

Cambridgeshire County Council Corporate Risk Register
Part 1: Risk Summary

| Risk Number | Risk Title | Risk Description | 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 not be expressed in a positive way.> <The trigger of the risk and the result 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> | <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 | Trigger: Failure to deliver against approved Integrated Plan 2011-12 in terms of efficiency savings or transformation Result: The Council is unable to achieve required savings and fails to meet budget targets; need for reactive in-year savings; adverse effect on delivery of outcomes for communities | C2 | ↓ | All SMT | All Cabinet Members |

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| 2 | Shared Services programme | <p>Trigger 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.</p> <p>Trigger 2: failure to adapt to likely significant changes in the way the authority manages and delivers its services.</p> <p>Result: failure of the Local Government Shared Service (LGSS) programme and adverse impact on support service delivery and budget position</p> | C3 | ↔ | Director of Finance | Cabinet Member Resources and Performance |
| 3 | Workforce reductions | <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</p> | C3 | ↔ | Director of Human Resources | 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> | B2 | ↔ | Director of Finance | Cabinet Member Resources and Performance |

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|---|---------------------|--|----|---|--|--|
| 5 | Partnership working | <p>Trigger: Failure of new partnership arrangements (including LEP and Health & Wellbeing Board) to deliver outcomes for communities; failure to maximise potential for new partnership opportunities</p> <p>Result: Reduced ability for partners to work together effectively and efficiently, and target limited resources to achieve shared outcomes</p> | C3 | ↓ | SMT | All Cabinet Members |
| 6 | Transformation | <p>Trigger: Corporate and service-based transformation projects integrated into the IPP are not successfully completed.</p> <p>Result: Failure to achieve necessary change and savings and inability to meet new requirements; failure to realise optimum benefits from effort and resource invested.</p> | B2 | ↔ | SMT / Director of Customer Services and Transformation | All Cabinet Members / Cabinet Member for Customer Service and Transformation |
| 7 | Performance | <p>Trigger: Increasingly challenging context and failure to deliver expected performance levels in context of service reductions. The current level of ambiguity around future performance measures as well as changes in inspection regimes may result in the council being less focused on performance issues</p> <p>Result: Service performance declines below planned levels, as measured by key performance indicators.</p> | B3 | ↔ | SMT | All Cabinet Members |

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| 8 | Housing growth | <p>Trigger: Developers have insufficient market liquidity and credit available to bring forward housing growth sites that are in line with the Council's development plans. This is exacerbated by the general economic downturn and the recent dismantling of the regional planning structure</p> <p>Result: Housing growth falling behind target, shortfall in affordable housing, re-emergence of unsuitable sites made subject to planning applications, and a lack of co-ordinated strategic planning.</p> | B2 | ↓ | Acting Executive Director, Environment Services | Cabinet Member for Growth, Infrastructure and Strategic Planning |
| 9 | Infrastructure funding shortage | <p>Trigger: 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>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> | B2 | ↓ | Acting Executive Director, Environment Services | Cabinet Member for Growth, Infrastructure and Strategic Planning |
| 10 | Cambridgeshire Guided Busway | <p>Trigger: Failure by contractor to repay their risk share at the end of contract</p> <p>Result: Financial impacts of additional interest payments and potential incomplete recovery of costs. Prolonged legal dispute with associated costs.</p> | C1 | ↔ | Acting Executive Director, Environment Services | Cabinet Member for Growth, Infrastructure and Strategic Planning |

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| 11 | Climate change mitigation | <p>Trigger: Failure to stabilise and reduce operational greenhouse gas emissions and energy use.</p> <p>Result: 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> | B3 | ↔ | Acting Executive Director, Environment Services | Cabinet Member for Growth, Infrastructure and Strategic Planning |
| 12 | Climate change adaptation | <p>Trigger: Failure to prepare for and adapt to current and future changes in climate</p> <p>Result: Climate impacts resulting in:-</p> <ul style="list-style-type: none"> • Social risks to vulnerable members of the population (e.g. increased risk of heat stress and mortality during hotter summers) • Economic risks (e.g. increased financial impact of flood damage) • Reputational risks (e.g. increased third party claims and costs associated with deformation and damage to the highways network) • Environmental risks (e.g. loss of local biodiversity and damage to sites) • Increased pressure on frontline service delivery (e.g. increasing number of phone calls and public enquiries to contact centre during extreme weather events) | C3 | ↔ | Acting Executive Director, Environment Services | Cabinet Member for Growth, Infrastructure and Strategic Planning |

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| 13 | 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> | C3 | ↔ | Executive Director Community and Adult Services | Cabinet Member for Communities |
| 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 and public dissatisfaction</p> | C3 | ↓ | Executive Director Community and Adult Services | Cabinet Member for Communities |
| 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 an adult receiving services from Community and Adult Services or harm to children (including in Domestic Violence situations)</p> | C2 | ↓ | 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, Cabinet Member for Adult Social Care, Health and Well Being |
| 16 | Resourcing Provision for children with complex needs | <p>Trigger: Unanticipated Increase in needs of children who are looked after or who have learning disabilities and difficulties</p> <p>Result: children's needs cannot be met within the budget available.</p> | C3 | ↓ | Executive Director Children's and Young People's Services | Cabinet Member for Children |

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| 17 | Demographic change | <p>Trigger: Unforeseen demographic changes in population and population needs.</p> <p>Result: correct range of provision not available with adverse impact on strategic objectives and performance and financial pressures</p> | D3 | ↔ | Executive Director Children's and Young People's Services / Executive Director Community and Adult Services | Cabinet Member for Children, Cabinet Member for Adult Social Care, Health and Well Being |
| 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> | B3 | ↔ | Executive Director Community and Adult Services | Cabinet Member for Adult Social Care, Health and Well Being |
| 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> | B2 | New risk | Director of Customer Services and Transformation | Cabinet Member for Customer Service and Transformation |

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

| Risk Title IPP Delivery | | Risk Number | Risk Owner | Risk Score: |
|---|--|---|-------------------------------|---------------------|
| Risk Description | | 1 | All Cabinet Members / All SMT | C2 |
| Trigger: Failure to deliver against approved Integrated Plan 2011-12 in terms of efficiency savings or transformation | | | | |
| Result: The Council is unable to achieve required savings and fails to meet budget targets; need for reactive in-year savings; adverse effect on delivery of outcomes for communities | | | | |
| Reason for change in Direction of Travel | | | | |
| Revised risk (formally Financial Strategy) | | | | |
| Controls in place | | | | |
| Robust service planning; Portfolio Management (complete portfolio of current transformation programmes with interdependencies mapped); Transformation Board; dynamic and more comprehensive integrated performance and resource reporting; Corporate Scorecard indicates progress against priorities; reserve balances provide some leeway to deal with any implications from late clarification of Government funding (e.g. NHS funding) and/or further in-year pressures. | | | | |
| Action | | Responsibility | | Implementation Date |
| 1 | Review transformation projects from the Portfolio against the strategic priorities and agreed Integrated Plan | Corporate Director, Customer Service and Transformation/Strategic Management Team | | February 2011 |
| | Regular recommendations to be provided to Strategic Management Team (SMT) | | | February 2011 |
| | SMT to act on recommendations | | | |
| 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 | | March 2011 onwards |
| 3 | Introduce earlier, more comprehensive and integrated (LGSS) financial reporting | Director of Finance | | February 2011 |
| Progress with actions | | | | |
| <Indicate whether actions are complete or give progress update>> | | | | |

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Part 2: Detailed Risk Analysis - Controls and Mitigating Actions

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| Risk Title Shared Services Programme | | Risk Number | Risk Owner | Risk Score: |
|---|--|-----------------|--|---------------------|
| Risk Description Trigger 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. Trigger 2: failure to adapt to likely significant changes in the way the authority manages and delivers its services. Result: failure of the Local Government Shared Service (LGSS) programme and adverse impact on support service delivery and budget position | | 2 | Cabinet Member Resources and Performance / Director of Finance | C3 |
| Reason for change in Direction of Travel Risk reducing (as appointments being made and live start date are to plan, opportunities for further savings are being followed, significant interest by other authorities in the offering is growing, and IT support procurement is progressing well) ND comment: Should this be showing a greater reduction as service has not been detrimentally affected and immediate transition is over | | | | |
| Controls in place Pathway for implementation was set out in the Full Business Case and covering report to Cabinet July 2010; both Cabinets have agreed to proceed. Readiness plan and transition plan for move to Shared Service developed. Joint Committee arrangements now established. | | | | |
| Action | | Responsibility | | Implementation Date |
| 1 | Creation of Joint Committee Structure and governance arrangements for the LGSS | Chief Executive | | July 2010 |
| 2 | Restructure of the Council's senior management team | Chief Executive | | September 2010 |
| 3 | Appointment of LGSS Management Board | Chief Executive | | October 2010 |

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| | | | |
| 4 | Establishment programme management arrangements to move forward workstreams (e.g. Oracle Release 12, move to self-service) aimed at delivering benefits | Chief Executive | December 2010 |
| 5 | Implementation of new LGSS structures | Chief Executive | January 2011 |
| 6 | Harmonisation of IT infrastructure | Chief Executive | January 2011 |
| 7 | Agreement of service levels between LGSS and residual organisation | Chief Executive | March 2011 |
| 8 | Joint procurement of contract for hosting the E-Business Suite | Chief Executive | April 2011 |
| Progress with actions <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. | | |
| 5-7 | LGSS MD work still being taken forward despite postponement of appointment. | | |
| 8 | Ahead of target, have selected partners, and savings achieved have been better than expected. | | |

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| Risk Title Workforce reductions | Risk Number | Risk Owner | Risk Score: |
|---|-------------|--|-------------|
| <p>Risk Description</p> <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</p> | 3 | Cabinet Member Resources and Performance / Director of Human Resources | C3 |
| <p>Reason for change in Direction of Travel</p> <p>Static</p> | | | |
| <p>Controls in place</p> <p>Comprehensive HR policies exist in relation to Redundancy. These have been fully reviewed to ensure that they are comprehensive and fit for purpose. Particular emphasis is placed on the statutory consultation procedures and specific advice is provided by HR teams, including a model restructure consultation document, to assist managers in planning workforce reductions in a timely and appropriate way.</p> <p>Managers are encouraged to discuss potential workforce reductions with HR adviser as soon as aware so that actions required (e.g. new/revised job descriptions and job evaluations where appropriate, and consultation timelines) can be planned in appropriate way and sufficient HR support can be provided.</p> <p>A restructure presentation is available for managers which outlines all of the steps in the restructure process. An employee guidance pack is available for employees which includes sign posts to support available from the Next Steps service and from the Organisation Development and Learning Service.</p> | | | |

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A tracking spreadsheet is used to centrally monitor the progress of restructures occurring across the Council (i.e. to monitor the progress of all of the current restructures covered by the current section 188 notifications).

| Action | | Responsibility | Implementation Date |
|---------------|--|-----------------------|----------------------------|
| 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 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 | | 4 | Cabinet Member Resources and Performance / Director of Finance | B2 |
| 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 | Interim Arrangements Jan 2011. Permanent arrangements April 2011 subject to consultation being complete by end Jan 2011 | |
| 2 | Development of new procurement policy | Director of Finance | March 2011 | |
| 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 | |

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| | | | arrangements April 2011 subject to consultation being complete by end Jan 2011 |
| 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 | December 2010 |
| Progress with actions <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. 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. 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> | | |
| 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 1st 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 the 1st draft of the Procurement SORP is complete.</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> | | |

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| | <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> <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> |
| 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> |
| 5 | <p>This forum is due to hold its 1st meeting in December with meetings scheduled on a bi monthly basis.</p> <p>Jan 2011 – The 1st 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 1st 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> |

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| Risk Title Partnership Working | | Risk Number | Risk Owner | Risk Score: |
|---|--|--|---------------------------|-------------|
| Risk Description Trigger: Failure of new partnership arrangements (including LEP and Health & Wellbeing Board) to deliver outcomes for communities; failure to maximise potential for new partnership opportunities. Result: Reduced ability for partners to work together effectively and efficiently, and target limited resources to achieve shared outcomes | | 5 | All Cabinet Members / SMT | C3 |
| Reason for change in Direction of Travel Decreased from B3 to C3. 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. | | | | |
| Controls in place 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. | | | | |
| Action | | Responsibility | Implementation Date | |
| 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 | February 2011 | |
| 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 | John to complete | | | |
| 4 | Rod to complete | | | |
| Progress with actions | | | | |

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| <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 th February, and has already conducted individual diagnostic interviews. |
| 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. |

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| Risk Title Transformation | | Risk Number | Risk Owner | Risk Score: |
|---|--|---|---------------------------|---|
| Risk Description Trigger: Corporate and service-based transformation projects integrated into the IPP are not successfully completed. Result: Failure to achieve necessary change and savings and inability to meet new requirements; failure to realise optimum benefits from effort and resource invested. | | 6 | All Cabinet Members / SMT | B2 |
| Reason for change in Direction of Travel Static | | | | |
| Controls in place Portfolio Management process, SMT review of transformation, SMT/Integrated Planning process (as above), clear identification of transformation objectives, robust programme/project management. The establishment of the Transformation Board, with reps from across the Council whose role is to maintain an overview, assess priorities, ensure benefits are secured, etc. | | | | |
| Action | | Responsibility | | Implementation Date |
| 1 | Strategic Management Team (SMT) review of current transformation projects | SMT | | July 2010 |
| 2 | (See risks 1 and 2) Portfolio Management process to provide complete picture of current transformation projects and programmes, and map interdependencies / overlaps / gaps against organisational capacity and alignment with strategic objectives | Corporate Director, Customer Service and Transformation | | Interim report by September 2010; Complete report by December 2010 |
| | Regular recommendations (identifying over-commitment or conflict of capacity / resources) to be provided to Quality Improvement Areas and SMT | Corporate Director, Customer Service and Transformation | | September 2010 onwards |
| | SMT to agree portfolio management process and act on recommendations, directing resources and terminating / postponing projects/programmes accordingly | SMT | | Agree process September 2010; SMT to act on |

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| | | | recommendations September 2010 onwards |
| 3 | Develop and publish a clear definition of transformation objectives and desired outcomes | Director of Customer Service and Transformation, with input from SMT | November 2010 |
| 4 | Ensure robust programme and project management/ and governance arrangements, with specific focus on developing stronger, clearer business cases, on-going assessment and capacity review | Head of Service Transformation | July onwards |
| Progress with actions <Indicate whether actions are complete or give progress update>> | | | |
| 1 | Sep 2010 - SMT review of current transformation projects now embedded in monthly business reports. Nov 2010 – Complete (SMT review now a control) | | |
| 2 | 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). | | |
| 3 | Sep 2010 - Transformation Strategy proposal was taken to Cabinet/SMT on 14th Sept, for steer from members to inform final strategy. A decision has been made to set up a Transformation Board; protocols and processes for this being discussed before confirmation of board membership. Nov 2010 – Transformation Board established. First meeting on 8/11 will define objectives and outcomes. Jan 2011 – Following outcome of IP, transformation objectives and outcomes to be defined by Transformation Board and proposed to SMT by March 2011. | | |
| 4 | Sep 2010 - Governance review under way, with a view to publication of draft proposals by 31st October. Review includes review of best practice externally and internally in other service areas. Nov 2010 – Governance defined and awaiting SMT approval in November. Jan 2011 – A complete review of programme and project management process/governance undertaken to enable stronger business case development. Currently being piloted with the aim to roll out organization wide on April 1st, coupled with roll out of modular e-learning training. | | |

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| Risk Title Performance | | Risk Number | Risk Owner | Risk Score: |
|---|--|-----------------------|---------------------------|----------------------------|
| Risk Description | | | | |
| <p>Trigger: increasingly challenging context and failure to deliver expected performance levels in context of service reductions. The current level of ambiguity around future performance measures and targets as well as changes in inspection regimes may result in the council being less focused on performance issues.</p> <p>Result: Service performance declines below planned levels, as measured by key performance indicators.</p> | | 7 | All Cabinet Members / SMT | B3 |
| Reason for change in Direction of Travel | | | | |
| <p>This risk score remains static at B3 after a worsening position reported in the last quarter, following indications of a dip in performance for 2009/10 already. Targets are likely to be redefined as budget reductions will have an impact on performance. Until national changes around performance management become clearer and we take a view what is considered an acceptable level of performance in the future, it will not be possible to reassess this risk more fully.</p> | | | | |
| Controls in place | | | | |
| <p>Performance is currently managed at various levels across the organisation and this should give an early indication if performance is started to be adversely affected by budget reductions. The Cambridgeshire Performance Information Group (CPIG) maintains an overview of performance issues, reporting any issues into Strategic Management Team and Cabinet using the monthly Integrated Resources and Performance Report (IRPR).</p> | | | | |
| Action | | Responsibility | | Implementation Date |
| 1 | Performance Clinics (IPP) – it has been agreed to provide a six month of review of performance as a result of suspending the performance clinics. It is planned to use this as an opportunity to ask managers a specific question about any pressing performance concerns arising from budget decisions. | Director of Finance | | 31 October 2010 |
| 2 | A review of the council's performance framework is underway with initial proposals to be developed by September 2010. Full implementation would follow by April 2011. | Director of Finance | | 30 September 2010; |

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| | | | April 2011 |
| 3 | Corporate Scorecard Review – this will contain a higher number of more ‘sensitive’ measures, as well as measures that reflect more strongly the totality of the council’s business | Director of Finance | 30 September 2010 |
| 4. | Ensure Enhancing our Performance Board and CPIG maintain on overview of performance issues reporting any issues into SMT / Cabinet using IRPR | Director of Finance | Ongoing |
| 5 | FPP Management Team to ensure intelligence related to performance is fully shared at management team meetings and issues triangulated against performance reports and intelligence. | Director of Finance | Ongoing |
| 6 | Ensure managers are aware of the need to continue to monitor and review performance and raise issues through appropriate routes | Director of Finance | September 2010 |
| 7 | As part of IP process suggested a structured review of future performance measures and targets is undertaken, subject to further government announcements | Director of Finance | Dec 2010 – January 2011 |
| Progress with actions <Indicate whether actions are complete or give progress update>> | | | |
| 1 | A decision has been taken not to hold the performance clinics but regular briefings with the lead Cabinet member responsible for performance continue. | | |
| 2 | The review of the council’s approach to performance management is well underway. A final draft proposal will be considered by Cab/SMT in Jan 2010 January 2011 – A proposal has now been drafted and is being consulted on with Services, and will be going to Cabinet / SMT in early March, to be implemented alongside revised Service performance frameworks from 1 April 2011. | | |
| 3 | Complete. | | |
| 4 | Enhancing our Performance Board has been suspended in the light of national changes to inspection and regulation work. The monthly Integrated Finance and Performance report therefore remains the only mechanism for identifying high level performance issues. | | |
| 5 | Suggest that this item is given greater prominence at future FPP meetings. January 2011 – The HoS provides an update at FPP meetings. A mid-year review of performance in 2009-10 will be discussed at the next meeting. The IRPR remains the best method of highlighting ‘live’ performance issues to senior managers and Members of the Council. | | |
| 6 | This has been ongoing. An article in the next countywide magazine will raise the profile of this issue across all staff in the new year. January 2011 – Article was published in January 2011 issue of Countywide. | | |

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| Risk Title Housing Growth | Risk Number | Risk Owner | Risk Score: |
|--|-------------|--|-------------|
| <p>Risk Description</p> <p>Trigger: Developers have insufficient market liquidity and credit available to bring forward housing growth sites that are in line with the Council's development plans. This is exacerbated by the general economic downturn and the recent dismantling of the regional planning structure.</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</p> | 8 | Cabinet Member for Growth, Infrastructure and Strategic Planning / Acting Executive Director, Environment Services | B2 |
| <p>Reason for change in Direction of Travel</p> <p>The risk has been re-evaluated and the previous score was considered to be to high.</p> | | | |
| <p>Controls in place</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.</p> | | | |

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

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

Jan 2011 - A joint statement has been published 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 RSS. This statement is a necessary step in reaffirming that growth in Cambridgeshire continues to progress.

| 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 |
| Progress with actions | | | |
| 1 | Jan 2011 - £8m of Housing Growth Fund money has been invested into an equity arrangement between Countryside Properties, Cambridgeshire Horizons, the County Council, Cambridge City and South Cambridgeshire District Councils to bring forward key infrastructure for the Clay Farm development. | | |

Cambridgeshire County Council Corporate Risk Register
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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 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, Infrastructure and Strategic Planning / Acting Executive Director, Environment Services | B2 |
| Reason for change in Direction of Travel No change in the risk score. | | | | |
| Controls in place 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. | | | | |
| Action | | Responsibility | | Implementation Date |
| 1 | Contribute County Council Service information to the Single Conversation Local Investment Plan, which will be used to leverage investment from Government departments and the Homes and Communities Agency. | Service Director Growth and Infrastructure | | December 2010 |

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

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| 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 Innovation Fund. | Service Director Growth and Infrastructure | March 2011 |
| 4 | Through work on the Local Transport Plan 3, establish a framework for bidding for transport funds. | Service Director Growth and Infrastructure | March 2011 |
| 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 |
| Progress with actions | | | |
| 1 | <ul style="list-style-type: none"> Jan 2011 - The New Communities service is leading the County input into the Cambridgeshire Local Infrastructure Plan, which has now been drafted. Cabinet considered the draft and the prioritisation of County Council projects on 16th November 2010. This is due to be considered again at Cabinet on 22nd February 2011 with officers' responses to comments. The Cambridgeshire Horizons Board meeting in March 2011 will be asked to approve the CLIP for submission to HCA. The likely level of funding remains uncertain. | | |
| 2 | <ul style="list-style-type: none"> Huntingdonshire District Council aim to adopt CIL by July 2011. 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 14th December 2010. 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 March 2011. | | |
| 3 | <ul style="list-style-type: none"> LTP3 is due to come into force in April 2011, which will update transport policies regarding Cambridge and Cambridgeshire as a whole. Jan 2011 - A Cambridge Area Transport Strategy (CATS) is being drawn up. | | |
| 4 | <ul style="list-style-type: none"> LTP3 is expected to be in place on time, providing an updated framework for bidding for transport funds. | | |
| 5 | <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 | | |

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

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| | <p>the moment and pilot areas are being sought by Government.</p> <ul style="list-style-type: none">• 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. |
| 6 | <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. |

Cambridgeshire County Council Corporate Risk Register
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| Risk Title Cambridgeshire Guided Busway | Risk Number | Risk Owner | Risk Score: |
|---|-------------|--|-------------|
| <p>Risk Description</p> <p>Trigger: Failure by contractor to repay their risk share at the end of the contract</p> <p>Result: Financial impacts of additional interest payments and potential incomplete recover of costs. Prolonged legal dispute with associated costs.</p> | 10 | Cabinet Member for Growth, Infrastructure and Strategic Planning / Acting Executive Director, Environment Services | C1 |
| <p>Reason for change in Direction of Travel</p> <p>No change in the risk score.</p> | | | |
| <p>Controls in place</p> <p>A strong 'pain-share' contract is in place that will oblige the contractor to meet a large portion of the costs of any overspend, with the Council liable for a capped proportion.</p> <p>A robust process is in place to manage the contractor's 'compensation event' claims, with each claim formally assessed by the Guided Busway Project Manager.</p> <p>Provision has been made for the anticipated borrowing requirements and a degree of non-recovery.</p> <p>Legal advice has been taken.</p> <p>The project is regularly reviewed and appropriate contingency arrangements are in place.</p> <p>The Busway Delivery Group (lead members + lead officers) meets fortnightly to review progress.</p> | | | |

Cambridgeshire County Council Corporate Risk Register
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| Embedded Assurance is being carried out. | | | |
|--|---|--|----------------------|
| 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 | By February 2011 |
| 2 | Ongoing assessment of compensation event claims to finalise the target price ahead of completion. | Service Director Growth and Infrastructure | By end December 2010 |
| Progress with actions | | | |
| 1 | <ul style="list-style-type: none"> • A strategy is being developed with legal advisers to manage the anticipated legal action. • Detailed papers are being drawn up on key areas of potential dispute. • Additional resource requirements are in place to meet them. | | |
| 2 | <ul style="list-style-type: none"> • Assessment of compensation events is continuing. | | |

Cambridgeshire County Council Corporate Risk Register
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| Risk Title Climate Change Mitigation | | Risk Number | Risk Owner | Risk Score: |
|--|------------------------------------|-----------------------------|--|----------------------------|
| Risk Description | | | | |
| <p>Trigger: failure to stabilise and reduce operational greenhouse gas emissions and energy use</p> <p>Result: 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> | | 11 | Cabinet Member for Growth, Infrastructure and Strategic Planning / Acting Executive Director, Environment Services | B3 |
| Reason for change in Direction of Travel | | | | |
| Static | | | | |
| Controls in place <ul style="list-style-type: none"> 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. 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. Internal audit has been used to add challenge and ensure the Action Plan is robust, achievable and being effectively implemented | | | | |
| Action | | Responsibility | | Implementation Date |
| 1 | Action Plan to be reviewed in 2010 | Director of Environment and | | May 2010 |

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

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|--|---|--|----------------|
| | | Regulation | |
| 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 | Director of Environment and Regulation | During 2010/11 |
| 3 | Development of revised Action Plan | Director of Environment and Regulation | March 2011 |
| Progress with actions <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 | A new set of CORVU indicators for different sources of carbon emissions that make up the Council's carbon footprint have been created to enable closer in-year monitoring. The 2009/10 total figures for the Council's carbon footprint are also now available. 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. | | |
| 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 have 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. | | |

Cambridgeshire County Council Corporate Risk Register
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| Risk Title Climate Change Adaptation | | Risk Number | Risk Owner | Risk Score: |
|--|--|--|--|----------------------------|
| Risk Description Trigger: failure to prepare for and adapt to current and future changes in climate Result: Climate impacts resulting in:- <ul style="list-style-type: none"> • Social risks to vulnerable members of the population (e.g. increased risk of heat stress and mortality during hotter summers) • Economic risks (e.g. increased financial impact of flood damage) • Reputational risks (e.g. increased third party claims and costs associated with deformation and damage to the highways network) • Environmental risks (e.g. loss of local biodiversity and damage to sites) • Increased pressure on frontline service delivery (e.g. increasing number of phone calls and public enquiries to contact centre during extreme weather events) | | 12 | Cabinet Member for Growth, Infrastructure and Strategic Planning / Acting Executive Director, Environment Services | C3 |
| Reason for change in Direction of Travel Static | | | | |
| Controls in place 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 . | | | | |
| Action | | Responsibility | | Implementation Date |
| 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 | | August 2010 |

Cambridgeshire County Council Corporate Risk Register
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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 | November 2010 |
| 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 |
| Progress with actions <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. | | |

Cambridgeshire County Council Corporate Risk Register
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| Risk Title Community Engagement | | Risk Number | Risk Owner | Risk Score: |
|---|--|---|--|----------------------------|
| Risk Description Trigger: Failure to engage with local communities and limited impact of residents on decisions about service delivery Result: loss of confidence in service delivery and service transformation. | | 13 | Cabinet Member for Communities / Executive Director Community and Adult Services | C3 |
| Reason for change in Direction of Travel Static | | | | |
| Controls in place 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 | | | | |
| Action | | Responsibility | | Implementation Date |
| 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 Engagement | | On-going |

Cambridgeshire County Council Corporate Risk Register
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|------------------------------|--|--|--------------|
| | | (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 |
| Progress with actions | | | |
| 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. | | |
| 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. | | |
| 5 | Jan 2011 - A seminar is scheduled for 23 February to explore rolling out the concept across the county. Rollout is one of the localism pilots. | | |

Cambridgeshire County Council Corporate Risk Register
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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 Communities / Executive Director Community and Adult Services | C3 |
| 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) | | Ongoing |
| Progress with actions | | | | |

Cambridgeshire County Council Corporate Risk Register
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| 1 | There has been a varied response to implementing the Strategies. A review is underway |
| 2 | <p>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.</p> <p>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.</p> |

Cambridgeshire County Council Corporate Risk Register
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| Risk Title Safeguarding Vulnerable Children and Adults | | Risk Number | Risk Owner | Risk Score: |
|--|---|-------------|--|--|
| Risk Description | | | | |
| <p>Trigger: failure to follow the robust arrangements in place designed to prevent harm to adults and children</p> <p>Result: harm to an adult receiving services from Community and Adult Services or harm to children (including in Domestic Violence situations)</p> | | 15 | Leader of the Council, Cabinet Member for Adult Social Care, Health and Well Being, Cabinet Member for Children / Chief Executive, Executive Director Children and Young People's Services (CYPS), Executive Director Community and Adult Services (CAS) | C2 |
| Reason for change in Direction of Travel | | | | |
| Worsening. Cumulative budget reductions may increase risk of raised thresholds for access to support from Children's Social care and fewer preventative services in place, and the reorganisation of social care services. | | | | |
| <p>Controls in place</p> <p>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.</p> <p>Implementation of Safeguarding Procedures, monitored during on-going supervision, and via quality assurance arrangements including case audits.</p> <p>Regular sharing of information with regulating bodies.</p> <p>Skilled and experienced safeguarding leads & their managers.</p> <p>Comprehensive and robust recruitment and training and development policies for staff, including safer employment practices and arrangements for induction and ongoing development.</p> <p>Effective implementation of the Common Assessment Framework to identify children at risk.</p> | | | | |
| Action | | | Responsibility | Implementation Date |
| 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 be aware of what abuse is and how to report it. | | Executive Director (CYPS) / Executive Director (CAS) | Training on offer throughout the year with annual updates to the LSCB advertised |

Cambridgeshire County Council Corporate Risk Register
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| | | | training brochure. |
| 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) | July 2010 |
| 3 | 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. | Executive Director (CYPS) / Executive Director (CAS) | Ongoing action following SCR findings and policy changes |
| 4 | Roll out of the Common Assessment Framework to ensure effective identification children. | Executive Director (CYPS) | Bulk of training complete across Cambridgeshire by March 2011. |
| 5 | 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 |
| 6 | Jan 2011 - Ensure that Safeguarding is fully addressed in the implementation of Personalisation | Executive Director (CAS) | Ongoing |
| Progress with actions <Indicate whether actions are complete or give progress update>> | | | |
| 1 | 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 LSCB: revision to the LSCB development programme now underway for 2011. 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. 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. | | |
| 2 | CYPS: A revised Quality Framework was launched in June which includes a monthly audit of children's social care case files which identify and address issues around safe practice. Similar processes are in place for locality team practices. CAS: Training for service users is being developed, including working with policy to produce a DVD for victims of Hate Crime, Adult | | |

Cambridgeshire County Council Corporate Risk Register
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| | Safeguarding Service User and Carer Sub Group has been organised |
| 3. | CYPS: The CYP Social Care Performance Board focuses on continuous improvement in social care performance and practice. The 4 recent serious case reviews have now all been published and actions plans developed for each organisation led by the LSCB and informing practice with children and young people. |
| 4 | CYPS: Jan 2011 - CAF roll out underway and more than 2000 practitioners will be trained by march 2011. Training will be ongoing as new partners engage and new practitioners are appointed. |
| 5 | 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. 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. |
| 6 | 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. |

Cambridgeshire County Council Corporate Risk Register
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| Risk Title Resourcing Provision for children with complex needs | | Risk Number | Risk Owner | Risk Score: |
|--|---|---|---|---------------------|
| Risk Description Trigger: Unanticipated increase in needs of children who are looked after or who have learning disabilities and difficulties Result: children's needs cannot be met within the budget available | | 16 | Cabinet Member for Children / Executive Director Children and Young People's Services | C3 |
| Reason for change in Direction of Travel Worsening. Numbers of children receiving services have increased significantly and the trend is upward. | | | | |
| Controls in place Deliver services that enable more children and young people to live at home with regular assessment of their needs. Plan provision through the use of regular audits of assessment processes to effectively identify children's needs at the earliest stage and the use of trend data. Multi-agency panels (including partner agencies) enable commissioners of services to consider and plan to meet needs jointly and agree funding. | | | | |
| Action | | Responsibility | | Implementation Date |
| 1 | Develop and implement a placements strategy that sets out the reconfiguration of services to reduce the risk of children becoming looked after, introduces further measures to reduce 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 |

Cambridgeshire County Council Corporate Risk Register
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| 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 |
| Progress with actions <Indicate whether actions are complete or give progress update>> | | | |
| 1 | Comprehensive series of projects on schedule, including the review of fostering and adoption, residential provision, short break services. Strategy due to go to cabinet 22 February – implementation will be ongoing over 4 years to 2015 | | |
| 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. | | |

Cambridgeshire County Council Corporate Risk Register
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| Risk Title Demographic Change | | Risk Number | Risk Owner | Risk Score: |
|---|---|--|--|----------------------------|
| Risk Description Trigger: unforeseen demographic changes in population and population needs Result: correct range of provision not available with adverse impact on strategic objectives and performance and financial pressures | | 17 | Cabinet Member for Adult Social Care, Health and Well Being, Cabinet Member for Children / Executive Director Children and Young People's Services (CYPS), Executive Director Community and Adult Services (CAS) | D3 |
| Reason for change in Direction of Travel Static | | | | |
| Controls in place Joint Strategic Needs Assessments (JSNA) and effective commissioning strategies. Service Level Agreements with the Research Group to provide accurate data and forecast information regularly to inform commissioning of school places. Ensure data is shared and used effectively across the organisation and with partners. Ensure we use information from the Research Group and other data sources. | | | | |
| Action | | Responsibility | | Implementation Date |
| 1 | Regularly review JSNAs for specific groups and ensure demographic change information is used across all JSNAs. | Executive Director Children and Young People's Services / Executive Director Community and Adult Services | | During 2010/11 |
| 2 | Develop processes to effectively use information on developing family needs arising from wide scale use of the Common Assessment Framework | Executive Director Children and Young People's Services / Executive Director Community and Adult Services | | April 2011 |
| Progress with actions | | | | |

Cambridgeshire County Council Corporate Risk Register
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| 1 | <p>CYPS: The JSNA for Children and Young People has now been completed and is influencing the priorities for CYPS and the Children's Trust. The Data Profile which underpins this document will be available to inform all partners which plan and commission service that impact on children</p> <p>CAS: JSNA information has been used in the review of library services.</p> |
| 2 | <p>Jan 2011 - The CAF training programme has been rolled out across the county and more CAFs are now being completed which will in turn help identify needs.</p> |

Cambridgeshire County Council Corporate Risk Register
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| Risk Title Pooled Budgets | | Risk Number | Risk Owner | Risk Score: |
|--|---|---|---|------------------------|
| Risk Description | | 18 | Cabinet Member for Adult Social Care, Health and Well Being, / Executive Director (CAS) | B3 |
| 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 | | |
| 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 | | | | |

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

| | |
|---|--|
| 1 | 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. The Draft Phase 4 Summary report was issued to Cabinet / SMT on 1 November. |
| 2 | 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. |
| 3 | 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. |
| 4 | 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. |

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

| Risk Title IT resilience | | Risk Number | Risk Owner | Risk Score: |
|---|---|--|--|----------------------------|
| Draft Risk Description | | | | |
| Trigger: A failure in availability and/or performance of service-critical IT systems which cannot be rapidly resolved | | 19 | Director of Customer Services and Transformation | B2 |
| 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 | | | | |
| New risk | | | | |
| Controls in place | | | | |
| <ul style="list-style-type: none"> Managed procurement processes in place for CPSN project to mitigate risks. Includes partner participation at project boards Individual service business continuity plans First phase of IT resilience project including the increased alternative power/environment conditions in major machine rooms | | | | |
| Action | | Responsibility | | Implementation Date |
| 1 | Develop risk based strategy for investment decisions associated with CPSN | Director of Customer Services and Transformation | | April 2011 |
| 2 | Assess viability of further ICT resilience investment | Director of Customer Services and Transformation | | April 2011 |
| 3 | Plan and conduct a table-top exercise with a view to identification of further mitigation actions | Director of Customer Services and Transformation | | August 2011 |

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

| | |
|--|--|
| Progress with actions <Indicate whether actions are complete or give progress update>> | |
| | |
| | |

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

Risk Definition Tables

Probability

| <i>Description</i> | <i>Descriptor</i> | <i>Scale</i> |
|--|--------------------------|---------------------|
| May only occur in exceptional circumstances, highly unlikely | Very Low | E |
| Is unlikely to occur in normal circumstances, but could occur at some time | Low | D |
| Likely to occur in some circumstances or at some time | Moderate | C |
| Is likely to occur at some time in normal circumstances | High | B |
| Is highly likely to occur at some time in normal circumstances | Very High | A |

Impact

| <i>Description</i> | <i>Descriptor</i> | <i>Scale</i> |
|---|--------------------------|---------------------|
| 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 | 5 |
| 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 | 4 |

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

| Description | Descriptor | Scale |
|---|-------------------|--------------|
| 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 | 2 |
| 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 | 1 |