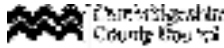


CFA RISK REGISTER

Version Date: August 2014

Details of Risk				Inherent Risk					Key Controls	Residual Risk			Actions				
Risk No.	Risk Description	Trigger	Result	Probability	Impact	Score	Owner	Contact		Probability	Impact	Residual Score	Description	Action Owner	Target Date	Revised Target Date	Action Status
1	Failure of the Council's arrangements for safeguarding vulnerable children and adults.	Severe family crisis despite the robust arrangements in place designed to prevent harm to adults and children. Insufficient skilled and experienced Childrens Social Care staff. Instability of social care workforce. Quality Assurance processes fail to identify poor practice. Volume of work exceeds staff capacity. Information not shared effectively between different parts of the safeguarding system. Poor case recording and record sharing.	Harm to a child (including in Domestic Abuse situations) or an adult receiving services from the Council	5	4	20	SD Adult Social Care (ASC) / SD Children's Social Care (CSC)	HoS Safeguarding and Standard s (SASU) / HoS Adult Social Care Safeguarding and social work	1. Multi-agency Safeguarding Boards 2. Safeguarding procedures, monitored during on-going supervision and via service quality monitoring arrangements including case audits. 3. Adults Safeguarding Practice Guidance and Procedures in place for partners and reviewed regularly 4. Safeguarding Adults Board includes business plan 2014-17 5. Adult Safeguarding training strategy including training for GPs 6. Regular sharing of information with regulating bodies, including regulator reviews across social care services. 7. Skilled and experienced safeguarding leads & their managers. 8. Comprehensive and robust training and development policies for staff, safer employment practices and arrangements for induction and ongoing development including case recording.. 9. Whistleblowing policy 10. Complaints process informs practice 11. Common Assessment Framework to identify children at risk. 12. 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. 13. Robust process of internal quality assurance and audit 14. Health and Wellbeing Strategy includes commitment from partners to safeguarding and a focus on the prevention of domestic violence, raising awareness and providing appropriate support for victims 15. Multi Agency Referral Unit supports effective referral of vulnerable people across agencies. 16. Revised Social Work Unit model 17. Next Steps Board supports and monitors Children's safeguarding improvement. 18. Children's Social Care Performance Board monitors performance and thresholds. 19. Mental Capacity Act/Deprivation of Liberty (DoL) Governance group oversees DoLS legislation requirements. 20. Robust challenge and partnership engagement through the Local Safeguarding Children's Board. 21. Children's Social Care Recruitment and Retention Strategy. 22. Systematic review of referrals within the Integrated Access Team to ensure effective triaging of new referrals 23. Early Help Quality Assurance Framework and Practice Standards 24. Early Help Performance Framework 25. Joint protocols for case transfer from Enhanced and Preventative services to Children's Social Care 26. Effective step down process from Children's Social Care to locality teams. 27. Implications of the supreme court judgement overseen by Mental Capacity Act/Deprivation of Liberty governance group 28. Change required by the Care Act 2014 overseen by the Safeguarding Adults Board.	3	4	12	1. Transition to a Next Steps Board following Ofsted inspection June 2014 2. Develop plans to incorporate adult safeguarding as part of the Multi-agency Safeguarding Hub (MASH)	SD CSC SD ASC	Sep-14 Apr-15		G G
		Unsuccessful recruitment, pay differentials, high staff turnover,	Outcomes for children, families and adults are poorer and the						1. HR Policies relating to redundancy 2. Recruitment and retention key in QWD Strategy and Action Plan								

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2	Failure to provide a well-qualified and effective workforce where it is needed.	lack of support to managers to deliver Council's objectives, lack of succession planning	reputation of the local authority diminished. De-motivated staff lacking the skills to deliver future challenges. Increased absence levels.	3	4	12	Executive Director CFA	HoS Strategy and Partnerships (S&P) HoS Work Force Development (WFD)	3. Extensive range of qualifications and training available to staff to enhance capability and aid retention	2	3	6	1. Transforming Lives project to ensure an effective adult social care workforce. Professional and subject pathways under development.	HoS Safe and Prac	Oct-15		G
									4. Provision of Care Management Training and Self-Directed Support Training to support delivery of outcomes								
									5. Increased use of statistical data to shape activity relating to recruitment and retention				2. Frontline managers will support their own professional development through planning regular visits with frontline services	ED CFA	Sep-14		G
									6. CFA Workforce Development Service in place				3. Plans underpinning CFA Strategic Commissioning Framework include supporting the workforce to work differently, for example to build capacity in communities. Staff survey September 2014	ED CFA	Sep-14	Mar-15	G
3	Lack of capacity to respond to rising demand for service provision	Significant increase in the numbers of people requiring services, increase in the acuity of needs and resourcing pressures within the Council, big thematic change does not result in tangible transformation at front line. Welfare reform brings increased vulnerability. Preventative services reductions risk increasing acuity of need. NHS transition brings increased financial pressures.	Client dissatisfaction and increased risk of harm, reputational damage, failure to meet statutory requirements, regulatory criticism	4	5	20	SD Strategy and Commissioning (S&C)	HoS Strategy and Partnerships (S&P)	1. Use of trend data to identify children's needs at the earliest stage	3	4	12	1. Develop business planning proposals for 2015/16	HoS S&P	Mar-15		A
									2. Data regularly updated and monitored to inform service priorities and planning				2. Develop and deliver Older People's Programme	SD OP	Mar-15		A
									3. Joint Strategic Needs Assessment provides information regarding demographics and need, which is used to inform service planning				3. Develop and deliver our Early Help offer	SD E&P	Mar-14	Apr-15	G
									4. Linkage with the business planning process to ensure resources are matched to need				4. Develop our SEN Commissioning Framework	SDS&C	Jul-14	Sep-14	A
									5. Cross-district Welfare Reform Strategy Group supports early identification of need and joint planning.								
									6. Business planning proposals address future demand for services.				5. Modelling work to identify triggers of demand for services	SD S&C	Sep-14		G
									7. Looked After Children Placement Strategy				6. Refresh Looked After Children Placement Strategy	HoS S&P	Mar-15		A
									8. CFA Performance Board monitors performance of service provision								
									9. Monthly monitoring of business plan to ensure resources managed effectively.								
4	Failure of Partner/independent sector organisations - cessation of delivery or reduction in quality of service	Inadequate business continuity plans. Inadequate financial oversight. Inadequate contract monitoring processes. Poor inspection outcome from Partner's regulatory body.	Loss of service provision. Financial risk to the Council. Increased pressure on our own services.	4	5	20	SD Strategy and Commissioning (S&C)	HoS Strategy and Partnerships (S&P) HoS Procurement	1. Robust contracting and monitoring procedures	2	2	4					
									2. Effective use of PQQs (pre-qualifier questionnaires)								
									3. Effective governance and monitoring of Section 75 agreements, through Monitoring and Governance Groups & Adults, Health & Wellbeing Overview and Scrutiny Committee.								
									4. Joint Strategic Needs Assessments and Commissioning Strategies				1. Development of a systematic, evidence based approach to intervention across Adult Social Care & health	HoS Procurement & Health Partners	Nov-14		A
									5. Active involvement by commissioners in articulating strategic needs to the market				2. Closer working between compliance agencies, & CCC (E.G. Env Health, H & S, Police, Fire service, CQC, Safeguarding etc)	HoS procurement & partner agencies	Dec-14		A
									6. Risk-based approach to in-contract financial monitoring								
									7. New specifications for Voluntary and Community Sector (VCS) infrastructure support contract focuses on business development activity, consortia working, commissioning and procurement activity.								
									8. Close working with independent and voluntary sector partners to respond to and manage the market.								



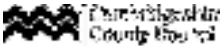
APPENDIX 3

CFA RISK REGISTER

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Risk No.	Details of Risk			Inherent Risk					Key Controls	Residual Risk			Actions				
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5	Inability to maintain sustainable traded services models.	This may result from schools / settings / other customers not buying back services, either because they no longer want to, or can no longer afford to. Lack of clarity on expanding traded services functions. Lack of understanding of cost implications of traded services.	Loss of service provision. Reputational damage.	4	4	16	SD Learning SD Adult Social Care	HoS Provider Services HoS Children's Innovation and Development (CID)	1. Workforce development to build internal knowledge and capacity.	2	3	6					
									2. Commissioning external business and marketing expertise				1. Deliver corporate websites project which includes new Services to Schools website.	HoS CID	May-14	launch Sep 14	
									3. Provider Service Project , with clear monitoring and review processes.				2. Ongoing discussion with Teaching School Alliances to co-construct school improvement offer	HoS Schools Partnerships	Jun-14	Commenced	
									4. Involving Partners and Service Users in service design.				3. Review of systems - management information, monitoring and reporting, course and consultancy bookings, customer relationship management	HoS CID	Sep-14		
									5. Developed appropriate budget monitoring systems and procedures				4. Agree structure and governance for maximising cross directorate trading opportunities	HoS CID	Jun-14	underway	
									6. Services to Schools Steering group				5. Secure an internal trading model for in-house provider services	HoS Provider Services	Apr-15	underway	A
									7. Training programme for Learning Directorate and Services to Schools representatives.								
7	Fragmented decision-making as budgets reduce	Increased insularity of Services. Not being brave enough to make radical change. Short-term decisions. Unplanned changes to thresholds in order to manage budget. Reduced quality of providers due to reduced budget. Decisions not integrated across Services.	Decreased quality of service provision. Risk of duplication of services and poor uninformed financial decisions.	3	4	12	Executive Director CFA	HoS Strategy and Partnerships (S&P)	1. Business Planning process	2	3	6	1. Develop joint commissioning strategies - Childrens Mental Health, Adult Mental Health, Special Educational Needs and/or Disability (SEND), Looked After Children (LAC), Accelerating Achievement, Older People.	SD S&C	Sep-14		G
									2. Joint commissioning strategies				2. Jointly-led reviews to inform business planning for years 2-5 (2016 onwards)	HoS S&P	Oct-14		A
									3. Increasing use of evaluation to inform decisions on services								
									4. Monthly CFA Management Team discussions on impact of business planning proposals								
									5. Delivery of joint service plans								
									6. CFA Strategic Commissioning principles utilised within business planning proposals								
									7. Business planning communications strategy								
8	Inflexibility of systems and processes prevent effective delivery of services	Current systems and processes not up to the pace required. Rigid and unresponsive services and processes. Lengthy inefficient recruitment processes. Council procurement processes place traded services at a disadvantage.	Poorer quality of service provision. Unacceptable staff vacancy levels placing children and adults at risk.	5	3	15	Executive Director CFA	LGSS	1. Issues raised with LGSS leads. Corporate project established to streamline arrangements	3	3	9	1. Development of LGSS service level agreements CCC/LGSS	LGSS	Apr-14		
									2. Participation Strategy enables feedback from practitioners to be heard and acted upon.				2. LGSS customer satisfaction survey	LGSS/CE			
									3. LGSS Service Assurance Team								
									4. LGSS quarterly performance reports								

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	Risk Description	Trigger	Result	Probability	Impact	Score	Owner	Contact	Key Controls	Probability	Impact	Residual Score	Description	Action Owner	Target Date	Revised Target Date	Action Status
9	Failure of IT systems to support the work effectively.	IT systems fail to meet the needs of the service, either by system failure, or functionality lagging behind business need.	Inspection failure. Increased risk of harm to children and adults. Less than optimum efficiency.	4	3	12	SD Strategy and Commissioning (S&C)	HoS Information Management and Systems Service (IM&S)	1. Individual Services Business Continuity Plans. 2. LGSS IT Disaster Recovery Plan 3. LGSS IT service resilience measures (backup data centre, network re-routing). 4. MI Systems Project to review systems, due to complete by April 2016 5. Improvement Programme developments to Children's Social Care System (ICS) 6. Version upgrades to incorporate latest product functionality	3	3	9	1. Consideration of procurement of new IT systems across CFA 2. Review and re-prioritise improvements to systems, reporting and mobile access for Children's Social Care System (ICS) in light of recent Ofsted inspection.	HoS IM&S	Apr-16 Sep-14		G G
10	Lack of integration of CFA services.	Lack of an integrated vision of joined up services. Growing gap between Locality Services and Social Care. Failure to manage interface between Social Care and Housing. Fragmentation of Mental Health Services. Data protection and information-sharing prevent an integrated Health and Social Care service.	Safeguarding risks to vulnerable children and adults. Risk of duplication of services - financial pressures resulting.	4	3	12	SD Strategy and Commissioning (S&C)	HoS Strategy and Partnerships S&P	1. Local Safeguarding Children's Board (LSCB) and Adult Safeguarding Board have oversight of multi agency safeguarding arrangements 2. Data sharing protocol agreed through Public Service Board 3. Close working between health and adult social care during major period of change for health and social care services for older people 4. Review of tier 3/4 services underway to review the extent of any gap between locality teams and social care and what is required to address the gap. Step up/down protocols agreed 5. Responsibility for Mental health commissioning consolidated with one Service Director 6. CFA New Blog supports communication 7. CFA Portfolio enables cross-CFA links and issues to be readily identified and acted upon. 8. Strategic Commissioning Framework	3	3	9	1. Deliver Family Review and Early Help Review 2. Jointly-led reviews to inform business planning for years 2-5 (2016 onwards)	SD E&P HoS S&P	Apr-15 Oct-14		A A
11	Regulatory non-compliance	Changes to Ofsted frameworks. Contractual arrangements not up-to-date or fit for purpose. Lack of adequate self-regulation. Inadequate staff training and awareness.	Financial impact. Increased attention from regulators	3	3	9	Executive Director CFA	HoS Performance Management and Quality Assurance (PMQA)	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, Government departments and professional bodies 3. Monitoring Officer role 4. Code of Corporate Governance 5. Community impact assessments required for key decisions	2	3	6	1. Review cascade arrangements for monitoring changes in legislation, making recommendations for improvement if necessary.	Head PMQA	May-14 Sep-14		
12	Insufficient capacity to manage organisational change	Lack of understanding of importance of communications in change management. Increasing complexities as budgets reduce - reductions in service provision impacts on other areas. Volume of change required.	Low morale and demotivated staff delivering poorer outcomes. Poorer services. Savings targets not delivered.	3	3	9	Executive Director CFA	HoS Strategy and Partnerships (S&P)	1. Strategy and Commissioning discussions to ensure resource focussed appropriately where needed (Business Improvement and Development Team, S&P) 2. CFA Management Team review business plans and check that capacity is aligned correctly. 3. Programme and project boards provide governance arrangements and escalation processes for any issues 4. Workforce Development strategies 5. Strategy and Commissioning work plans regularly reviewed by Management Team. 6. CFA Management Team monitors achievement of savings on a monthly basis - including ensuring capacity is geared appropriately	2	2	4	1. Management team to revive Strategy and Commissioning work plans 2. Change capacity agreed to deliver 2015/16 business plans through CFA portfolio	HoS S&P HoS S&P	Oct-14 Mar-15		G G
13	Care homes unable to accept local authority-funded residents	Insufficient capacity in the care home market and reduced spending power of the council	Care home rates rising beyond what the Council is able to pay, forcing more people to move or 'top-up' their care fees	4	4	16	SD Adult Social Care (ASC)	HoS Procurement	1. Agreement to coordinate procurement with the CCG to better control costs 2. Support for self-funders when purchasing care.	3	4	12	1. Develop a brokerage service across Health and Older People and Physical Disability	HoS Procurement	Apr-14 Sep-14		A



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14	Differing strategic decisions on Children's Health commissioning.	Financial situation within the NHS.	Disjointed service commissioning and poorer outcomes for residents	4	3	12	SD Strategy and Commissioning (S&C)	HoS Strategic Comm. Children's Health (CCH)	1. Clear communication strategies	3	3	9					
									2. Clear commissioning intentions, and refresh of relevant commissioning strategies for children's health joint commissioning								
									3. Cambridgeshire Community Services phase 2 transfer to CCC				1. Ongoing dialogue with CCG regarding interface between joint commissioning arrangements and CCG's 5 year plan regarding children's health services	HOS CCH	Apr-15		A
									4. Health and Wellbeing Board oversight				2. Performance monitoring of Child Health services.	Hos CCH	Sep-14		G
									5. Effective partnership arrangements. E.g. Children's Trust				3. Healthy Child Programme pilot	Hos CCH	Nov-14		G
									6. Delivery of Children and Adolescent Mental Health (CAMH) Strategy				4. Transfer of commissioning of health visiting and Family Nurse Partnership from NHS England to LA.	Hos CCH	Oct-15		G
									7. Joint commissioning arrangements in place								
15	Unsustainability of remaining CCS health services	Uncertainty created by new NHS arrangements. Children's Health commissioning decisions. Impact of procurement exercise for commissioning health services for older people on rest of Cambridgeshire Community Services (CCS). Uncertainty and instability following the service transfer to a new provider following procurement exercise for commissioning health services for older people. Responsiveness of CCS to demographic growth.	Poor services and poorer outcomes for children and young people. Delays in service provision for older people, damage to staff morale, recruitment and retention issues, financial and reputational risk to the council	3	4	12	SD Strategy and Commissioning (S&C)	HoS Strategic Comm. Children's Health/ HoS Service Development - OP	1. Shared data protocols	3	3	9	1. Consider options regarding future delivery of remaining Older People's Services	SD OP	Jul-14	Apr-15	G
									2. Robust performance management				2. Report to committee on recommendations for future of CCS services	SD OP	Sep-14		G
									3. Engage and inform children's health joint commissioning decisions								
									4. Section 75 monitoring procedures								
									5. NHS Trust Development Agency commitment to viability of CCS and involvement.								
									6. Dialogue is taking place with the CCG to enable early communication. A review of service provision is underway which will consider transfer of services back to the Council.Early meetings with the new provider arranged.								
16	Failure to meet our performance targets	Declining school performance. Increasing numbers of children in care. Pressure on safeguarding services undermines ability to meet safeguarding quality standards. Young people fail to progress into employment. Increasing demand for social care packages for older people and younger adults with disabilities. Demographic pressures lead to an increase in demand on health and social care services for older people and long term conditions	Failure to achieve core outcomes for our population. Increased attention from regulators. Increased costs arising from regulatory failures. Increasing numbers of hospital delays for older people resulting in financial pressures and reputational damage, and poor outcomes for service user. Poor outcomes for children and adults.	5	4	20	SD S&C	HoS Performance Management and Quality Assurance (PM&QA)	1. Performance dashboards for Older People, Learning, Children's Social Care, Enhanced and Preventative, considered regularly at Performance Boards	4	3	12					
									2. Metrics and workload management tools				1. Develop and implement our School Improvement Strategy	SD Learning	Jan-14	Sep-14	
									3. Children's Safeguarding Improvement Board oversight				2. Develop action plan arising from the School Improvement Peer Review	SD Learning	Apr-14	Sep-14	
									4. Accelerating Achievement Strategy				3. CFA wide Quality Assurance Strategy	HoS PM&QA	Apr-14	Sep-14	
									5. Demand management strategies								
									6. Audit and quality assurance frameworks								
									7. Raising of Participation Age Strategy								
									8. Robust remedial plans and performance management arrangements now in place for older people resulting in 50% improvement in performance. Further improvement planned through introduction of local targets and discharge to assess.				4. Better Care Fund preparatory work	SD OP	Apr-14	Apr-15	
									9. External oversight and peer review.								

SCORING MATRIX (see Risk Scoring worksheet for descriptors)

VERY HIGH (V)	5	10	15	20	25
HIGH (H)	4	8	12	16	20
MEDIUM (M)	3	6	9	12	15
LOW (L)	2	4	6	8	10
NEGLECTIBLE	1	2	3	4	5
IMPACT / LIKELIHOOD	VERY RARE	UNLIKELY	POSSIBLE	LIKELY	VERY LIKELY

Red scores - excess of Council's risk appetite – action needed to redress, quarterly monitoring

Amber scores – likely to cause the Council some difficulties – quarterly monitoring

Green scores – monitor as necessary