Cambridgeshire County Council

Risk	01. Vulnerable children or adults are harmed

	Risk Owners	Wendi Ogle-Welbourn	Current Score	15	Last Review	01/07/2017
			Target Score		Next Review	30/09/2017
			Previous Score			

Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
1. Council's arrangements for safeguarding vulnerable children and adults fail and someone dies or is seriously harmed 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		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

Likelihood / Consequence matrix (X at Likelihood 3, Consequence 5)

Controls	Adequacy		Action Plans	Responsibility	Target Date
1. Multi-agency Safeguarding Boards provides oversight and review of safeguarding activity across agencies	Good				
2. Comprehensive and robust safeguarding training, development opportunities, and supervisions for staff to instil and monitor safeguarding practice	Good				
3. Audits, reviews and training provided to school staff, governors and settings. All schools must have child protection training every 3 years.	Good				
4. Continuous process of updating practice and procedures according to latest developments in practice and responding to national and local issues	Good				

5.Whistleblowing policy, robust Local Authority Designated Officer arrangements, complaints process, all of which inform practice	Good
6. Robust process of internal Quality Assurance, including case auditing and monitoring of performance	Good
7.Multi-Agency Safeguarding Hub (MASH) supports timely, effective decision making between partners	Good
8. Regular monitoring of social care providers	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 (vertical axis: 5, 4, 3, 2, 1) / Consequence (horizontal axis: 1, 2, 3, 4, 5). X marked at Likelihood 4, Consequence 3.

Risk Owners	Chris Malyon	Current Score	12	Last Review	01/07/2017
		Target Score		Next Review	30/09/2017
		Previous Score			

Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
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	Current forecast is for £2m overspend Risk in previous register focused on waste savings Risk in previous register focused on pension fund being under-funded	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

Controls	Adequacy	
1. Robust Business Planning process	Good	
10.Limited reserves for minor deviations	Good	
2.Robust service planning, priorities cascaded through management teams and through appraisal process	Good	
3.Integrated resources and performance reporting (accountable monthly to GPC), tracking budget, savings, activity and performance	Good	
4.Operational division Finance and Performance Reports (accountable monthly to Service Committees), tracking budget, savings, activity and performance	Good	

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	31/03/2018
2. Finance and Performance Reports Detail is available in the monthly Finance and Performance Reports (which are accessible via hyperlinks in IRPR)	DCEX	31/03/2018

5.Scheme of Financial Management, including Budget Control Report for the Council as a whole and operational divisions	Good
6.Procurement processes and controls ensure that best value is achieved through procurement	Good
7.Regular meetings between Finance and budget holders at all levels of the organisation to track exceptions and identify remedial actions	Good
8.Rigorous treasury management system plus tracking of national and international economic factors and Government policy	Good
9.Rigorous risk management discipline embedded in services and projects	Good

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk	03. Personal data is inappropriately accessed or shared				

Likelihood / Consequence risk matrix with X marked at Likelihood 3, Consequence 3.

Risk Owners	Sue Grace	Current Score	9	Last Review	01/07/2017
		Target Score		Next Review	30/09/2017
		Previous Score			

Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
1. Criminal access to data (e.g. cyber-attack, break-in) 2. Accidental data breach (e.g. email sent to wrong recipient)		1. Harm for individuals 2. Loss of trust in the Council 3. Penalties from regulator

Controls	Adequacy
1. Mandatory information security training for all staff	Good
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
5. Comprehensive Information Management Policy Framework	Good
6. Procedure for notifying, handling and managing data breaches	Good

Action Plans	Responsibility	Target Date
1. Complete actions from Internal Audit of Information Governance, including introducing an audit regime examining information management practice across the Council	HoBI	31/03/2018
2. Implement actions to comply with General Data Protection Regulations.	HoBI	31/05/2018

7. Data breaches and performance indicators reported to Information Management Board and SMT	Good
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 prevents services from operating					

Likelihood / Consequence matrix (X marked at Likelihood 3, Consequence 4)

	Risk Owners	Sue Grace	Current Score	12	Last Review	01/07/2017
			Target Score		Next Review	30/09/2017
			Previous Score			

Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
1. Loss of large quantity of staff or key staff 2. Loss of premises (including temporary denial of access) 3. Loss of IT, equipment or data 4. Loss of a supplier 5. Loss of utilities or fuel 6. Pandemic		1. Inability to deliver services to vulnerable people, resulting in harm to them 2. Inability to meet legislative and statutory requirements 3. Increase in service demand 4. Reputational damage

Controls	Adequacy
1. Corporate and service business continuity plans	Good
2. Relationships with trade unions including agreed exemptions	Good
3. Corporate communication channels in case of emergency	Good
4. Multi-agency collaboration through the Cambridgeshire & Peterborough Local Resilience Forum	Good
5. IT disaster recovery arrangements	Good

Action Plans	Responsibility	Target Date
1. Accommodation provision Review of accommodation provision in business continuity plans	EPM	30/06/2017

6. Resilient Internet feed	Good
7. Business continuity testing	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					

Risk Owners	Quentin Baker	**Current Score**	8	**Last Review**	01/07/2017
		Target Score		**Next Review**	30/09/2017
		Previous Score			

Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
1. Major business disruption 2. Lack of management oversight 3. Negative inspection judgement 4. Poor financial management		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

Likelihood / Consequence matrix with X plotted at Consequence 4, Likelihood 2.

Controls	Adequacy	
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	

Action Plans	Responsibility	Target Date

8. Preparation and improvement undertaken for inspections by regulators (e.g. Ofsted)	Good
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

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

Risk Owners	Gillian Beasley		**Current Score**	12		**Last Review**	01/07/2017
			Target Score			**Next Review**	30/09/2017
			Previous Score				

Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
1. LGSS services not sufficient in quantity or quality 2. Key business systems are unavailable or insufficient 3. The Council is unable to recruit staff with the right skills and experience 4. Providers / partners are unable to recruit staff with the right skills and experience	Cost of living in some areas of Cambridgeshire is particularly high Key business system developments underway (Agresso / Mosaic)	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

Likelihood / Consequence matrix — marker X at Likelihood 3, Consequence 4.

Controls	Adequacy		Action Plans	Responsibility	Target Date
1.LGSS Joint Committee structure including CCC councillor representation, LGSS Overview and Scrutiny Working Group including CCC councillor representation, Chief Executive sits on LGSS Management Board	Good		1. Workforce strategy 1. LGSS Management Board will review the workforce strategy as part of the Transformation Programme	LGSS MB	30/09/2017
2. LGSS director representation at SMT	Good		2. Production of common training programme 2. Production of common training programme by OWD taken from service needs and compiled from PADP outcomes (annually)	LGSS	30/09/2017
3. LGSS Strategic Plan, Strategy Map and Improvement Activities identified	Good		3. Annual employee survey 3. Annual employee survey to feed into LGSS service improvement plans	LGSS SAC&S	30/09/2017
4. Deputy Chief Executive responsible for managing LGSS / CCC relationship	Good		4. Reference to the SLA and KPI review per service line (new plan for 2017/18 being produced	DCEX	31/07/2017
5. Robust performance management and development practices in place for staff	Good		5. The appropriate signposting of the other LGSS audits and associated recommendations e.g Payroll etc	DCEX	31/07/2017
6. Flexible terms and conditions of employment	Good		6. Cross referencing customer satisfaction with service delivery standards	DCEX	31/07/2017

7. Employee support available	Good		7. ERP Gold implementation	DCEX	30/09/2017
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		8. Mosaic implementation	DCEX	30/06/2018
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 / Consequence matrix — X marked at Likelihood 3, Consequence 4.

Risk Owners	Graham Hughes	Current Score	12	Last Review	01/07/2017
		Target Score		Next Review	30/09/2017
		Previous Score			

Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
1. Insufficient funding to meet needs received from •Growth funds •Section 106 •Community infrastructure levy •School infrastructure funding 2. Partnerships do not deliver new infrastructure / services to meet needs of population	Significant infrastructure funding available from Greater Cambridge Partnership / City Deal, and Combined Authority	1. Impacts on transport, economic, environmental and social outcomes 2. Greater borrowing requirement to deliver infrastructure which is unsustainable financially

Controls	Adequacy	
1. Maximisation of developer contributions through Section 106 negotiations. Policy is to deal with strategic development sites through s106, not including CIL	Good	
2. Section 106 deferrals policy is in place.	Good	
3. Capital Programme Board	Good	
4. Prudential borrowing strategy	Good	
5. Review, scrutiny and challenge of design and build costs to ensure maximum value for money	Good	

Action Plans	Responsibility	Target Date
15. County Planning obligation strategy County Planning obligation strategy for district's and County Council use, to go to E&E Committee	HoG&E	31/10/2017

6. Co-ordination of requirements across partner organisations to secure viable shared infrastructure	Good
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

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

Risk Owners	Gillian Beasley	Current Score	6	Last Review	01/07/2017
		Target Score		Next Review	30/09/2017
		Previous Score			

Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
1. The Council loses money through fraudulent action or corrupt activity 2. Partners lose money 3. Council is unable to deliver its obligations		1. Financial loss 2. Reputational damage 3. Regulator sanctions

Controls	Adequacy	
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	

Action Plans	Responsibility	Target Date

9. Publication of spend data	Good

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk	09. Our partnerships are not successful in delivering the intended outcomes

Risk Owners	Gillian Beasley	Current Score		Last Review	01/07/2017
		Target Score		Next Review	30/09/2017
		Previous Score			

Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
1. Objectives of partnerships are not achieved 2. Partnership is not able to work together		1. Negative impact on outcomes for people in Cambridgeshire

Controls	Adequacy
1. Negotiated and agreed governance framework for partnerships	Good
2. Corporate partnership guidance	Good

Action Plans	Responsibility	Target Date
1. Review control environment and complete detailed risk register	HoBI	30/09/2017

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk	10. Inequalities in the county continues

Likelihood / Consequence risk matrix. X positioned at Likelihood 3, Consequence 4.

Risk Owners	Gillian Beasley	

Current Score	12
Target Score	
Previous Score	

Last Review	01/07/2017
Next Review	30/09/2017

Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
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		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

Controls	Adequacy
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

Action Plans	Responsibility	Target Date
1. Joint Health and Wellbeing Strategy Implementation of health inequalities aspects of Joint Health and Wellbeing Strategy	DoPH	31/03/2018

6. Targetted services e.g: Travellers Liaison, Traveller Health Team, Chronically Excluded Adults Team, etc.	Good
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	11. Change and transformation of services is not successful				

Risk Owners	Chris Malyon	Current Score		Last Review	01/07/2017
		Target Score		Next Review	30/09/2017
		Previous Score			

Likelihood / Consequence matrix

Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
1. Services do not change to meet current demands 2. Projects and programmes stall or do not make sufficient impact	Any issues with specific projects that might affect the score	1. Statutory obligations not delivered 2. The Council does not work in a transformed way 3. Over-spend on budget

Controls	Adequacy
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

Action Plans	Responsibility	Target Date
1. Implement project management system	Head of Transformation	30/09/2017
2. Review control environment and complete detailed risk register	HoBI	30/09/2017

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):