

# Cambridgeshire County Council Appendix 9

14/07/2017 08:34:35

Risk		01. Vulnerable children or adults are harmed												
Likelihood	5						Risk Owners	Wendi Ogle-Welbourn	Current Score	15	Last Review	01/07/2017		
	4					Target Score							Next Review	30/09/2017
	3													
	2					Triggers	Likelihood Factors (Vulnerability)	Potential Consequences						
	1								1. Council's arrangements for safeguarding vulnerable children and adults fail and someone dies or is seriously harmed 2. A serious case review is commissioned because a child or a vulnerable adult dies or is seriously harmed and abuse or neglect is thought to be involved					
		1	2	3	4	5								
Consequence														

5. Whistleblowing policy, robust Local Authority Designated Officer arrangements, complaints process, all of which inform practice	Good
6. Robust process of internal Quality Assurance, including case auditing and monitoring of performance	Good
7. Multi-Agency Safeguarding Hub (MASH) supports timely, effective decision making between partners	Good
8. Regular monitoring of social care providers	Good

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

**Risk Category:**

**Linked Objective(s):**

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Risk		02. The Business Plan (including budget and services) is not delivered									
Likelihood	5										
	4			X							
	3										
	2										
	1										
		1	2	3	4	5					
Consequence											
							Risk Owners	Chris Malyon	Current Score	12	Last Review
									Target Score		01/07/2017
									Previous Score		30/09/2017
							Triggers	Likelihood Factors (Vulnerability)			Potential Consequences
							1. The Council spends more resources than it has by the end of the year and does not have sufficient reserves to cover a minor deviation 2. Services are not delivered at the quantity or to the quality required as per the plan	Current forecast is for £2m overspend Risk in previous register focused on waste savings Risk in previous register focused on pension fund being under-funded			1. Reactive in-year savings or in worst-case, Government intervention 2. The Council does not deliver its statutory responsibilities, leading to judicial review 3. People do not receive the services to which they are entitled or require, and may be harmed as a result 4. Reputational damage

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

Action Plans	Responsibility	Target Date
1. Integrated Resources and Performance Report  See information in monthly Integrated Resources and Performance Report about remedial action required to correct over- or underspends, or below-target performance	DCEX	31/03/2018
2. Finance and Performance Reports  Detail is available in the monthly Finance and Performance Reports (which are accessible via hyperlinks in IRPR)	DCEX	31/03/2018

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

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

**Risk Category:**

**Linked Objective(s):**

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Risk		03. Personal data is inappropriately accessed or shared										
Likelihood	5						Risk Owners	Sue Grace	Current Score	9	Last Review	01/07/2017
	4								Target Score		Next Review	30/09/2017
	3			X					Previous Score			
	2						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
	1						1. Criminal access to data (e.g. cyber-attack, break-in) 2. Accidental data breach (e.g. email sent to wrong recipient)				1. Harm for individuals 2. Loss of trust in the Council 3. Penalties from regulator	
		1	2	3	4	5						
Consequence												

Controls	Adequacy
1. Mandatory information security training for all staff	Good
2. Further training available and encouraged	Good
3. Regular communications to all staff and in key locations (e.g. printers)	Good
4. Strategic Information Management Board, including Senior Information Risk Owner (member of SMT) and Caldicott Guardian, oversee all information governance activity	Good
5. Comprehensive Information Management Policy Framework	Good
6. Procedure for notifying, handling and managing data breaches	Good

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

7. Data breaches and performance indicators reported to Information Management Board and SMT	Good
8. IT security – data encryption, hardware firewalls, network traffic monitoring, inbound mail monitoring, spam filters, web content filtering, anti-virus software	Good

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

**Risk Category:**

**Linked Objective(s):**

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Risk		04. A serious incident prevents services from operating									
Likelihood	5										
	4										
	3										
	2										
	1										
		1	2	3	4	5					
		Consequence									
		Risk Owners					Sue Grace		Current Score		12
									Target Score		
									Previous Score		
		Triggers					Likelihood Factors (Vulnerability)			Potential Consequences	
		1. Loss of large quantity of staff or key staff 2. Loss of premises (including temporary denial of access) 3. Loss of IT, equipment or data 4. Loss of a supplier 5. Loss of utilities or fuel 6. Pandemic								1. Inability to deliver services to vulnerable people, resulting in harm to them 2. Inability to meet legislative and statutory requirements 3. Increase in service demand 4. Reputational damage	

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

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

6. Resilient Internet feed	Good
7. Business continuity testing	Good

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

**Risk Category:**

**Linked Objective(s):**

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Risk		05. The Council does not deliver its statutory or legislative obligations										
Likelihood	5						Risk Owners	Quentin Baker	Current Score	8	Last Review	01/07/2017
	4					Target Score			Next Review		30/09/2017	
	3					Previous Score						
	2				X		Triggers	Likelihood Factors (Vulnerability)	Potential Consequences			
	1											
		1	2	3	4	5						
	Consequence						1. Major business disruption 2. Lack of management oversight 3. Negative inspection judgement 4. Poor financial management					

Controls	Adequacy
1. Monitoring Officer role	Good
2. Code of Corporate Governance	Good
3. Community impact assessments required for key decisions	Good
4. Business Planning process used to identify and address changes to legislative/regulatory requirements	Good
5. Projects and training to ensure the implementation of legislative changes (e.g. Care Act)	Good
6. Constitutional delegation to Committees and SMT	Good
7. Health and safety policies and processes	Good

Action Plans	Responsibility	Target Date
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8. Preparation and improvement undertaken for inspections by regulators (e.g. Ofsted)	Good
9. Service managers kept up to date with changes by Monitoring Officer / LGSS Law, Government departments, professional bodies, involvement in regional and national networks	Good

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

**Risk Category:**

**Linked Objective(s):**

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Risk		06. Our resources (human resources and business systems, CCC and providers) are not sufficient to meet business need												
Likelihood	5						Risk Owners	Gillian Beasley	Current Score	12	Last Review	01/07/2017		
	4					Target Score							Next Review	30/09/2017
	3													
	2						Triggers	Likelihood Factors (Vulnerability)	Potential Consequences					
	1					1. LGSS services not sufficient in quantity or quality 2. Key business systems are unavailable or insufficient 3. The Council is unable to recruit staff with the right skills and experience 4. Providers / partners are unable to recruit staff with the right skills and experience				Cost of living in some areas of Cambridgeshire is particularly high Key business system developments underway (Agresso / Mosaic)	1. Failure to deliver effective services 2. Regulatory criticism / sanctions 3. Civil or criminal action 4. Reputational damage to the Council 5. Low morale, increased sickness levels			
		1	2	3	4	5								
Consequence														

Controls	Adequacy
1. LGSS Joint Committee structure including CCC councillor representation, LGSS Overview and Scrutiny Working Group including CCC councillor representation, Chief Executive sits on LGSS Management Board	Good
2. LGSS director representation at SMT	Good
3. LGSS Strategic Plan, Strategy Map and Improvement Activities identified	Good
4. Deputy Chief Executive responsible for managing LGSS / CCC relationship	Good
5. Robust performance management and development practices in place for staff	Good
6. Flexible terms and conditions of employment	Good

Action Plans	Responsibility	Target Date
1. Workforce strategy	LGSS MB	30/09/2017
1. LGSS Management Board will review the workforce strategy as part of the Transformation Programme		
2. Production of common training programme	LGSS	30/09/2017
2. Production of common training programme by OWD taken from service needs and compiled from PADP outcomes (annually)		
3. Annual employee survey	LGSS SAC&S	30/09/2017
3. Annual employee survey to feed into LGSS service improvement plans		
4. Reference to the SLA and KPI review per service line (new plan for 2017/18 being produced)	DCEX	31/07/2017
5. The appropriate signposting of the other LGSS audits and associated recommendations e.g Payroll etc	DCEX	31/07/2017
6. Cross referencing customer satisfaction with service delivery standards	DCEX	31/07/2017

7. Employee support available	Good
8. Cross-directorate Social Care Strategic Recruitment and Workforce Development Board and Social Work Recruitment and Retention Task and Finish Group proactively address issue of social care recruitment and retention	Good
9. IT resilience arrangements	Good

7. ERP Gold implementation	DCEX	30/09/2017
8. Mosaic implementation	DCEX	30/06/2018

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

**Risk Category:**

**Linked Objective(s):**

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Risk		07. The infrastructure and services (e.g. transport, education, services for children, families and adults) required to meet the current and future needs of a population is not provided at the right time									
Likelihood	5										
	4										
	3					X					
	2										
	1										
		1	2	3	4	5					
		Consequence									
		Risk Owners					Graham Hughes		Current Score		12
									Target Score		
									Previous Score		
		Triggers					Likelihood Factors (Vulnerability)			Potential Consequences	
		1. Insufficient funding to meet needs received from •Growth funds •Section 106 •Community infrastructure levy •School infrastructure funding 2. Partnerships do not deliver new infrastructure / services to meet needs of population					Significant infrastructure funding available from Greater Cambridge Partnership / City Deal, and Combined Authority			1. Impacts on transport, economic, environmental and social outcomes 2. Greater borrowing requirement to deliver infrastructure which is unsustainable financially	

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

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

6. Co-ordination of requirements across partner organisations to secure viable shared infrastructure	Good
7. Annual school capacity return to Department for Education seeks to ensure maximum levels of funding for basic need	Good
8. Maintain dialogue with Cambridge City Council and South Cambridgeshire District Council to input into Community Infrastructure Level prior to the adoption of the Local Plan (anticipated 2017)	Good

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

**Risk Category:**

**Linked Objective(s):**

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Risk		08. The Council is a victim of major fraud or corruption									
Likelihood	5										
	4										
	3										
	2				X						
	1										
		1	2	3	4	5					
		Consequence									
		Risk Owners					Current Score		6		
		Gillian Beasley					Target Score				
							Previous Score				
		Triggers					Likelihood Factors (Vulnerability)			Potential Consequences	
		1. The Council loses money through fraudulent action or corrupt activity 2. Partners lose money 3. Council is unable to deliver its obligations								1. Financial loss 2. Reputational damage 3. Regulator sanctions	

Controls	Adequacy
1. Financial Procedure rules	Good
2. Anti Fraud and Corruption Strategy incl Fraud Response Plan	Good
3. Whistle blowing policy	Good
4. Codes of conduct	Good
5. Internal control framework	Good
6. Fraud detection work undertaken by Internal Audit, Counter Fraud Team in LGSS	Good
7. Awareness campaigns	Good
8. Anti Money Laundering policy	Good

Action Plans	Responsibility	Target Date
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9. Publication of spend data	Good
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**Risk Path:** Cambridgeshire County Council/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

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Risk		09. Our partnerships are not successful in delivering the intended outcomes										
Likelihood	5						Risk Owners	Gillian Beasley	Current Score		Last Review	01/07/2017
	4											
	3						Previous Score					
	2											
	1											
		1	2	3	4	5						
Consequence						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences		
						1. Objectives of partnerships are not achieved 2. Partnership is not able to work together				1. Negative impact on outcomes for people in Cambridgeshire		

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

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

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

**Risk Category:**

**Linked Objective(s):**

Risk		10. Inequalities in the county continues									
Likelihood	5										
	4										
	3										
	2										
	1										
		1	2	3	4	5					
		Consequence									
							Risk Owners		Gillian Beasley		
							Current Score		12		
							Target Score				
							Previous Score				
							Triggers		Likelihood Factors (Vulnerability)		Potential Consequences
							1. Health, economic, educational and other inequalities increase in Cambridgeshire 2. Failure across Council services and partnerships to target or promote services to disadvantaged or vulnerable populations, or in areas of deprivation, appropriately for local need				1. People living in deprived areas in the county do not have the same life chances as people living in non-deprived areas, in terms of health, educational achievement, income and other areas 2. People from minority groups living in the county do not have the same life chances as people living in non-deprived areas, in terms of health, educational achievement, income and other areas

Controls	Adequacy
1. Council's business plan and community impact assessments for change to service	Good
10. Cambridgeshire Older People Strategy	Good
2. Committee monitoring of indicators for outcomes in areas of deprivation	Good
3. Joint Strategic Needs Assessment, Annual Public Health Report, and Joint Health and Wellbeing Strategy	Good
4. Health Committee Priority on health inequalities, targeting of Public Health programmes	Good
5. Child Poverty Strategy	Good

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

6. Targetted services e.g: Travellers Liaison, Traveller Health Team, Chronically Excluded Adults Team, etc.	Good
7. Buy with confidence approved trader scheme.	Good
8. Wisbech 20:20 programme	Good
9. Cambridgeshire 0-19 Education Organisation Plan	Good

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

**Risk Category:**

**Linked Objective(s):**

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Risk		11. Change and transformation of services is not successful										
Likelihood	5						Risk Owners	Chris Malyon	Current Score		Last Review	01/07/2017
	4											
	3						Triggers	Likelihood Factors (Vulnerability)	Potential Consequences			
	2									1. Services do not change to meet current demands 2. Projects and programmes stall or do not make sufficient impact	Any issues with specific projects that might affect the score	1. Statutory obligations not delivered 2. The Council does not work in a transformed way 3. Over-spend on budget
	1											
		1	2	3	4	5						
	Consequence											

Controls	Adequacy
1. Transformation Team established to support change in services	Good
2. Transformation Fund to ensure access to resources	Good
3. Communications with staff about innovation and opportunities for development	Good
4. GPC monitor transformation programme monthly as part of Integrated Resources and Performance Report	Good
5. Project and programme governance established to oversee delivery	Good
6. Rigorous risk management embedded in project and programme governance	Good

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

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

**Risk Category:**

**Linked Objective(s):**

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