

CCC Customer and Digital Services

Risk		01. Corporate and Digital Services is not able to support other directorates with the delivery of service									
Likelihood	5										
	4										
	3										
	2										
	1										
		1	2	3	4	5					
		Consequence									

Risk		02. IT line of business systems and Web/Digital services do not enable efficient and effective service delivery																											
Likelihood	5											<div>Risk Owners</div> Sue Grace	<div>Current Score</div>	12	<div>Last Review</div>	29/10/2019													
	4												<div>Target Score</div>		<div>Next Review</div>	31/12/2019													
	3												<div>Previous Score</div>	12															
	2												<div>Triggers</div>																
	1												<div>Likelihood Factors (Vulnerability)</div>																
		1	2	3	4	5							<div>Potential Consequences</div>																
		Consequence										01. A legacy system that is reported as not delivering as required. 02. A system does not provide the data that is required for effective decision making. 03. A service reports that there are repeated failures with a system. 04. A more effective system is utilized within a partner agency. 05. Information is not made available in a specific format for customers.						01. Reliance on LGSS and Third Party suppliers to restore key systems or provide a solution to the problem. 02. Need for service engagement to identify the nature of the problem and to test solutions.						01. Increased resources are required to address the ongoing problems. 02. A service cannot function effectively due to system failure. 03. There is a failure to meet required reporting requirements.					

Risk		03. The Council does not respond to customer contact in a consistent, efficient and effective way									
Likelihood	5										
	4										
	3										
	2										
	1										
		1	2	3	4	5					
Consequence											
		Risk Owners					Sue Grace		Current Score		8
									Target Score		
									Previous Score		8
		Triggers					Likelihood Factors (Vulnerability)			Potential Consequences	
		01. A sudden temporary unplanned loss of high numbers of staff, resulting in an inability to handle incoming contact volumes to timescales determined by the corporate customer service standards. 02. A sudden permanent loss of high numbers of staff/managers, resulting in an inability to handle incoming contact volumes to timescales determined by the corporate customer service standards - need to recruit. 03. Large numbers of new staff present a vulnerability in relation to the efficiency gains associated with the operating model - inability to cross skill 04. Inability to resolve information requests at the first point of contact due to poor or absent online information. 05. Loss of a key or multiple IT systems or a move into Business Continuity mode - there will be a period when the quality of service delivered will be affected by downtime. 06. Loss of supplier.					01. Reliance on LGSS to restore key systems - different operational hours. Response timescales present a potential gap in service. 02. Having appropriately skilled and number of personnel in place at the right time to be able to put recovery plans into place to respond to both planned and unplanned events. 03. The ability to resource more than one critical event at a time.			01. Underperformance/inability to meet performance indicators. 02. Reputational impact - complaints, longer wait times for services to be delivered - first response and end to end, site closures, reduced operating times and reduced offerings for some services. 03. Rise in staff absence/stress, increase in leavers.	

Controls	Adequacy	Critical Success
01. Daily performance catch up meetings in place to review workload, staffing levels and daily priorities.	Good	
02. Daily catch up meeting procedures, which details actions that can be taken to address underperformance.	Good	
03. Operational Performance Management Meetings are scheduled monthly to review the position to date and activities/pressures over the coming 6 weeks.	Good	
04. Effective management of of resourcing in the Contact Centre using the scheduling system and resource calendar - daily through to long term forecasting.	Good	
05. Proactive reviews of IVR messaging to ensure relevance of content, to maximise first contact resolution and to promote the digital first agenda.	Good	
06. SLAs in place for all commissioned services with regular review meetings scheduled to discuss performance levels and to promote joint working on a continuous improvement plan.	Good	
07. Qualitative measures are in place to audit the management of contacts into Customer Services - case audits, monthly reports and mandatory data and a call coaching programme are in place.	Good	
08. CMS real time performance reporting tools are in place.	Good	
09. Production of an executive performance report monthly.	Good	
10. Staffing Business Continuity plans are in place.	Good	
11. Staff Welfare scheme.	Good	
12. Presence of a duty manager - daily and covering all operational opening times	Good	

Action Plan	Responsibility	Target Date
-------------	----------------	-------------

**Risk Path:** CCC Customer and Digital Services/Cambridgeshire County Council/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

## Business Improvement and Development

Risk		01. The data in the Council's systems is not sufficient to produce reports as required by the business and / or regulators									
Likelihood	5										
	4										
	3			X							
	2										
	1										
		1	2	3	4	5					
		Consequence									
		Risk Owners					Tom Barden				
		Current Score					9				
		Target Score									
		Previous Score					9				
		Triggers							Likelihood Factors (Vulnerability)		
		01. Reports are inaccurate. 02. Reports are incomplete.							01. The quality of the data in the system. 02. Whether the system is configured correctly. 03. Whether the system accurately captures the processes in the service. 04. Changes to specification of data required by government / regulators.		
									Potential Consequences		
									01. Failure to meet statutory or regulatory duties in submitting information. 02. Services not able to manage their business.		

Controls	Adequacy	Critical Success
01. BI participation in systems change projects.	Good	
02. Change control processes.	Good	
03. Data quality reports for services.	Good	
04. System development boards (e.g. Adults Digital Development Board).	Good	
05. Use of spreadsheets / other ad-hoc methods 'off-system'.	Good	

Action Plans	Responsibility	Target Date
01. Liquidlogic implementation (children's services) - will improve data quality and system configuration, introduce new.	Tom Barden	31/01/2020
02. Total Mobile implementation (reablement) Will improve data quality and integration with other adults systems.	Tom Barden	31/01/2020

**Risk Path:** Business Improvement and Development/Cambridgeshire County Council/Cambridgeshire County Council.

**Risk Category:**

**Linked Objective(s):**

Risk		02. BI is unable to extract the right information from systems at the right time														
Likelihood	5															
	4															
	3			X												
	2															
	1															
		1	2	3	4	5										
	Consequence															
Risk Owners		Tom Barden					Current Score		9		Last Review		31/10/2019			
							Target Score				Next Review		31/12/2019			
							Previous Score		9							
Triggers							Likelihood Factors (Vulnerability)					Potential Consequences				
01. Ofsted / other regulator inspects and information unable to be provided. 02. Reports not provided to business when required. 03. Reports not provided to government as required.							01. Multiple systems and extraction tools, data 'siloe'd' in each system. 02. Dependent on LGSS / third parties to do some extraction or prepare the data. 03. Data migrations should bring across all relevant data.					01. Council does not meet statutory requirements for information submission. 02. Council does not meet regulatory requirements for information submission. 03. Services not able to manage their business.				

Controls	Adequacy	Critical Success
01. Work plan with LGSS BI	Good	
02. Ensure part of professional groups to get updates to statutory requirements.	Good	
03. BI participation in systems change projects.	Good	

Action Plans	Responsibility	Target Date
01. IT Strategy workstream 4 - 'data driven decision-making' . 02. To develop improved data layer and front-end visualisations.	Tom Barden	31/03/2020

**Risk Path:** Business Improvement and Development/Cambridgeshire County Council/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

Risk		03. BID is not able to support other directorates as required by the Council									
Likelihood	5										
	4										
	3			X							
	2										
	1										
		1	2	3	4	5					
		Consequence									
		Risk Owners					Amanda Askham				
							Current Score		9		
							Target Score				
							Previous Score		9		
		Triggers					Likelihood Factors (Vulnerability)			Potential Consequences	
		01. Lack of sufficient capacity in team. 02. Lack of sufficient skills in team. 03. Lack of sufficient resilience in team. 04. Lack of effective prioritisation by services.					01. Issues that affect recruitment / retention. 02. Funding.			01. Failure to deliver effective services. 02. Failure to deliver transformation. 03. Reputational damage to Council.	

Controls	Adequacy	Critical Success
01. Business Development and Improvement Board to discuss prioritisation.	Good	
02. Capacity and work monitoring processes in Transformation and BI.	Good	
03. Business Continuity Planning.	Good	

Action Plans	Responsibility	Target Date
--------------	----------------	-------------

**Risk Path:** Business Improvement and Development/Cambridgeshire County Council/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

Risk		04. Change and transformation of services is not successful to meet future estimated levels of resources in the Business Plan												
Likelihood	5													
	4													
	3			X										
	2													
	1													
		1	2	3	4	5								
	Consequence													
Risk Owners		Amanda Askham					Current Score		9		Last Review			
							Target Score				Next Review			
							Previous Score				04/02/2020			
Triggers							Likelihood Factors (Vulnerability)				Potential Consequences			
01. Services do not change to meet current demands. 02. Projects and programmes stall or do not make sufficient impact.											01. Statutory obligations not delivered. 02. The Council does not work in a transformed way. 03. Over-spend on budget.			

Controls	Adequacy	Critical Success
01. Transformation Team established to support change in services.	Good	
02. Transformation Fund to ensure access to resources.	Good	
03. Communications with staff about innovation and opportunities for development.	Good	
04. GPC monitor transformation programme monthly as part of Integrated Resources and Performance Report.	Good	
05. Project and programme governance established to oversee delivery.	Good	
06. Rigorous risk management embedded in project and programme governance.	Good	
07. Members involved in transformation.	Good	

Action Plans	Responsibility	Target Date
--------------	----------------	-------------

**Risk Path:** Business Improvement and Development/Cambridgeshire County Council/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

## Resources

Risk		01. Budgets are not delivered leading to Council wide material overspend									
Likelihood	5										
	4										
	3										
	2										X
	1										
		1	2	3	4	5					
		Consequence									
		Risk Owners					Tom Kelly		Current Score		10
									Target Score		
									Previous Score		
		Triggers					Likelihood Factors (Vulnerability)			Potential Consequences	
		1. Pressures not identified. 2. Budget assumptions are inaccurate. 3. Reduction in traded services/income. 4. Lack of management information. 5. Delegated Authority becomes problematic. 6. Lack of timely corrective action.								1. Reactive in-year savings. 2. Statutory responsibilities unable to be delivered. 3. Reputational damage. 4. Performance impact	

Controls	Adequacy	Critical Success
01. Robust budget planning according to timescales aligning with political governance.	Good	
02. Regular and accurate finance monitoring reports to track budget, savings, activity and performance.	Good	
03. Adherence to procurement processes and controls to ensure that best value is achieved from contracts.	Good	
04. Increased diversity of investment portfolio to generate additional income.	Good	
05. Implement delegated authority model for Officer spend (including with Property Services within Resources).	Good	
06. Regular meetings between finance advisors and budget holders; challenge to forecasts & finance cross-checks.	Good	
07. Wider financial mitigations and general reserve balances.	Good	

Action Plans	Responsibility	Target Date
01. Monthly forecasting and monitoring.	Tom Kelly	31/03/2020
02. Member oversight - GPC and service committees.	Tom Kelly	31/03/2020
03. Implement Delegated Authority controls.	Tom Kelly	30/11/2019

**Risk Path:** Resources/Cambridgeshire County Council/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**



Risk		02. Resources directorate service plans are not delivered														
Likelihood	5															
	4															
	3															
	2				X											
	1															
		1	2	3	4	5										
	Consequence															
Risk Owners		Tom Kelly					Current Score		6		Last Review					
							Target Score				Next Review		06/02/2020			
							Previous Score									
		Triggers					Likelihood Factors (Vulnerability)					Potential Consequences				
		01. Insufficient staffing - recruitment and retention pressures. 02. Increasing workload pressure and competing priorities. 03 .Processes not documented or monitored sufficiently.										01. Lack of support to budget holders. 02. Reporting not produced or inaccurate. 03. Business planning work delayed or not completed 04. Financial mismanagement. 05. Adverse regulatory opinion. 06 .Decisions made that contravene the Council's constitution. 07. Reputational damage.				

Risk		03. Statutory or legislative obligations are not delivered										
Likelihood	5						Risk Owners	Tom Kelly	Current Score	10	Last Review	
	4											
	3						Previous Score					
	2										Triggers	Likelihood Factors (Vulnerability)
	1						01. Business disruption. 02. Lack of management oversight. 03. Poor financial management. 04 .Managing statutory compliance on all Council assets to offer staff a safe place of work.		01. Harm to people. 02. Criminal or civil action. 03. Fines or penalties. 04. Reputational damage. 05. Criminal or civil action.			
		1	2	3	4	5						
	Consequence											

Controls	Adequacy	Critical Success
01. Monthly review and escalation of Property Compliance highlight report.	Good	
02. Robust Timetable for publishing accounts.	Good	
03. Risk prevention and compliance checks on all buildings to ensure statutory obligations are met.	Good	

Action Plans	Responsibility	Target Date
01. Monitor compliance timetable and implications of risk.	Tom Kelly	31/03/2020

**Risk Path:** Resources/Cambridgeshire County Council/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

Risk		04. Staffing resources are not sufficient to meet business need									
Likelihood	5						Risk Owners Tom Kelly	Current Score Target Score Previous Score	12	Last Review Next Review	06/02/2020
	4										
	3				X						
	2							Triggers 01. Difficulty recruiting. 02. Long term absence. 03. Lack of training/capability, 04. Savings targets, restructures, efficiencies impact. 05. Relocation risks to retention.	Likelihood Factors (Vulnerability)	Potential Consequences 01. Overworked staff and low morale. 02. Increase sickness/absence. 03. High staff turnover. 04. Reputational damage.	
	1										
		1	2	3	4	5					
Consequence											

Risk		05. IT and business systems resources are not sufficient to meet business need.									
Likelihood	5										
	4										
	3				X						
	2										
	1										
		1	2	3	4	5					
		Consequence									
		Risk Owners					Tom Kelly		Current Score		9
									Target Score		
									Previous Score		
		Triggers					Likelihood Factors (Vulnerability)			Potential Consequences	
		01. Poor implementation of upgrades or new systems. 02. Issues with ERP Gold. 03. Issues with K2.								01. Unable to provide effective and timely service delivery. 02. Additional costs for business changes. 03. System resolution matters distract from core purposes.	

Controls	Adequacy	Critical Success
01. Communication of issues.	Good	
02. Procurement and involvement in development projects (replacement of K2).	Good	
03. Key user involvement in User Acceptance Testing.	Good	
04. Consider payment dependencies of systems.	Good	

Action Plans	Responsibility	Target Date
01. ERP user financial improvement workstreams.	Tom Kelly	31/12/2019
02. Seat on LGSS Business Systems Board.	Tom Kelly	31/03/2020
03. Payment alternatives - GPC / CHAPS.	Tom Kelly	31/03/2020
04. Review alternative property asset management software. Techforge is currently looking to be the preferred software and complies with PCC model.	Tom Kelly	28/02/2020

**Risk Path:** Resources/Cambridgeshire County Council/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

Risk		06. Fraud or corruption occurs									
Likelihood	5						Risk Owners Tom Kelly	Current Score Target Score Previous Score	3	Last Review Next Review	06/02/2020
	4										
	3										
	2							Triggers 01. Inappropriate staff in key positions. 02. Ineffective internal controls in financial processes. 03. Lack of management review.	Likelihood Factors (Vulnerability)	Potential Consequences 01. Financial loss. 02. Expensive investigations. 03. Damage to working relationships. 04. Expenses/mileage abuse. 05. Reputational damage.	
	1			X							
		1	2	3	4	5					
	Consequence										

Controls	Adequacy	Critical Success
01. Internal Audit.	Good	
02. Whistleblowing & other existing policies & procedures.	Good	
03. Robust financial procedure rules.	Good	
04. Professional Accreditations / Registrations with Chartered bodies.	Good	

Action Plans	Responsibility	Target Date
01. Fraud awareness Ethical awareness (whole service briefing).	Tom Kelly	28/02/2020
02. Annual review of financial regulations.	Tom Kelly	31/05/2020

**Risk Path:** Resources/Cambridgeshire County Council/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**