

Risk		01. Vulnerable children or adults are harmed															
Likelihood	5																
	4																
	3																
	2																
	1																
		1	2	3	4	5											
	Consequence																
Risk Owners						Wendi Ogle-Welbourn		Current Score		15		Last Review					
								Target Score				Next Review					
								Previous Score		15							
Triggers						Likelihood Factors (Vulnerability)						Potential Consequences					
1. Council's arrangements for safeguarding vulnerable children and adults fail and someone dies or is seriously harmed						1. Funding cuts 2. Capacity 3. Increased reliance on third party providers 4. Increased expectations on local government						1. Child or vulnerable adult is killed or seriously harmed 2. People lose trust in Council services 3. Council is judged to have failed in statutory duties					
2. A serious case review is commissioned because a child or a vulnerable adult dies or is seriously harmed and abuse or neglect is thought to be involved																	
3. Risk related to the providers we commission for adults whose actions or practice could present a risk to the adults they support																	

05. Whistleblowing policy, robust Local Authority Designated Officer arrangements, complaints process, all of which inform practice	Good	
06. Robust process of internal Quality Assurance, including case auditing and monitoring of performance	Good	Regular auditing and reporting
07. Multi-Agency Safeguarding Hub (MASH) supports timely, effective decision making between partners	Good	
08. Regular monitoring of social care providers	Good	Regular auditing and reporting
09. Ensure that there is a quality assurance and improvement process in place	Good	Regular auditing and reporting
10. Ensure there is a clear process across partner organisations to share concerns or early warnings that a provider may be having difficulties	Good	Effective and safe implementation
11. Continue to work with the CQC to share information	Good	Regular reporting
12. This information to inform the contract monitoring and quality improvement process	Good	

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		02. The Business Plan (including budget and services) is not delivered									
Likelihood	5						Risk Owners Chris Malyon	Current Score Target Score Previous Score	20 20	Last Review Next Review	
	4					X					
	3										
	2							Triggers 1. The Council spends more resources than it has by the end of the year and does not have sufficient reserves to cover a minor deviation 2. Services are not delivered at the quantity or to the quality required as per the plan	Likelihood Factors (Vulnerability) 1. Current forecast is for £5m overspend 2. Demand pressures 3. Population continues to grow 4. Local government financial environment extremely challenging with S114 notices issued by local county council	Potential Consequences 1. Reactive in-year savings or in worst-case, Government intervention 2. The Council does not deliver its statutory responsibilities, leading to judicial review 3. People do not receive the services to which they are entitled or require, and may be harmed as a result 4. Reputational damage	
	1										
		1	2	3	4	5					
	Consequence										

Controls	Adequacy	Critical Success
01. Robust Business Planning process	Good	Continued support from SMT to act collectively to develop budget proposals which meet the financial challenge
02. Robust service planning, priorities cascaded through management teams and through appraisal process	Good	Staff have clarity of what is expected of them and deliver services within the available budget
03. Integrated resources and performance reporting (accountable monthly to GPC), tracking budget, savings, activity and performance	Good	Saving proposals delivered
04. Operational division Finance and Performance Reports (accountable monthly to Service Committees), tracking budget, savings, activity and performance	Good	Saving proposals delivered

Action Plans	Responsibility	Target Date
1. Integrated Resources and Performance Report See information in monthly Integrated Resources and Performance Report about remedial action required to correct over- or underspends, or below target performance	DCEX	31/03/2020
2. Finance and Performance Reports Detail is available in the monthly Finance and Performance Reports (which are accessible via hyperlinks in IRPR)	DCEX	31/03/2020

05. Scheme of Financial Management, including Budget Control Report for the Council as a whole and operational divisions	Good	Clear budget process, effective engagement with it and compliance
06. Procurement processes and controls ensure that best value is achieved through procurement	Good	
07. Regular meetings between Finance and budget holders at all levels of the organisation to track exceptions and identify remedial actions	Good	Meeting of financial targets and deadlines. Political engagement and approval
08. Rigorous treasury management system plus tracking of national and international economic factors and Government policy	Good	
09. Rigorous risk management discipline embedded in services and projects	Good	
10. Limited reserves for minor deviations	Good	

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		03. Personal data is inappropriately accessed or shared										
Likelihood	5						Risk Owners	Sue Grace	Current Score	9	Last Review	
	4								Target Score		Next Review	
	3			X					Previous Score	9		
	2						Triggers	Likelihood Factors (Vulnerability)			Potential Consequences	
	1						1. Criminal access to data (e.g. cyber-attack, break-in) 2. Accidental data breach (e.g. email sent to wrong recipient)	1. Recent cyber attacks affecting public sector			1. Harm for individuals 2. Loss of trust in the Council 3. Penalties from regulator including fines	
		1	2	3	4	5						
	Consequence											

Controls	Adequacy	Critical Success
1. Mandatory information security training for all staff	Reasonable	
2. Further training available and encouraged	Good	
3. Regular communications to all staff and in key locations (e.g. printers)	Good	
4. Strategic Information Management Board, including Senior Information Risk Owner (member of SMT) and Caldicott Guardian, oversee all information governance activity	Good	Regular reporting
5. Comprehensive Information Management Policy Framework	Good	
6. Procedure for notifying, handling and managing data breaches	Good	

Action Plans	Responsibility	Target Date
1. Reviewing IT systems with suppliers Completed an initial review however they are following this on with a more detail evaluation and action plan, so the initial work has been completed. However there is a follow on action which will be completed May/June 2019.	DPO	30/06/2019
4. Reviewing key contracts with suppliers First lot of contract reviews have been completed, chasing responses happening during Feb and March. This will be completed by end of March.	DPO	31/03/2019

7. Data breaches and performance indicators reported to Information Management Board and SMT	Good	Regular reporting
8. IT security – data encryption, hardware firewalls, network traffic monitoring, inbound mail monitoring, spam filters, web content filtering, anti-virus software	Good	

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		04. A serious incident occurs, preventing services from operating and / or requiring a major incident response										
Likelihood	5						Risk Owners	Sue Grace	Current Score	12	Last Review	
	4								Target Score		Next Review	
	3				X		Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
	2						1. Loss of large quantity of staff or key staff		1. Status of Scott House IT Disaster Recovery		1. Inability to deliver services to vulnerable people, resulting in harm to them	
	1						2. Loss of premises (including temporary denial of access)		2. Data Centre at One Angel Square, Northampton		2. Inability to meet legislative and statutory requirements	
							3. Loss of IT, equipment or data		3. Ongoing risk of environment hazards such as flooding and severe weather		3. Increase in service demand	
							4. Loss of a supplier		4. Decreasing resilience in CCC services due to ongoing financial constraints and cost reduction programmes		4. Reputational damage	
						5. Loss of utilities or fuel						
						6. Pandemic						

Controls	Adequacy	Critical Success
1. Corporate and service business continuity plans	Reasonable	Up to date business continuity plans available across the Council
2. Relationships with trade unions including agreed exemptions	Good	
3. Corporate communication channels in case of emergency	Good	Responsive media strategy
4. Multi-agency collaboration through the Cambridgeshire & Peterborough Local Resilience Forum	Good	
5. IT disaster recovery arrangements	Reasonable	Up to date IT disaster recovery plans in place

Action Plans	Responsibility	Target Date
2. Fire Safety Review of Fire Safety procedures. This is complete. They are now rolling out the implementation over a period of time including staff training.	DCEX	30/09/2019
3. Audit all Corporate buildings to ensure compliance with the Equality Act 2010	DCEX	31/12/2020

6. Resilient Internet feed	Good	
7. Business continuity testing	Good	Regular testing undertaken
8. Corporate Emergency Plan	Good	

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		05. The Council does not deliver its statutory or legislative obligations									
Likelihood	5										
	4										
	3										
	2										
	1										
		1	2	3	4	5					
Consequence											
Risk Owners							Fiona McMillan		Current Score		8
									Target Score		
									Previous Score		8
Triggers							Likelihood Factors (Vulnerability)			Potential Consequences	
1. Major business disruption 2. Lack of management oversight 3. Negative inspection judgement 4. Poor financial management							1. Current local financial pressures 2. Ongoing national reduction in public sector funding			1. Harm to people as a result of them not getting services they need or are entitled to 2. Criminal or civil action against the Council 3. Negative impact on Council's reputation	

Controls	Adequacy	Critical Success
1. Monitoring Officer role	Good	
2. Code of Corporate Governance	Good	
3. Community impact assessments required for key decisions	Good	
4. Business Planning process used to identify and address changes to legislative/regulatory requirements	Good	
5. Projects and training to ensure the implementation of legislative changes (e.g. Care Act)	Good	
6. Constitutional delegation to Committees and SMT	Good	
7. Health and safety policies and processes	Good	
8. Preparation and improvement undertaken for inspections by regulators (e.g. Ofsted)	Good	

Action Plans	Responsibility	Target Date
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9.Service managers kept up to date with changes by Monitoring Officer / LGSS Law, Government departments, professional bodies, involvement in regional and national networks	Good	
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Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		06. Our resources (human resources and business systems, CCC and providers) are not sufficient to meet business need										
Likelihood	5						Risk Owners	Gillian Beasley	Current Score	16	Last Review	
	4				X				Target Score		Next Review	
	3								Previous Score	16		
	2						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
	1						1. The Council is unable to recruit staff with the right skills and experience 2. Providers / partners are unable to recruit staff with the right skills and experience 3. Key business systems are unavailable or insufficient 4. LGSS services not sufficient in quantity or quality		1. Cost of living in some areas of Cambridgeshire is particularly high 2. Key business system developments underway (Agresso / Mosaic) 3. National political discussions around immigration and rights to work in UK impact on recruitment in care services 4. Issues with ERP Gold		1. Failure to deliver effective services 2. Regulatory criticism / sanctions 3. Civil or criminal action 4. Reputational damage to the Council 5. Low morale, increased sickness levels	
		1	2	3	4	5						
Consequence												

8. Cross-directorate Social Care Strategic Recruitment and Workforce Development Board and Social Work Recruitment and Retention Task and Finish Group proactively address issue of social care recruitment and retention	Good	
9. IT resilience arrangements	Good	

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		07. The infrastructure and services (e.g. transport, education, services for children, families and adults) required to meet the current and future needs of a population is not provided at the right time										
Likelihood	5						Risk Owners	Graham Hughes	Current Score	12	Last Review	
	4								Target Score		Next Review	
	3				X				Previous Score	12		
	2						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
	1						1. Insufficient funding to meet needs received from •Growth funds •Section 106 •Community infrastructure levy •School infrastructure funding		1. Significant infrastructure funding available from Greater Cambridge Partnership, and Combined Authority 2. Willingness of stakeholders to embrace development 3. Changes in grant funding		1. Impacts on transport, economic, environmental and social outcomes 2. Greater borrowing requirement to deliver infrastructure which is unsustainable financially 3. Increased pressure on already stretched maintenance budgets	
		1	2	3	4	5	2. Partnerships do not deliver new infrastructure / services to meet needs of population 3. Infrastructure undermined due to inability to adequately maintain					
		Consequence										

7. Annual school capacity return to Department for Education seeks to ensure maximum levels of funding for basic need	Good	
8. Maintain dialogue with Cambridge City Council and South Cambridgeshire District Council to input into Community Infrastructure Level prior to the adoption of the Local Plan (anticipated 2017)	Good	
9. Maximise annual maintenance block funding from Central Government, maintaining band 3 of the incentive fund.	Good	

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		08. The Council is a victim of major fraud or corruption										
Likelihood	5						Risk Owners	Giilian Beasley	Current Score	6	Last Review	
	4								Target Score		Next Review	
	3								Previous Score	6		
	2			X			Triggers	Likelihood Factors (Vulnerability)	Potential Consequences			
	1						1. The Council loses money through fraudulent action or corrupt activity		1. Financial loss			
		1	2	3	4	5	2. Partners lose money		2. Reputational damage			
							3. Council is unable to deliver its obligations		3. Regulator sanctions			
Consequence												

Controls	Adequacy	Critical Success
1. Financial Procedure rules	Good	
2. Anti Fraud and Corruption Strategy incl Fraud Response Plan	Good	
3. Whistle blowing policy	Good	
4. Codes of conduct	Good	
5. Internal control framework	Good	
6. Fraud detection work undertaken by Internal Audit, Counter Fraud Team in LGSS	Good	
7. Awareness campaigns	Good	
8. Anti Money Laundering policy	Good	
9. Publication of spend data	Good	

Action Plans	Responsibility	Target Date
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Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		09. Inequalities in the county continue									
Likelihood	5						Risk Owners Gillian Beasley	Current Score Target Score Previous Score	12	Last Review Next Review	
	4										
	3										
	2							Triggers 1. Health, economic, educational and other inequalities increase in Cambridgeshire 2. Failure across Council services and partnerships to target or promote services to disadvantaged or vulnerable populations, or in areas of deprivation, appropriately for local need	Likelihood Factors (Vulnerability)	Potential Consequences 1. People living in deprived areas in the county do not have the same life chances as people living in non-deprived areas, in terms of health, educational achievement, income and other areas 2. People from minority groups living in the county do not have the same life chances as people living in non-deprived areas, in terms of health, educational achievement, income and other areas	
	1										
		1	2	3	4	5					
	Consequence										

Controls	Adequacy	Critical Success
1. Council's business plan and community impact assessments for change to service	Good	
10. Cambridgeshire Older People Strategy	Good	
2. Committee monitoring of indicators for outcomes in areas of deprivation	Good	
3. Joint Strategic Needs Assessment, Annual Public Health Report, and Joint Health and Wellbeing Strategy	Good	
4. Health Committee Priority on health inequalities, targetting of Public Health programmes	Good	
5. Child Poverty Strategy	Good	
6. Targetted services e.g: Travellers Liaison, Traveller Health Team, Chronically Excluded Adults Team, etc.	Good	

Action Plans	Responsibility	Target Date
1. Joint Health and Wellbeing Strategy 1. Implementation of health inequalities aspects of Joint Health and Wellbeing Strategy	DoPH	31/03/2019
2. Accelerating Achievement action plan to support children in disadvantaged groups	DoL	31/03/2018
3. Opportunity Area programme to support children from disadvantaged groups in East Cambs and Fenland	EDP&C	30/09/2020

7. Buy with confidence approved trader scheme.	Good	
8. Wisbech 20:20 programme	Good	
9. Cambridgeshire 0-19 Education Organisation Plan	Good	

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		10. Change and transformation of services is not successful										
Likelihood	5						Risk Owners	Amanda Askham	Current Score	9	Last Review	
	4								Target Score		Next Review	
	3			X					Previous Score	9		
	2						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
	1						1. Services do not change to meet current demands 2. Projects and programmes stall or do not make sufficient impact		End of September project status = 14 Green, 4 Amber (need to re-phase savings), 3 Red (risk on non-delivery of savings and benefits)		1. Statutory obligations not delivered 2. The Council does not work in a transformed way 3. Over-spend on budget	
		1	2	3	4	5						
	Consequence											

Controls	Adequacy	Critical Success
1. Transformation Team established to support change in services	Good	
2. Transformation Fund to ensure access to resources	Good	
3. Communications with staff about innovation and opportunities for development	Good	
4. GPC monitor transformation programme monthly as part of Integrated Resources and Performance Report	Good	
5. Project and programme governance established to oversee delivery	Good	
6. Rigorous risk management embedded in project and programme governance	Good	
7. Members involved in transformation	Good	

Action Plans	Responsibility	Target Date
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Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		11. Impact of the Brexit Risk Assessment													
Likelihood	5						Risk Owners Adrian Chapman	Current Score Target Score Previous Score	12	Last Review Next Review					
	4			X											
	3														
	2														
	1														
		1	2	3	4	5									
Consequence						Triggers 1. This depends on the outcome of Brexit	Likelihood Factors (Vulnerability)			Potential Consequences					

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