficiently, and target limited resources to achieve shared outcomes</p> | 3 | 3 | 9 | ↔ | Chief Executive | Leader |
| 8 | Housing growth | <p>Trigger: 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>Result: 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> | 3 | 4 | 12 | ↓ | Executive Director, Economy, Transport and Environment Services | Cabinet Member for Growth and Planning |

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| 9 | Infrastructure funding shortage | <p>Trigger: Insufficient funding obtained from a variety of sources, including Government funds, Section 106 payments and other planning contributions, e.g. Community Infrastructure Levy (CIL). Exacerbated by the recession and increased requests for deferral of developer payments.</p> <p>Result: 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> | 3 | 4 | 12 | ↓ | Executive Director, Economy, Transport and Environment Services | Cabinet Member for Growth and Planning |
| 10 | Cambridgeshire Guided Busway | <p>Trigger: Settlement of Busway disputes exceeds contingency allowances already made</p> <p>Result: Financial impacts of additional costs to Council above contingency</p> | 1 | 4 | 4 | ↔ | Executive Director, Economy, Transport and Environment Services | Cabinet Member for Growth and Planning |
| 13 | Localism and community engagement | <p>Trigger: Failure to engage with local communities and limited impact of residents on decisions about service delivery</p> <p>Result: Loss of confidence in service delivery and service transformation</p> | 3 | 3 | 9 | ↔ | Executive Director Community and Adult Services | Cabinet Member for Community Engagement |
| 14 | Community cohesion | <p>Trigger: Failure to address issues of community cohesion</p> <p>Result: Exclusion of sections of the community, potentially resulting in increased community tensions</p> | 3 | 3 | 9 | ↔ | Executive Director Community and Adult Services | Cabinet Member for Community Engagement |

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| | | and public dissatisfaction | | | | | | |
| 15 | Safeguarding vulnerable children and adults | <p>Trigger: Failure to follow the robust arrangements in place designed to prevent harm to adults and children</p> <p>Result: Harm to a child (including in Domestic Violence situations) or an adult receiving services from the Council</p> | 3 | 4 | 12 | ↔ | Chief Executive, Executive Directors Children's and Young People's Services / 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>Trigger: Unanticipated Increase in needs of children and adults</p> <p>Result: The needs of children and adults cannot be met with the resultant adverse impact on strategic objectives</p> | 4 | 3 | 12 | ↔ | 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>Trigger: Unbudgeted demand pressures in pooled budgets, especially with regards to older people</p> <p>Result: 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>Trigger: A failure in availability and/or performance of service-critical IT systems which cannot be rapidly resolved</p> <p>Result: 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> | 3 | 4 | 12 | ↔ | LGSS Director of Operations | Cabinet Member for Resources and Performance |
| 20 | Non compliance with legislative and regulatory requirements | <p>Triggers:</p> <ol style="list-style-type: none"> 1. Staff unaware of changes to legislative/regulatory requirements 2. Lack of staff training 3. Lack of management review <p>Results:</p> <ol style="list-style-type: none"> 1. Adverse reports from regulators 2. Criminal or civil action against the Council 3. Reputational damage | 2 | 4 | 8 | ↔ | Chief Executive | Cabinet Member for Resources and Performance |

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| 21 | Business Disruption | <p>Triggers: 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>Results: The result would vary, depending on the nature of the trigger. Examples include:</p> <ul style="list-style-type: none"> • Inability to deliver consistent and continuous services to vulnerable people, whether directly or through third parties, leading to increased risk • School closures at critical times e.g. during examination periods, impacting students' ability to achieve • Inability to fully meet legislative and statutory requirements • Increase in service demand (e.g. in pandemic) • Inability to deliver normal service levels in responding to citizens' request for services or information | 4 | 3 | 12 | ↔ | Corporate Director Customer Service & Transformation | Cabinet Member for Health & Wellbeing |

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| 22 | Cambridgeshire Future transport | <p>Triggers:</p> <p>1. The programme fails to identify and generate sufficient efficiency savings</p> <p>2. CCC is committed in principle to pooling budgets however uncertainty over project benefits may delay agreement from partners</p> <p>Results: Inability to overcome funding constraints and meet accessibility requirements of Cambridgeshire residents</p> | 3 | 3 | 9 | ↔ | Director of Strategy and Development | Cabinet Member for Growth and Planning |
| 23 | Major fraud or corruption | <p>Trigger 1: Non compliance with the internal control framework and lack of awareness of anti-fraud and corruption processes.</p> <p>Trigger 2: Increased personal financial pressures on individuals as a result of the current economic climate</p> <p>Result: The Council encounters reputational damage and financial loss.</p> | 3 | 3 | 9 | New risk | LGSS Director of Finance | |

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| 24 | Information Management | <p>Trigger: Failure to equip staff and managers with the training, skills, systems and tools to enable them to meet the statutory standards for information management; failure to act appropriately when handling information held in any form to ensure it is secure, safeguarded and actively managed. Failure of systems and processes to support and ensure a coherent approach to information management (policy, responsibilities, procedures, tools and training) and information sharing.</p> <p>Result: Adverse impact on Council's reputation. Adverse impact on service delivery, as unable to make informed decisions Reputation undermined Financial penalties Increase in complaints and enquires by the Information Commissioner's Office (ICO)</p> | 3 | 3 | 9 | New risk | Corporate Director Customer Service & Transformation | |

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Risk Probability

| Description | Descriptor | Scale |
|--|-------------------|--------------|
| 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 |

Risk Impact

| Description | Descriptor | Scale |
|---|-------------------|--------------|
| 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 |
| 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 |