

**Cambridgeshire County Council Summary Corporate Risk Register
November 2011**

Risk Number	Risk Title	Risk Description	Probability	Impact	Overall Risk Score	Direction of travel	Risk Owner	
							SMT Member	Portfolio Holder
1	IPP Formulation and Delivery	<p>Triggers:</p> <p>1. Failure to have clear political direction, priorities, vision and values. Organisation not sufficiently aligned to face challenges.</p> <p>2. Assumptions in Integrated Plan regarding the wider economic situation are inaccurate.</p> <p>3. Failure to plan effectively (with partners) in order to deliver against approved Integrated Plan in terms of efficiency savings or transformation</p> <p>Result: The Council is unable to achieve required savings and fails to meet statutory responsibilities or budget targets; need for reactive in-year savings; adverse effect on delivery of outcomes for communities</p>	4	4	16	↔	Chief Executive	Leader
2	Shared Services programme	<p>Triggers:</p> <p>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>2. failure to adapt to likely significant changes in the way the authority manages and delivers its services.</p> <p>3. failure to sign up additional customers to LGSS and delivery of the LGSS savings dependent on this.</p> <p>4. failure to manage LGSS service delivery to CCC</p> <p>Result: failure of the Local Government Shared Service (LGSS) programme and adverse impact on support service delivery and budget position</p>	3	3	9	↔	Director of Finance	Cabinet Member Resources and Performance

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3	Workforce reductions, recruitment and retention	<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, industrial action</p>	3	3	9	↔	Director of Human Resources and Organisational Development	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>	3	4	12	↓	Director of Finance	Cabinet Member Resources and Performance

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5	Failure of Partnership working	Triggers: 1. Governance arrangements to support statutory partnership arrangements (including LEP, Health & Wellbeing Board, Police and Crime Panel) are ineffective 2. Disagreement between partners over prioritisation/incompatibility of local priorities, failure to reach (consensus) decisions, 3. Lack of resources - financial, people 4. Failure to adhere to statutory or legislative requirements	3	3	9	↔	Chief Executive	Leader
		Result: Reduced ability for partners to work together effectively and efficiently, and target limited resources to achieve shared outcomes Trigger: General economic downturn (reduced market liquidity and credit availability) the dismantling of the regional planning structure and constraints placed on growth by the A14.						
8	Housing growth	Result: Housing growth fails to meet to meet housing need, shortfall in affordable housing, re-emergence of unsuitable sites made subject to planning applications, and lack of co-ordinated strategic planning. New communities cannot be delivered in their totality, undermining their suitability viability and the provision of necessary infrastructure	4	4	16	↔	Executive Director, Environment Services	Cabinet Member for Growth and Planning

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9	Infrastructure funding shortage	<p>Trigger: Insufficient funding obtained from a variety of sources, including Government funds, Section 106 payments and other planning contributions, e.g. Community Infrastructure Levy (CIL). 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>	4	4	16	↔	Executive Director, Environment Services	Cabinet Member for Growth and Planning
10	Cambridgeshire Guided Busway	<p>Trigger: Settlement of Busway disputes exceeds contingency allowances already made</p> <p>Result: Financial impacts of additional costs to Council above contingency</p>	1	4	4	↔	Executive Director, Environment Services	Cabinet Member for Growth and Planning
13	Localism and 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>	3	3	9	↑	Executive Director Community and Adult Services	Cabinet Member for Community Engagement
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>	3	3	9	↔	Executive Director Community and Adult Services	Cabinet Member for Community Engagement

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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 a child (including in Domestic Violence situations) or an adult receiving services from the Council</p>	3	4	12	↔	Chief Executive, Executive directors Children's and Young People's Services / Community and Adult Services	Leader of the Council, Cabinet Member for Children and Young People's Services, Cabinet Member for Adult Services
16	Resourcing Provision for children and adults	<p>Trigger: Unanticipated Increase in needs of children and adults</p> <p>Result: the needs of children and adults cannot be met with the resultant adverse impact on strategic objectives</p>	4	3	12	↑	Executive Director Children's and Young People's Services/ Executive Director Community and Adult Services	Cabinet Member for Children and Young People's Services, Cabinet Member for Adult Services
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>	4	3	12	↔	Executive Director Community and Adult Services	Cabinet Member for Adult Services

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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>	3	4	12	↓	LGSS Director of Operations	Cabinet Member for Resources and Performance
20	Non compliance with legislative and regulatory requirements	<p>Triggers:</p> <ol style="list-style-type: none"> 1. Staff unaware of changes to legislative/regulatory requirements 2. Lack of staff training 3. Lack of management review <p>Results:</p> <ol style="list-style-type: none"> 1. Adverse reports from regulators 2. Criminal or civil action against the Council 3. Reputational damage 	2	4	8	↓	Chief Executive	Cabinet Member for Resources and Performance

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							SMT Member	Portfolio Holder
21	Business Disruption	Triggers: 1. Industrial action 2. Pandemics 3. Adverse weather 4. Loss of use of assets 5. Loss of 'utility' services	4	3	12	↔	Head of Service Transformation	Cabinet Member for Resources and Performance
		Results: 1. Death or injury to vulnerable people for whom the Council has a responsibility 2. The Council is unable to meet legislative and statutory requirements						
22	Cambridgeshire Future transport	Triggers 1. The programme fails to identify and generate sufficient efficiency savings 2. CCC is committed in principle to pooling budgets however uncertainty over project benefits may delay agreement from partners	3	3	9	↔	Director of Strategy and Development	Cabinet Member for Growth and Planning
		Results Inability to overcome funding constraints and meet accessibility requirements of Cambridgeshire residents						

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

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8. Integrated performance and resource reporting
 - a. Monthly progress against savings targets
 - b. Corporate Scorecard monitors performance against priorities
 - c. Budget holders monthly meetings with LGSS Finance Partner/External Grants Team, producing BCR
 - d. Regular meetings with Director of Finance/s151 Officer, Portfolio Holders and relevant Directors to track exceptions and identify remedial actions
9. [Rigorous treasury management system in place plus ongoing tracking of national and international economic factors and Government policy](#)
10. Limited reserves for minor deviations
11. Routine monitoring of savings delivery to identify any required interventions

Action		Responsibility	Implementation Date
1	Review the Transformation Board's TOR in the light of experience to date, and reinforce the governance process where necessary	Head of Service Transformation	Complete
2	Establish 3 month cross-organisational review group to address predicted overspend within Adult Social Care (see risk 18)	Executive Director Community and Adult Services	November 2011
3	Deliver training within LGSS on how councils can cope with a double dip recession	Director of Finance	June 2012

Progress with actions

<Indicate whether actions are complete or give progress update>>

- 1 [October 2011 - The Board membership has changed with Cllr Reynolds taking up the chair. The ToR were re-presented to the board for review which the board accepted and recognise that these will need to be robustly applied](#)
- 2 [August 2011 – Review Group established with representation from CCC, NHSC, CCS and initial financial analysis and diagnostic work begun](#)
- 3 [October 2011 - Action plan agreed by partners for taking forward Adult Social Care Review. Detailed bottom up costing work underway](#)

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Risk Title 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, and/or service level targets, transactional efficiencies, reduced management costs and procurement and other benefits.		2	Cabinet Member Resources and Performance / Director of Finance	Probability 3 Impact 3 9
Trigger 2: failure to adapt to likely significant changes in the way the authority manages and delivers its services.				
Trigger 3: failure to sign up additional customers to LGSS and delivery of the LGSS savings dependent on this.				
Trigger 4: failure to manage LGSS service delivery to CCC				
Result: failure of the Local Government Shared Service (LGSS) programme and adverse impact on support service delivery and budget position				
Reason for change in Direction of Travel				
No change in risk score				
Controls in place				
<ol style="list-style-type: none"> 1. Joint Committee Structure, governance arrangements and LGSS Management Board (with interim MD arrangements) in place 2. New LGSS structure implemented 3. LGSS director representation on SMT to ensure LGSS meets current and future Council needs 4. Pathway for implementation in (Full Business Case) agreed by both Cabinets 5. Readiness plan and transition plan for move to Shared Service 6. LGSS Strategic Plan, Strategy Map and Improvement Activities identified 7. Programme Management arrangements in place to move forward workstreams (progress on specific workstreams monitored in LGSS risk register) 8. Performance management arrangements 				
Action		Responsibility	Implementation Date	
7	Agreement of service levels between LGSS and residual organisation	Chief Executive	June 2011	
9	Develop and implement marketing strategy, service catalogue and other marketing materials	LGSS Finance Director	June 2011	

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10	Carry out IT Due Diligence review to develop an integrated IT Shared Services delivery model and implementation plan in four phases:	LGSS Operations Director	Phase 1 & 2 – October 2011 Phase 3 & 4 – January 2012
	<ul style="list-style-type: none"> • Phase 1 – Analysis of current IT Services • Phase 2 – Design of future LGSS IT Services • Phase 3 – Financial Due Diligence (future costs) • Phase 4 – Implementation Roadmap 		

Progress with actions

<Indicate whether actions are complete or give progress update>>

- | | |
|----|---|
| 7 | <p>May 2011 – Basic level of expectations in process of being completed. Key performance indicators discussed at Joint Committee on 25/05/11. Service Catalogue, clarifying service offer and level, currently being finalised for June 2011.</p> <p>August 2011 – Key Performance Indicators for LGSS have been agreed as part of the 2011/12 LGSS Strategic Plan. These have been measured for the first quarter and are due to be reported to LGSSMB on 24 August. It is envisaged that SLAs will be developed to follow on from the Service Catalogue, but these are not yet in place.</p> |
| 9 | <p>May 2011 – Marketing Strategy in place, Service Catalogue for external customers being finalised and clear focus on exploiting potential market opportunities, including not-for profit organisations.</p> <p>August 2011 – Marketing Strategy was discussed with the Joint Committee on 25 May, and is being further developed with the intention to take back to the JC for their November meeting. Service Catalogue has been populated with service descriptions and costings, although needs further development. High level marketing materials have been produced and are being used at conferences and other discussions with potential customers.</p> |
| 10 | <p>August 2011 – A contractor has now been engaged to provide independent analysis, reporting to the Director of Operations.</p> |

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Risk Title Workforce reductions, recruitment and retention		Risk Number	Risk Owner	Risk Score:
Risk Description				
Trigger: failure to manage planned workforce reductions in a timely and appropriate manner		3	Cabinet Member Resources and Performance / Director of Human Resources and Organisational Development	Probability 3 Impact 3 9
Result: budget overspend and adverse impact on:				
<ul style="list-style-type: none"> • Service delivery • Employee relations • Employee engagement • Trust in employer • Morale and reputation, 				
leading to increased voluntary turnover, increased absence levels, reduced ability to recruit and retain high quality employees, threat of industrial action				
Reason for change in Direction of Travel				
No change in risk score				
Controls in place				
<ol style="list-style-type: none"> 1. Comprehensive Redundancy policies covering each aspect of the redundancy process – fully updated in April 2011 2. Specific focus on statutory compliance and statutory consultation requirements 3. Model restructure consultation document used for all restructures 4. Early discussion between HR adviser and manager about workforce reduction, enabling early planning and HR support 5. Early engagement of recognised trade unions 6. Communication undertaken with affected employees throughout redundancy process 7. Restructure presentation available for managers which outlines all of the steps in the restructure process 8. Employee guidance pack available for employees which gives comprehensive information on the redundancy process and sources of support 9. Prior consideration process used to maximise redeployment 10. Tracking spreadsheets used to centrally monitor the progress of restructures occurring across the Council (i.e. to monitor the progress of all the current restructures covered by the current section 188 notifications). 				
Action		Responsibility		Implementation Date
1	Service risk registers will indicate local action where restructures are underway.	N/A		N/A
Progress with actions				
1	October 2011 - A summary paper detailing the current position of all the restructures in relation to IPP related restructures covered by the Section 188 notification was tabled at SMT in October 2011 to keep them fully informed of current position. Central monitoring information is discussed with recognised trade unions at monthly corporate joint panel (CJP) meetings and a special CJP meeting is scheduled for 18 November to give recognised trade unions an early overview of the Council's budget proposals for 2012-13.			

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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		4	Cabinet Member Resources and Performance / Director of Finance	Probability 3 Impact 4
Result: poor value for money, legal challenge, and wasted time and effort in contractual disputes				12
Reason for change in Direction of Travel				
No change in risk score				
Controls in place				
1. Contract regulations; procurement and contract management guidance and support located within the Procurement Team				
2. Procurement Policy				
3. Strategic Procurement Advisor				
4. Contract Management and Procurement Learning Forum				
5. Contract Management Board				
6. Category management model				
Action		Responsibility		Implementation Date
5	Rolling out Web based contract register in CCC	Director of Finance		December 2011
Progress with actions				
<Indicate whether actions are complete or give progress update>>				

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Risk Title Failure of Partnership Working		Risk Number	Risk Owner	Risk Score:
Risk Description				
Triggers:		5	Leader/Chief Executive	Probability 3 Impact 3
1. Governance arrangements to support statutory partnership arrangements (including LEP, Health & Wellbeing Board, Police and Crime Panel) are ineffective				
2. Disagreement between partners over prioritisation/incompatibility of local priorities, failure to reach (consensus) decisions,				9
3. Lack of resources - financial, people				
4. Failure to adhere to statutory or legislative requirements				
Result: Reduced ability for partners to work together effectively and efficiently, and target limited resources to achieve shared outcomes				
Reason for change in Direction of Travel				
No change in risk score reflecting 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				
1. Model of partnership working commissioned by Cambridgeshire Together				
2. CCC Chief Executive chairs Cambridgeshire Public Service Board (CPSB)				
3. Democratic and Member Services support to the Health and Well Being Board				
Action		Responsibility	Implementation Date	
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	January 2012	
3	Consider resource and skills support for the LEP in delivering its vision of job growth and supporting infrastructure	Executive Director, Environment Services	September 2011	
4	Support to be found in Environment Services, Children's Services and Community and Adult Services to support the groups. A process to be established to provide an early warning system where partnership arrangements have or might become ineffective.	Chief Executive	March 2012	
Progress with actions				
<Indicate whether actions are complete or give progress update>>				

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- 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.
April 2011 – The hotspot analysis on thematic overlap was completed and shared with partners earlier in the year. The IP process is currently being reviewed for 2012-13, with specific focus on how to engage more robustly with partners in cross-organisational budget planning.
October 2011 - CPSB have planned a budget sharing workshop for October for greater partnership working and whole system thinking around budget planning. In developing IPP proposals, Services are actively encouraged to work with partners.
- 3 April 2011 – Work is ongoing with LEP partners and expected to be completed in the Autumn.
October 2011 – Work continues on moving the Enterprise Zone at Alconbury forward, and in recruiting a small core team for the LEP. Using some of the Capacity Fund money that the LEP won from BIS, Royal Haskoning, IBM & Green Ventures have been commissioned by the LEP to produce a LEP-scale evidence base, visualisation of the challenges and issues facing the LEP area, particularly infrastructure ones, using funding secured through the LEP Capacity Fund. Work is underway with completion expected around Christmas.

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Risk Title Housing Growth	Risk Number	Risk Owner	Risk Score:
<p>Risk Description</p> <p>Trigger: General economic downturn (reduced market liquidity and credit availability) and the dismantling of the regional planning structure and constraints placed on growth by the A14.</p> <p>Result: Housing growth fails to meet housing need, shortfall in affordable housing, re-emergence of unsuitable sites made subject to planning applications, and a lack of co-ordinated strategic planning. New communities cannot be delivered in their totality, undermining their suitability, viability and the provision of necessary infrastructure.</p> <p>Reason for change in Direction of Travel</p> <p>No change in the risk score</p>	8	Cabinet Member for Growth and Planning / Executive Director, Environment Services	Probability 4 Impact 4 16
<p>Controls in place</p> <ol style="list-style-type: none"> 1. Joint planning and delivery arrangements for major growth sites and strategic issues relating to growth. These arrangements allow joint solutions to be identified and implemented to address development financing and to respond to strategic issues affecting development finance. 2. The New Communities Service ensures effective leadership and coordination of the County Council's work in preparing for growth and communicates in a timely fashion with our key stakeholders, South Cambridgeshire District Council, City Council, Cambridgeshire Horizons as well as the developers, and advises the Joint Development Control Committees and Cabinet. The work has included mechanisms to provide funding to help ensure development will start – for example securing Cabinet approval for the use of prudential borrowing for secondary education at Cambridge Southern Fringe. 3. A Section 106 deferrals policy is in place to unlock housing sites where cashflow issues are preventing commencement of house building. 4. Joint statement by the County Council and District Councils committing in principle to the 2003 Structure Plan Strategy following the government's localism bill, which announced plans to withdraw the Regional Spatial Strategy. This statement is a necessary step in reaffirming that growth in Cambridgeshire continues to progress. 5. The Local Development Framework policy of obtaining 40% affordable housing where viable remains despite the intention to abolish the Regional Spatial Strategy. 6. The Department for Transport has pledged (Ministerial sign-off has been received) to make resources available to lead a study into the current 			

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<p>issues relating to the whole A14 corridor. Ministerial sign-off has been received. It is hoped that this work will be concluded by mid-2012 in order for any proposed schemes to be considered in the next comprehensive spending review.</p> <p>7. New joint planning arrangements are being developed through the Public Services Board to agree the strategy for housing delivery in the area going forward.</p>			
Action		Responsibility	Implementation Date
1	Maximise investment in infrastructure and services from alternative sources of Government funding (e.g. Housing Growth Fund).	Cambridgeshire Horizons (lead body)	Ongoing
2	Work with the Highways Agency to continue to progress the key schemes	Gerry Corrance	Ongoing
3	Plan for managing increased congestion on the surrounding network due to the withdrawal of the A14 improvements scheme	Jeremy Smith	Ongoing
Progress with actions			
1	<ul style="list-style-type: none"> The Homes and Communities Agency is expected to respond to the Cambridgeshire Local Investment Plan proposal bid by October 2011. The bid is in the region of £690m, of which £100m is for County Council projects. The level of available Homes and Communities Agency funding, and whether it will all be used for affordable housing grant, remains uncertain. Informal discussions with the Homes and Communities Agency suggest that no money will be available for infrastructure. 		
2	<ul style="list-style-type: none"> The County Council, District Councils and the Highways Agency have produced a brief for the traffic modelling needed to progress individual development sites along the Cambridge to Huntingdon corridor. Key points are to secure funding for the technical work and identify the necessary improvements and other measures that allow developments to continue in this corridor. A number of development promoters are developing mitigation measures in conjunction with the Highways Agency, which could result in a satisfactory 'nil detriment' situation. Detailed discussions have started between the Highways Agency and the County Council with regard to Northstowe. Department for Transport resources have been pledged to lead a study into the possible solutions to the current issues relating to the whole A14 corridor. Ministerial sign-off has been received. The Department for Transport hope to have the work concluded by mid-2012 in order for any proposals schemes to be considered in the next Comprehensive Spending Review. 		
3	<ul style="list-style-type: none"> A Cambridge Area Transport Strategy (CATS) is currently being drawn up. The intention is for this to be adopted in 2012. A list of short-term schemes has been prepared for submission to the Department for Transport. 		

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Risk Title Infrastructure Funding Shortage		Risk Number	Risk Owner	Risk Score:
Risk Description				
<p>Trigger: Insufficient funding is obtained from a variety of sources, including Government growth funds, Section 106 payments and other planning contributions, e.g. CIL, to deliver required infrastructure. This is exacerbated by the recession and increased requests for deferral of developer contributions.</p> <p>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.</p> <p>Reason for change in Direction of Travel</p> <p>No change in the risk score</p> <p>Controls in place</p> <ol style="list-style-type: none"> 1. Maximisation of securing developer contributions is achieved through County Council input to Section 106 negotiations. 2. A prudential borrowing strategy 3. Section 106 deferrals policy 4. External funding for infrastructure and services (e.g. from Government grants) primarily through partnership working led by Cambridgeshire Horizons. 5. Framework for bidding for transport funds under LTP 		9	Cabinet Member for Growth and Planning / Executive Director, Environment Services	Probability 4 Impact 4 16
Action		Responsibility	Implementation Date	
1	Pursue the 'Single Conversation' with the Homes and Community Agency	Service Director Growth and Infrastructure	Ongoing	
2	Jan 2011 - Assist District Councils in investigating and trialling the applicability of the Community Infrastructure Levy.	Service Director Growth and Infrastructure	Spring 2012	
3	Develop strategy and investment priorities for Cambridge City and the surrounding area, taking into account the Government's cancellation of the Transport Innovation Fund.	Service Director Growth and Infrastructure	2012	
4	Investigate the potential for use of Tax Increment Financing (working with Cambridgeshire Horizons).	Service Director Growth and Infrastructure	Ongoing	
5	Arrangements to be formalised and implemented for a Greater Cambridge-Greater Peterborough Local Enterprise Partnership	Executive Director, Environment Services	September 2011	

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Progress with actions	
1	<ul style="list-style-type: none"> • April 2011 – The Cambridgeshire Local Investment Plan was approved by the Cambridgeshire Horizons Board 23rd March 2011. The bid is in the region of £690m, of which £100m is for County Councils projects (agreed by Cabinet 22nd February 2011). The level of available HCA funding and whether it will all be used for affordable housing grant remains uncertain. HCA expected to respond to the bid by July 2011. • Informal discussions with the Homes and Communities Agency suggests that no money will be available for infrastructure.
2	<ul style="list-style-type: none"> • Huntingdonshire District Council aim to adopt CIL by July 2011 – August 11 update – now spring 2012 with a Planning Obligations Strategy being implemented in the meantime. The County Council has two main concerns with the Levy – the presence of a £120m funding gap; and the County Council's expected share of revenue. • Jan 2011 - East Cambridgeshire District Council aim to adopt CIL in spring 2012. The County Council response to the related draft Obligations Supplementary Planning Document was endorsed by cabinet on 14th December 2010. • Baker Associates and Roger Tym Partners have been appointed to work with Cambridge City, South Cambridgeshire and CCC and have commenced work to determine infrastructure requirements by Sep 2012. This will form the basis of the Community Infrastructure Levies for each of these districts.
3	<ul style="list-style-type: none"> • A Cambridge Area Transport Strategy (CATS) is currently being drawn up. The intention is for this to be adopted in 2012.
4	<ul style="list-style-type: none"> • Jan 2011 - Government has confirmed that it is investigating the possibility of implementing TIF, although this is only conceptual at the moment and pilot areas are being sought by Government. • The CLG Business Plan sets a date of April 2012 for proposals to implement local retention of business rates and TIF to be developed and introduced – no other dates are yet known.
5	<ul style="list-style-type: none"> • Jan 2011 - Government approved the bid in the local growth white paper. • Consideration is being given to the exact form and function of the LEP.

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Risk Title Cambridgeshire Guided Busway		Risk Number	Risk Owner	Risk Score:
Risk Description				
Trigger: Settlement of Busway dispute exceeds contingency allowances already made		10	Cabinet Member for Growth and Planning / Executive Director, Environment Services	Probability 1 Impact 4
Result: Financial impacts of additional costs to Council above contingency				4
Reason for change in Direction of Travel				
No change in the risk score				
Controls in place				
1. The key areas of contractual dispute have been identified and are being assessed in detail by external contract advisers and by legal representatives.				
2. Formal notice has been given to BAM Nuttall, their parent company and their Guarantors, of legal action to recover the pain share.				
3. BAM Nuttall has also been advised that CCC would welcome mediation as required by the legal pre-action protocol.				
4. Legal advice has been and continues to be taken on the management of the dispute.				
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		Ongoing
2	Continue to press BAM Nuttall to set out their case and to enter into mediation.	Service Director Growth and Infrastructure		Ongoing
3	Pursue legal processes for recovery of debt.			Ongoing
Progress with actions				
1	• 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	• Busway Contract Resolution Group is being established to manage the legal and mediation processes and if appropriate to negotiate and recommend settlement to Cabinet, if this represents best value and is in the public interest.			
3	• Notice of legal action has been issued			

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Risk Title Localism and 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 Community Engagement/ Executive Director Community and Adult Services	Probability 3 Impact 3 9
Reason for change in Direction of Travel No change in risk score				
Controls in place 1. Community Engagement Strategy and Action Plan 2. Quarterly monitoring of actions against expected outcomes to ensure that they are having the desired effect 3. Appropriate remuneration for participation (including organising transport, childcare, refreshments, expenses) 4. Quarterly reporting of the activities of the neighbourhood management boards/panels 5. Quarterly monitoring of the impact of neighbourhood management activities 6. Adopting Service Level Agreements 7. ShapeYourPlace.org in Fenland				
Action		Responsibility		Implementation Date
1	Implement Directorate Plan which should cover all aspects for the risk	Service Director Community Engagement (Fenland)		2011/12
Progress with actions				
1	Regular monitoring of Directorate Plan takes place and corrective action identified.			

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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 Community Engagement/ Executive Director Community and Adult Services	Probability 3 Impact 3 9
Reason for change in Direction of Travel No change in risk score				
Controls in place 1. Community Cohesion Strategy and Action Plan 2. Service Director has responsibility for community cohesion and represents the Directorate at the highest level within the county 3. Community Engagement Programme Board,				
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 CCC approach to communities	Service Director Community Engagement (Fenland)		Ongoing
Progress with actions				
1	There has been a varied response to implementing the Strategies. A review is underway			
2	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. The Service Director is a member of CLT and is able to share his approaches with senior colleagues who cascade information			

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Risk Title Safeguarding Vulnerable Children and Adults		Risk Number	Risk Owner	Risk Score:
Risk Description				
Trigger: failure to follow the robust arrangements in place designed to prevent harm to adults and children		15	Leader of the Council, Cabinet Member for Adult Services, Cabinet Member for Children and Young People's Services/ Chief Executive, Executive Director Children and Young People's Services (CYPS), Executive Director Community and Adult Services (CAS)	Probability 3 Impact 4
Result: harm to a child (including in Domestic Violence situations) or an adult receiving services from the Council				12
Reason for change in Direction of Travel				
No change in risk score				
Controls in place				
<ol style="list-style-type: none"> 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 4. Regular sharing of information with regulating bodies. 5. Skilled and experienced safeguarding leads & their managers. 6. Comprehensive and robust recruitment and training and development policies for staff, including safer employment practices and arrangements for induction and ongoing development. 7. Effective implementation of the Common Assessment Framework to identify children at risk. 8. 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 				
Action			Responsibility	Implementation Date
1	Implementation of the safeguarding action plan following the Ofsted inspection 2011, monitored by the CYPS Social Care Performance Board and scrutinised by CYPS Overview and Scrutiny Committee		Executive Director (CYPS)	Quarterly reports
2	Ensure proper implementation of recruitment policies for staff, including safer employment practices.		Claire Bruin Mike Hay	Ongoing
3	Ensure there is appropriate Adult Safeguarding training in place for all Health & Social Care staff working in the statutory, voluntary and independent sector.		Claire Bruin Mike Hay	Ongoing
4	Jan 2011 - Continuous process of updating practice and procedures, linking to local and		Executive Director	Ongoing

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	national trends, including learning from local reviews, and serious case reviews of national prominence, e.g. the Pilkington case.	(CYPS) / Executive Director (CAS)	
5	Ensure all risks are considered during any potential transfer of staff to the Police	Si Kerss	Sept 11
6	Raise awareness of Adult Safeguarding in the wider community to ensure that all safeguarding concerns are reported in an appropriate manner.	Claire Bruin Mike Hay	Ongoing
7	Effective management of safeguarding process by safeguarding staff, including regular reviews of all cases.	Claire Bruin Mike Hay	Ongoing
8	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.	Claire Bruin Mike Hay	Ongoing

Progress with actions CYPS

<Indicate whether actions are complete or give progress update>>

- 1 Action plan underway: CYPS scrutiny committee discussed progress July 11
- 4 August 2011 – The revised Adult Safeguarding Guidance and Procedures were launched in March 2011

Progress with actions CAS

<Indicate whether actions are complete or give progress update>>

- 1 Training for Cambridge Community Services NHS trust and NHS Cambridgeshire has been developed and training has taken place for Health Staff including District Nurses etc. The development of a 'Purple Card' denoting 'Top Tips for Adult Safeguarding has been circulated to all GP's practising within Cambridgeshire. The card also includes the log-in details for the Adult Safeguarding E-Learning Package. A programme of refresher training for Independent Domestic Violence Advocates is in train.
The Adult Safeguarding Training and Development Manager is currently putting together a revised three year training strategy. Adult Safeguarding Training has been provided to the new Multi Agency Referral unit (MARU) work continues on identifying the constabularies safeguarding training needs. A GP attends the Cambridgeshire Adult Safeguarding Board.
- 2 Continue to monitor implementation of safer working practice guidance across all teams, update teams on changes to the Independent Safeguarding Authority process when available. The adult safeguarding operational manager continues to provide support to the adult safeguarding leads on a quarterly basis and has developed locality team meetings to support the safeguarding leads and their team managers., a service user feedback back form has been developed to monitor the outcomes of the safeguarding process for service users and review of practice in safeguarding cases process has been developed and agreed.
The Adult Safeguarding Guidance and Procedures was launched in March 2011 and has been updated on a regular basis.

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- 3 A recognised process is underway to handle the potential transfer of staff to the Police.

- 4 Training for service users has been developed and is being delivered, to enable service users to exercise more choice and control in their lives whilst minimising the risk of abuse. A trainer has consulted with users of services, focus groups, existing advocacy services and direct service providers to design a package of resources to support the raising of users of adult social care services and the general public's awareness on adult safeguarding. A DVD for victims of Hate Crime has been produced. The Adult Safeguarding Service User and Carer Sub Group has been meeting on a regular ¼ basis.

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Risk Title Resourcing Provision for children and adults		Risk Number	Risk Owner	Risk Score:
Risk Description				
Trigger: Unanticipated increase in needs of children and adults		16	Cabinet Member for Children and Young People's Services, Cabinet member for Adult Services/ Executive Director Children and Young People's Services, Executive Director, Community and Adult Services	Probability 3 4 Impact 3 12
Result: the needs of children and adults cannot be met with the resultant adverse impact on strategic objectives				
Reason for change in Direction of Travel				
Risk rating increased to reflect the possible effect from changes to welfare benefits arrangements				
Controls in place				
1. Regular audits of assessment processes and the use of trend data to identify children's needs at the earliest stage. 2. Multi-agency panels enable commissioners of services to consider and plan to meet needs jointly and agree funding. 3. Joint Strategic Needs Assessment (JSNA) provides population information, which is used to target services in Adult Social Care and CYPS 4. Other safeguarding measures in place to identify service users and close liaison between multi agency partners to help manage any unanticipated increase in need 5. Linkage with Integrated Planning process				
Action			Responsibility	Implementation Date
1	Fully implement the Placements Strategy to reduce the risk of children becoming looked after, reduces the length of time that children are looked after and reduces the risk of children returning to care.		Executive Director Children and Young People's Services	April 2011
2	Develop further the Special Educational Needs (SEN) Strategy to enable special schools to meet the needs of children and young people with higher levels of need.		Executive Director Children and Young	March 2011

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3	Implement a Places Planning Project to provide direction, oversight and management of activity within CYPS	People's Services Executive Director Children and Young People's Services	October 2011
4	Review the demographics SLA	Corporate Performance and Research Manager	TBA

Progress with actions

<Indicate whether actions are complete or give progress update>>

- 1 The Placements Strategy – a comprehensive series of projects including the review of fostering and adoption, residential provision, short break services and support to meet the needs of children has been launched. Implementation will be ongoing to 2015 to realise the full benefits.
- 2 Work delivered through a project as part of the SEN Programme and work is on track.
[Oct-11, SEN Strategy to go to Cabinet in Apr-12](#)
- 3 Places project currently under development.

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Risk Title Pooled Budgets		Risk Number	Risk Owner	Risk Score:
Risk Description				
Trigger: unbudgeted demand pressures in pooled budgets, especially with regards to older people		18	Cabinet Member for Adult Services/ Executive Director, Community and Adult Services	Probability 4 Impact 3
Result: social care needs cannot be met within the budget available, adverse effect on relations between partners				12
Reason for change in Direction of Travel				
No change in risk score				
Controls in place				
<ol style="list-style-type: none"> 1. Joint Strategic Needs Assessments (JSNA) provides population information, which is used to target services in Adult Social Care 2. Other safeguarding measures in place to identify service users and close liaison between multi agency partners to help manage any unanticipated increase in need 3. Joint commissioning strategies 4. Cambridgeshire Care Partnership (CCP) oversees the 3 Pooled Budgets of Older People (OP), Learning Disability (LD) and Integrated Community Equipment Services (ICES). 5. S75 agreements 6. Pathways for Reablement projects and for Delayed Transfers of Care 				
Action		Responsibility		Implementation Date
1	Continue to utilise JSNAs to forecast demand for services.	Service Director Strategy and Commissioning (Adult Support Services)		Ongoing
2	Review Section 75 Agreements (that outlines roles and responsibilities) for Pooled Budgets	Service Director Strategy and Commissioning (Adult Support Services)		

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3	Ensure effective implementation & monitoring of the section 75 agreements in service areas.	Service Director Strategy and Commissioning (Adult Support Services)	Quarterly
4	Ensure robust financial controls are in place and accurate and timely financial data is produced.	Service Director Strategy and Commissioning (Adult Support Services)	Quarterly
5	MEAM (Making Every Adult Matter) pilot study to help identify chronically excluded adults who may require services. Other pilot studies are also ongoing, including one at Addenbrookes Hospital to help identify possible service users. (Chronically Excluded Adults are people who currently are not receiving our services, but who may have needs for support. Often they are excluded through their own choices. Or not wanting to receive any help or support from the local authority).	Service Director Strategy and Commissioning (Adult Social Care)	August 2011
Progress with 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 and Children and Young People JSNA revised. The Draft Phase 4 Summary report was issued to Cabinet / SMT on 1 November. The JSNA's are actively used in forecasting demography for use in the Integrated Planning Process (IPP).		
2	There is a Section 75 agreement for each Pooled Budget. The Learning Disability one is agreed, pending an issue over Section 28a (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. 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. Amendments to Section 75 agreements agreed at 11 January 2011 Cambridgeshire Care Partnership meeting.		
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 prepares 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.		

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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	Cabinet Member for Resources and Performance/ LGSS Director of Operations	Probability 3 Impact 4
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				12
Reason for change in Direction of Travel				
Risk re-assessed to reflect current control environment (as agreed by SMT post SMT/Cabinet)				
Controls in place				
1. Individual service business continuity plans 2. First phase of IT resilience project including the increased alternative power/environment conditions in major machine rooms 3. Operational controls				
Action		Responsibility		Implementation Date
4	Plan and implement Phase 2 of IT resilience programme – resilient Internet feed	LGSS Director of Operations		July 2012
5	Joint CCC and NCC data centre review to develop long term options for fully resilient mirrored data centres	LGSS Director of Operations		October 2011
6	Plan and Implement Phase 3 of IT Resilience programme – duplication of key systems	LGSS Director of Operations		Completion Financial year 2012/13
Progress with actions				
<Indicate whether actions are complete or give progress update>>				
4	Phase 2 IT resilience to be implemented as part of CPSN (Cambridgeshire Public Sector Network) contract. Detailed design and implementation planning now underway linked with contract start date (April 2012). Planned Phase 2 completion date July 2012.			
5	TBC			
6	Phase 3 funding now identified via CPSN capital surplus. Phase 3 will run in conjunction with Phase 2. Detailed design planning currently underway. Implementation to commence Jan 2012, with completion date during financial year 2012/13.			

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Risk Title Non compliance with legislative and regulatory requirements		Risk Number	Risk Owner	Risk Score:
Risk Description: Non compliance with legislative and regulatory requirements, e.g. equalities legislation		20	Cabinet Member for Resources and Performance/Chief Executive	Probability 2 Impact 4 Risk score 8
Triggers: 1. Staff unaware of changes to legislative/regulatory requirements 2. Lack of staff training 3. Lack of management review				
Results: 1. Adverse reports from regulators 2. Criminal or civil action against the Council 3. Reputational damage				
Reason for change in Direction of Travel The probability of the risk occurring has been reduced to reflect management actions taken				
Controls in place 1. LGSS legal team robust and up to date with appropriate legislation. 2. Service managers kept abreast of changes in legislation by the Monitoring Officer, Gov departments and professional bodies 3. Monitoring Officer role 4. Code of Corporate Governance 5. Community impact assessments required for key decisions				
Action		Responsibility	Implementation Date	
1	Approach to undertaking robust consultation and completing community impact assessments agreed by SMT. Briefing held for Corporate Leadership Team and now being disseminated across the County Council to raise awareness	LGSS Director of Legal Services	September 2011	
2	Report templates to be updated to ensure that responsibilities under Equalities Act 2010 are identified and represented properly in Council decision making.	Head of Democratic and Member Services	November 2011	
Progress with actions - <Indicate whether actions are complete or give progress update>>				
1	COMPLETED - Briefings for CLT and Cabinet. A further three briefing sessions were delivered to a total of 60 senior officers.			
2	October 2011 – Report templates have been reviewed by SMT and feedback given, still in process of updating.			

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Risk Title Business Disruption	Risk Number	Risk Owner	Risk Score:
Risk Description			
The ability of the Council to meet its objectives is adversely affected by business disruption	21	Cabinet Member for Resources and	Probability 4 Impact 3
Trigger Business disruption could arise from a wide range of different events. Events such as adverse weather, widespread and prolonged loss of utility services or industrial action would reduce staff availability directly or indirectly; pandemic influenza would both reduce staff availability and, in some areas, simultaneously increase service demand.		Performance/ Head of Registration & Coroner Services	Risk score 12
Result			
The result would vary, depending on the nature of the trigger. Examples include:			
<ul style="list-style-type: none"> • Inability to deliver consistent and continuous services to vulnerable people, whether directly or through third parties, leading to increased risk • School closures at critical times e.g. during examination periods, impacting students' ability to achieve • Inability to fully meet legislative and statutory requirements • Increase in service demand (e.g. in pandemic) • Inability to deliver normal service levels in responding to citizens' request for services or information 			
Reason for change in Direction of Travel			
No change in risk score			
Controls in place			
<ol style="list-style-type: none"> 1. Business continuity plans 2. Relationships with the Unions 3. Corporate communication channels 4. Multi-agency collaboration through the Cambridgeshire & Peterborough Local Resilience Forum (CPLRF) 5. Exemptions agreed with the Unions 			

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Action	Responsibility	Implementation Date
1 Develop agreement for emergency planning cooperation between district and county councils, including actions to build community resilience	Head of Emergency Planning	November 2011
2 Increase availability of information and customer transactions on-line	Head of Service Transformation	March 2012
3 Seek further cooperative actions through CPLRF	Head of Registration & Coroner Services	March 2012
4 Update corporate business continuity plan to ensure integration between directorate and service plans	Head of Emergency Planning	November 2011
Progress with actions		
<Indicate whether actions are complete or give progress update>>		
1 August 2011 – agreement drafted and awaiting District Council comments October 2011 – District Council comments incorporated and final draft issued for agreement		
2		
3 August 2011 – Chief Constable arranging special SCG meeting in September 2011 to discuss October 2011 – further SCG meeting held to ensure cross-agency cooperation to protect the vulnerable in the event of widespread public sector industrial action, in keeping with our statutory duty		
4 August 2011 – draft corporate BCP is work in progress; directorates are updating plans to corporate standard format October 2011 – draft completed; to be reviewed by SMT in November		

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Risk Title Cambridgeshire Future Transport		Risk Number	Risk Owner	Risk Score:
Risk Description				
Trigger 1: The programme fails to identify and generate sufficient efficiency savings		22	Director of Strategy and Development/ Cabinet Member for Growth and Planning	Probability 3 Impact 3
Trigger 2: CCC is committed in principle to pooling budgets however uncertainty over project benefits may delay agreement from partners.				Risk score 9
Results: Inability to overcome funding constraints and meet accessibility requirements of Cambridgeshire residents				
Reason for change in Direction of Travel				
No change in the risk score				
Controls in place				
<ul style="list-style-type: none"> ▪ A Governance group is in place to oversee the programme. The group includes member representation from each of the districts, the county, NHS and Cambridgeshire ACRE. ▪ A programme structure has been proposed and will be implemented to give the programme more structure, giving clarity on decision making processes, reporting lines and responsibilities. ▪ A review of timelines and milestones is being undertaken ▪ A communications strategy has been developed. ▪ Work closely with partners to secure full pooling of budgets. ▪ 				
Action		Responsibility	Implementation Date	
1	Recruitment of additional resource for the programme of work	Glenn Edge	Completed	
2	Put in place a new programme structure	Graham Hughes	Nov 2011	
3	Finalise timelines, interdependencies and milestones	Dan Clarke	Sept 2011	

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4	Invite the passenger transport funding partners in Cambridgeshire to enter into discussions regarding the sharing of their passenger transport budgets to deliver more effective transport services	Graham Hughes	Jan 2012
5	Launch franchise pilots	Dan Clarke	Dec 2011
6	Invite expressions of interest from businesses and organisations wishing to contribute to the provision of local passenger transport.	Dan Clarke	Complete
7	Establish a Transport for Cambridgeshire partnership to oversee the Cambridgeshire Future Transport project and enter into discussions with partners to develop this concept further.	Graham Hughes	Sept 2011

Progress with actions

<Indicate whether actions are complete or give progress update>>

- 1 Resource now in place
- 2 Programme structure currently being finalised.
- 3 Working with partners to understand interdependencies to inform a programme plan.
- 4 Discussions on-going with the contact centre to run a pilot in Dec
- 5 Franchise pilots being developed and due to launch in Dec
- 6 Fenland are progressing with identified projects
- 7 Project planning for this work-stream is on-going, working up proposals for the pathfinder and developing model.

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Risk Probability

<i>Description</i>	<i>Descriptor</i>	<i>Scale</i>
May only occur in exceptional circumstances, highly unlikely	Very Low	1
Is unlikely to occur in normal circumstances, but could occur at some time	Low	2
Likely to occur in some circumstances or at some time	Moderate	3
Is likely to occur at some time in normal circumstances	High	4
Is highly likely to occur at some time in normal circumstances	Very High	5

Risk 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	1
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	2
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	4
Critical long term disruption to corporate objectives and front line services Critical reputational impact Regulatory intervention by Central Govt.	Catastrophic	5

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<i>Description</i>	<i>Descriptor</i>	<i>Scale</i>
Significant damage to environment Huge financial impact >£2.5m		