

Risk Title IPP Formulation and Delivery	Risk Number	Risk Owner	Risk Score:
<p>Risk Description</p> <p>Trigger 1: Failure to have clear political direction, priorities, vision and values. Organisation not sufficiently aligned to face challenges.</p> <p>Trigger 2: Failure to plan effectively (with partners) in order to deliver against approved Integrated Plan in terms of efficiency savings or transformation.</p> <p>Trigger 3: Assumptions in Integrated Plan regarding the wider economic situation are inaccurate</p> <p>Result:</p> <ul style="list-style-type: none"> • The Council does not meet the needs of its communities • The Council is unable to achieve required savings and fails to meet statutory responsibilities or budget targets; • Need for reactive in-year savings; 	1	Leader / Chief Executive	Probability 4 Impact 4 16
<p>Reason for change in Direction of Travel</p> <p>No change in risk score</p>			
<p>Controls in place</p> <ol style="list-style-type: none"> 1. Robust political leadership, strong vision, clear priorities and policies 2. Full consultation with public, partners and businesses during planning process, including thorough use of data research and business intelligence to inform the planning process 3. Robust service planning; priorities cascaded through management teams and through appraisal process 4. Strategy in place to effectively communicate vision and plan throughout the organisation 5. Performance Management 6. Strengthened governance framework to manage transformation agenda <ol style="list-style-type: none"> a. Integrated portfolio of programmes and projects b. Routine portfolio review to identify and address dependencies, cross cutting opportunities and overlaps c. Transformation Board to review and recommend priorities d. Directorate Management Teams/Programme Governance Boards to ratify decisions 7. Rigorous risk management discipline embedded in all transformation programmes/projects, with escalation process to Transformation Board 			

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<p>8. Integrated performance and resource reporting</p> <ul style="list-style-type: none"> a. Monthly progress against savings targets b. Corporate Scorecard monitors performance against priorities c. Budget holders monthly meetings with LGSS Finance Partner/External Grants Team, producing BCR d. Regular meetings with Director of Finance/s151 Officer, Portfolio Holders and relevant Directors to track exceptions and identify remedial actions <p>9. Rigorous treasury management system in place plus ongoing tracking of national and international economic factors and Government policy</p> <p>10. Limited reserves for minor deviations</p> <p>11. Routine monitoring of savings delivery to identify any required interventions</p>			
Action		Responsibility	Implementation Date
1	Review the Transformation Board's TOR in the light of experience to date, and reinforce the governance process where necessary	Head of Service Transformation	Complete
2	Establish 3 month cross-organisational review group to address predicted overspend within Adult Social Care (see risk 18)	Executive Director Community and Adult Services	November 2011
3	Deliver training within LGSS on how councils can cope with a double dip recession	Director of Finance	June 2012
Progress with actions <Indicate whether actions are complete or give progress update>>			
1	October 2011 - The Board membership has changed with Cllr Reynolds taking up the chair. The ToR were re-presented to the board for review which the board accepted and recognise that these will need to be robustly applied		
2	August 2011 – Review Group established with representation from CCC, NHSC, CCS and initial financial analysis and diagnostic work begun October 2011 - Action plan agreed by partners for taking forward Adult Social Care Review. Detailed bottom up costing work underway		
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Risk Title Housing Growth	Risk Number	Risk Owner	Risk Score:
<p>Risk Description</p> <p>Trigger: 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>Result: 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 / Executive Director, Environment Services	<p>Probability 4 Impact 4</p> <p style="text-align: center;">16</p>
<p>Reason for change in Direction of Travel</p> <p>No change in the risk score</p>			
<p>Controls in place</p> <ol style="list-style-type: none"> 1. Joint planning and delivery arrangements for major growth sites and strategic issues relating to growth. These arrangements allow joint solutions to be identified and implemented to address development financing and to respond to strategic issues affecting development finance. 2. 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. The 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. 3. A Section 106 deferrals policy is in place to unlock housing sites where cashflow issues are preventing commencement of house building. 4. Joint statement by the County Council and District Councils committing in principle to the 2003 Structure Plan Strategy 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. 5. The Local Development Framework policy of obtaining 40% affordable housing where viable remains despite the intention to abolish the Regional Spatial Strategy. 6. The Department for Transport has pledged (Ministerial sign-off has been received) to make resources available to lead a study into the current issues relating to the whole A14 corridor. Ministerial sign-off has been received. 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. 7. New joint planning arrangements are being developed through the Public Services Board to agree the strategy for housing delivery in the area going forward. 			

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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	Gerry Corrance	Ongoing
3	Plan for managing increased congestion on the surrounding network due to the withdrawal of the A14 improvements scheme	Jeremy Smith	Ongoing
Progress with actions			
1	<ul style="list-style-type: none"> The Homes and Communities Agency is expected to respond to the Cambridgeshire Local Investment Plan proposal bid by October 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. Informal discussions with the Homes and Communities Agency suggest that no money will be available for infrastructure. 		
2	<ul style="list-style-type: none"> 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. A number of development promoters are developing mitigation measures in conjunction with the Highways Agency, which could result in a satisfactory 'nil detriment' situation. Detailed discussions have started between the Highways Agency and the County Council with regard to Northstowe. Department for Transport resources have been pledged to lead a study into the possible solutions to the current issues relating to the whole A14 corridor. Ministerial sign-off has been received. The Department for Transport hope to have the work concluded by mid-2012 in order for any proposals schemes to be considered in the next Comprehensive Spending Review. 		
3	<ul style="list-style-type: none"> A Cambridge Area Transport Strategy (CATS) is currently being drawn up. The intention is for this to be adopted in 2012. A list of short-term schemes has been prepared for submission to the Department for Transport. 		

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Risk Title Infrastructure Funding Shortage		Risk Number	Risk Owner	Risk Score:
Risk Description Trigger: Insufficient funding is obtained from a variety of sources, including Government growth funds, Section 106 payments and other planning contributions, e.g. Community Infrastructure Levy, to deliver required infrastructure. This is exacerbated by the recession and increased requests for deferral of developer contributions. Result: 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 / Executive Director, Environment Services	Probability 4 Impact 4 16
Reason for change in Direction of Travel No change in the risk score				
Controls in place 1. Maximisation of securing developer contributions is achieved through County Council input to Section 106 negotiations. 2. A prudential borrowing strategy 3. Section 106 deferrals policy 4. External funding for infrastructure and services (e.g. from Government grants) primarily through partnership working led by Cambridgeshire Horizons. 5. Framework for bidding for transport funds under LTP				
Action		Responsibility	Implementation Date	
1	Pursue the 'Single Conversation' with the Homes and Community Agency	Service Director Growth and Infrastructure	Ongoing	
2	Jan 2011 - Assist District Councils in investigating and trialling the applicability of the Community Infrastructure Levy.	Service Director Growth and Infrastructure	Spring 2012	
3	Develop strategy and investment priorities for Cambridge City and the surrounding area, taking into account the Government's cancellation of the Transport Innovation Fund.	Service Director Growth and Infrastructure	2012	
4	Investigate the potential for use of Tax Increment Financing (working with Cambridgeshire Horizons).	Service Director Growth and Infrastructure	Ongoing	
5	Arrangements to be formalised and implemented for a Greater Cambridge-Greater	Executive Director,	September 2011	

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	Peterborough Local Enterprise Partnership	Environment Services	
Progress with actions			
1	<ul style="list-style-type: none"> April 2011 – The Cambridgeshire Local Investment Plan was approved by the Cambridgeshire Horizons Board 23rd March 2011. The bid is in the region of £690m, of which £100m is for County Councils projects (agreed by Cabinet 22nd 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. Informal discussions with the Homes and Communities Agency suggests that no money will be available for infrastructure. 		
2	<ul style="list-style-type: none"> Huntingdonshire District Council aim to adopt CIL by July 2011 – August 11 update – now spring 2012 with a Planning Obligations Strategy being implemented in the meantime. The County Council has two main concerns with the Levy – the presence of a £120m funding gap; and the County Council's expected share of revenue. Jan 2011 - East Cambridgeshire District Council aim to adopt CIL in spring 2012. The County Council response to the related draft Obligations Supplementary Planning Document was endorsed by cabinet on 14th December 2010. Baker Associates and Roger Tym Partners have been appointed to work with Cambridge City, South Cambridgeshire and CCC and have commenced work to determine infrastructure requirements by Sep 2012. This will form the basis of the Community Infrastructure Levies for each of these districts. 		
3	<ul style="list-style-type: none"> A Cambridge Area Transport Strategy (CATS) is currently being drawn up. The intention is for this to be adopted in 2012. 		
4	<ul style="list-style-type: none"> 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. 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. 		
5	<ul style="list-style-type: none"> Jan 2011 - Government approved the bid in the local growth white paper. Consideration is being given to the exact form and function of the LEP. 		

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Risk Title Resourcing Provision for children and adults		Risk Number	Risk Owner	Risk Score:
Risk Description Trigger: Unanticipated increase in needs of children and adults Result: 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 4 Impact 3 12
Reason for change in Direction of Travel Risk rating increased to reflect the possible effect from changes to welfare benefits arrangements				
Controls in place <ol style="list-style-type: none"> 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 and CYPS 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 5. Linkage with Integrated Planning process 				
Action		Responsibility		Implementation Date
1	Fully implement the Placements Strategy to reduce the risk of children becoming looked after, reduces the length of time that children are looked after and reduces the risk of children returning to care.	Executive Director Children and Young People's Services		April 2011
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

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3	Implement a Places Planning Project to provide direction, oversight and management of activity within CYPS	Executive Director Children and Young People's Services	October 2011
4	Review the demographics SLA	Corporate Performance and Research Manager	TBA
Progress with actions <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. Oct-11, SEN Strategy to go to Cabinet in Apr-12		
3	Places project currently under development.		

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Risk Title IT resilience		Risk Number	Risk Owner	Risk Score:
Draft Risk Description		19	Cabinet Member for Resources and Performance/ LGSS Director of Operations	Probability 3 Impact 4 12
Trigger: A failure in availability and/or performance of service-critical IT systems which cannot be rapidly resolved				
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				
Reason for change in Direction of Travel Risk re-assessed to reflect current control environment (as agreed by SMT post SMT/Cabinet)				
Controls in place 1. Individual service business continuity plans 2. First phase of IT resilience project including the increased alternative power/environment conditions in major machine rooms 3. Operational controls				
Action		Responsibility	Implementation Date	
4	Plan and implement Phase 2 of IT resilience programme – resilient Internet feed	LGSS Director of Operations	July 2012	
5	Joint CCC and NCC data centre review to develop long term options for fully resilient mirrored data centres	LGSS Director of Operations	October 2011	
6	Plan and Implement Phase 3 of IT Resilience programme – duplication of key systems	LGSS Director of Operations	Completion Financial year 2012/13	
Progress with actions <Indicate whether actions are complete or give progress update>>				
4	Phase 2 IT resilience to be implemented as part of CPSN (Cambridgeshire Public Sector Network) contract. Detailed design and implementation planning now underway linked with contract start date (April 2012). Planned Phase 2 completion date July 2012.			
5	TBC			
6	Phase 3 funding now identified via CPSN capital surplus. Phase 3 will run in conjunction with Phase 2. Detailed design planning currently underway. Implementation to commence Jan 2012, with completion date during financial year 2012/13.			

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Risk Title Non compliance with legislative and regulatory requirements		Risk Number	Risk Owner	Risk Score:
Risk Description: Non compliance with legislative and regulatory requirements, e.g. equalities legislation Triggers: 1. Staff unaware of changes to legislative/regulatory requirements 2. Lack of staff training 3. Lack of management review Results: 1. Adverse reports from regulators 2. Criminal or civil action against the Council 3. Reputational damage		20	Cabinet Member for Resources and Performance/Chief Executive	Probability 2 Impact 4 Risk score 8
Reason for change in Direction of Travel The probability of the risk occurring has been reduced to reflect management actions taken				
Controls in place 1. LGSS legal team robust and up to date with appropriate legislation. 2. Service managers kept abreast of changes in legislation by the Monitoring Officer, Gov departments and professional bodies 3. Monitoring Officer role 4. Code of Corporate Governance 5. Community impact assessments required for key decisions				
Action		Responsibility	Implementation Date	
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	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	November 2011	
Progress with actions - <Indicate whether actions are complete or give progress update>>				
1	COMPLETED - Briefings for CLT and Cabinet. A further three briefing sessions were delivered to a total of 60 senior officers.			
2	October 2011 – Report templates have been reviewed by SMT and feedback given, still in process of updating.			