Last updated 20/06/2016

CFA RISK REGISTER

Appendix 1

Next full report for CFA Management Team 12/10/2016
Next CYP committee review: 12/07/2016
Next Adult committee review: 07/07/2016
CR = Corporate Risk

Version Date: 20 June 2016

	Details of Risk				Inherent Risk					Key Controls	Residual Risk			Actions				
Risk No.	Risk Description	Triggers		Result	Probability	Impact	Score	Owner	Contact		Probability	Impact	Residual Score	Description	Action Owner	Target Date	Revised Target Date	Action Status
16	Insufficient availability of supported housing schemes due to the impact of the capped housing benefit at Local Housing Allowance (LHA) levels	1. Closure of supported housing schemes

2. Proportion of adults with learning disabilities in their own home or with family below target (CFA Performance board)

3. Housing associations/providers suspend building of new schemes due to viability concerns | | 1. Supported housing schemes for vulnerable people are unviable and close

2. Increased use of nursing and care homes

3. Increased pressure on Council Services

4. People will require alternative accommodation

5. Increased pressure on council services and budgets | 4 | 4 | 16 | Executive Director CFA | HoS Procurement, HoS Commissioning Enhanced Services, Ho Service Development OP | 1. Very new change, CFA are aware and working with partners to understand implications | 4 | 4 | 16 | 1. Prepare contingency plans to manage if providers close down

2. Map existing and forecast service users in supported housing and understand possible impact | HoS Procurement/ Ho SDOP/ HoS CES

SD ASC | Sep-16

Sep-16 | | A

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| 1 (CR) | Failure of the Council's arrangements for safeguarding vulnerable children and adults | **Children's Social Care:**

1. Children's social care case loads reach unsustainable levels as indicated by the unit case load tool

2. More than 25% of children whose referral to social care occurred within 12 months of a previous referral

3. Serious case review is triggered

Adult Social Care (Inc. OPMH)

1. Care homes, supported living or home care agency suspended due to a SOVA (safeguarding of vulnerable adults) investigation

2. Serious case review is triggered

3. Outcomes of reported safeguarding concerns reveals negative practice | | 1. Harm to child or an adult receiving services from the Council

2. Reputational damage to the Council | 5 | 5 | 25 | SD Adult Social Care/ SD Children's Social Care/SD Older People and Mental Health | HoS Safeguarding and Standards / HoS Adult Social Care Practice and Safeguarding | 1. Multi-agency Safeguarding Boards provides multi agency focus on safeguarding priorities and provides systematic review of safeguarding activity

2. Skilled and experienced safeguarding leads and their managers.

3. Comprehensive and robust safeguarding training, ongoing development policies and opportunities for CCC staff, and regular supervisions monitor and instil safeguarding procedures and practice.

4. 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.

5. Multi Agency Safeguarding Hub (MASH) supports timely, effective and comprehensive communication and decisions on how best to approach specific safeguarding situation between partners.

6. Robust process of internal Quality Assurance (QA framework) including case auditing and monitoring of performance

7. Whistleblowing policy, robust Local Authority Designated Officer (LADO) arrangements and complaints process inform practice

8. Regular monitoring of social care providers and information sharing meetings with other local organisations, including the Care Quality Commission | 3 | 5 | 15 | 1. Investigating referral arrangements from health to ensure most effective arrangements are in place to the MASH - proposals to be reviewed and next steps decided by CFA management team

2. Implementation of changes to safeguarding as required by the Care Act 2014 overseen by the Safeguarding Adults Board and the Transforming Lives/Care Act programme Board. Implementation began April 2015 in line with legislation and current guidance has been reviewed to respond to Care Act requirements including making safeguarding personal

3. Reviewing process and procedures for transfer of work between E&P and CSC

4. Develop short, medium and long term actions to address unsustainably high demand levels experienced in children's services in Spring 2016

5. Work is ongoing on resolving issues with CCG over jointly funded packages of support (CHC, section 41 and section 117). Further action will be taken if back payments cannot be secured. | HoS FREDt

SD ASC

SD E&P/ SD CSC

ED CFA

SD OPMH | May-17

Jun-16

Jul-16

Sep-16 | | G

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									9. Joint protocols, practice standards and QA ensure appropriate joint management and case transfer between Children's Social Care and Enhanced and Preventative Services 10. Coordinated work between Police, County Council and other agencies to identify child sexual exploitation, including supporting children and young people transitions to adulthood, with the oversight of the LSCB 11. Audits, reviews and training provided to school staff, governors and settings. All schools must have child protection training every 3 years. Education CP Service supports schools and settings with safeguarding responsibilities.							
2 (CR)	Insufficient availability of affordable Looked After Children (LAC) placements	1. The number of children who are looked after is above the number identified in the LAC strategy action plan 2015-2017 2. % LAC placed out of county and more than 20 miles from home as identified in CFA performance dashboard 3. The unit cost of placements for children in care is above targets identified in the LAC strategy action plan 2015 to 2017	1. Client dissatisfaction and increased risk of harm 2. Reputational damage to the Council 3. Failure to meet statutory requirements 4. Regulatory criticism 5. Civil or criminal action against the council	4	5	20	SD Strategy and Commissioning	HoS Commissioning Enhanced Services	1. Regular monitoring of numbers, placements and length of time in placement by CFA management team and services to inform service priorities and planning 2. Maintain an effective range of preventative services across all age groups and service user groups 3. Looked After Children Strategy provides agreed outcomes and describes how CCC will support families to stay together and provide cost effective care when children cannot live safely with their families. 4. Community resilience strategy details CCC vision for resilient communities 5. CFA management team assess impacts and risks associated with managing down costs 6. Edge of care services work with families in crisis to enable children and young people to remain in their family unit	3	4	12	1. Deliver actions in LAC Action Plan to manage demand and costs	SD CSC / SD S&C / SD E&P	Mar-17		G
3 (CR)	Insufficient availability of care services at affordable rates	1. Average number of ASC attributable bed-day delays per month is above national average (aged 18+) as identified by CFA performance dashboard 2. Delayed transfers of care from hospital attributable to adult social care as identified by CFA performance dashboard 3. Home care pending list	1. Client dissatisfaction and increased risk of harm and hospital admission 2. Increase in delayed discharges from hospital 3. Reputational damage to the Council	5	4	20	SD Older People and Mental Health	HoS Procurement	1. Data regularly updated and monitored to inform service priorities and planning 2. Maintain an effective range of preventative services across all age groups and service user groups including adults and OP 3. Community resilience strategy details CCC vision for resilient communities 4. Directorate and CFA Performance Board monitors performance of service provision 5. Coordinate procurement with the CCG to better control costs and ensure sufficient capacity in market 6. Take flexible approach to managing costs of care 7. Market shaping strategy in place, including building and maintaining good relationships with providers, so we can support them if necessary 8. Capacity Overview Dashboard in place to understand market position 9. Residential and Nursing Care Project has been established as part of the wider Older People's Accommodation Programme looking to increase the number of affordable care homes beds at scale and pace.	5	3	15	1. Retender the main home care contract 2. Full implementation of Early Help team for adults and OP	HoS Procurement SD OP	Oct-17 Aug-16		G G
4	Failure of provider organisations to attract or retain a sufficient workforce	1. Provider organisation report not having capacity to deliver services when we need them 2. Length of time services users wait for appropriate services 3. Care home providers reduce the numbers of nursing beds (due to difficulty recruiting qualified nurses)	1. Outcomes for children, families and adults are worse 2. Reputational damage to the Council 3. Reduction in quality of services 4. Reduced choice of provision close to peoples local community	5	4	20	SD Adult Social Care/SD Older People and Mental Health	HoS Procurement/ HoS Commissioning Enhanced Services	1. Support Home Care providers to develop recruitment and retention strategies 2. Workforce offer to the provider organisations based on the Skills for Care Learning and Development matrix. This includes Care Certificate, vocational qualifications (Level 2 - 5) and Social Care Commitment. 3. Assess impacts and risks to recruitment associated with managing down costs 4. Regular monitoring of provider staff members and vacancy levels of LD and LAC placements by Access to Resources Team 5. Home Care Development Manager in post who works with Homecare providers to develop workforce.	5	3	15	1. Reduce the number of external placements/ increase in-house fostering placements 2. Agree areas of strategic development from Commissioned Provider Workforce Strategy being undertaken by WFD 3. CCC, providers and the wider health system working with local colleges to develop skills for working in the adult care system	HoS Corp Parenting HoS Procurement HoS WFD	Jun-16 Oct-17 Apr-17		G G G

#	Risk	Cause	Consequence	L	I	Score	SD	HoS	Controls	L	I	Score	Actions	Owner	Date		RAG
			6. Access to Resources Team consider and challenge staff pay in tendering process 7. Regularly engage with commissioners and providers to put action plans in place to resolve workforce issues														
5	Cessation of delivery, loss in quality and/or failure of adult social care providers	1. Care homes, supported living or home care agency are suspended 2. Major providers goes out of business and/or withdraws from the market 3. Provider services are in special measures or require improvement as result of an inspection	1. Loss of service provision, impact on service users 2. Financial risk to the Council 3. Increased pressure on Council Services 4. Delays in service provision 5. Reputational risk to the council	4	5	20	SD Adult Social Care/SD Older People and Mental Health	HoS Procurement	1. Robust contracting and monitoring procedures 2. Effective use of PQQs (pre-qualifier questionnaires) 3. Active involvement by commissioners in articulating strategic needs to the market 4. Risk-based approach to in-contract financial monitoring 5. New specifications for Voluntary and Community Sector (VCS) infrastructure support contract focuses on business development activity, consortia working, commissioning and procurement activity. 6. Closer working between compliance agencies, & CCC (E.G. Env Health, H & S, Police, Fire service, CQC, Safeguarding etc.) 7. Provide support to failing care homes to improve standards 8. Robust performance management and processes to manage providers 9. Managing Provider Failure Process in place to ensure care and support needs of those receiving services continue to be met if an provider fails 10. Early Warning Dashboard in place, to alert to likelihood of provider failure	3	4	12	1. Reports on providers flagged by Early Warning Dashboard will be reported to CFA Performance board and Directorate Management Teams 2. Market Shaping Strategy and Action Plan going out for consultation with stakeholders to ensure robustness of draft strategy and action plan	HoS Procurement HoS Procurement	Sep-16 Aug-16		G G
6	Children and young people do not reach their potential (educational attainment)	1. The attainment gap between vulnerable groups of CYP and their peers of school age are below targets identified in CFA performance dashboard 2. End of key stage 2 and 4 attainment targets are below those identified in the CFA performance dashboard 3.Percentage of 16-19 years old who are NEET increases as identified in CFA performance board)	1. LA school improvement inspection triggered - failure would result in DFE intervention 2. Life chances of children and young people reduce 3. An increase in forced academies	4	4	16	SD Learning	HoS School Intervention	1. Good governance of Accelerating Achievement and School Improvement strategies and action plans, checking progress and challenging performance, involving executive and service management 2. Cambridgeshire School Improvement Board improves educational outcomes in schools by all parts of the school improvement system working together. 3. Effective monitoring, challenge, intervention and support of school and setting 4. Develop all children's services to include educational achievement as a key outcome 5. 18-25 team supports care leavers to remain in education or helps them find employment or training 6. A joint approach to support and promote good mental health for CYP has been developed with and for schools and a programme is in place which is supported by Learning, E&P, Public Health and voluntary partners 7.Provides support and guidance to schools to support the stability of educational placements and transition to post 16 for LAC 8. Residual Information, Advice and Guidance function overseen by the local authority focuses on the most vulnerable	3	4	12	1. Deliver actions in Accelerating Achievement and School Improvement Strategies 2. Develop and implement a combined schools improvement and accelerating achievement strategy for 2016-2018 3. Developing a protocol for monitoring the performance of academies and free schools 4. Pilot targeted action at raising attainment of children with SEND who are also FSM at Early Years and School age. View to roll out wider in the following academic year after review of pilot 5. Monitor uptake of programme to promote good mental health for CYP (link to control 6)	SD Learning SD Learning SD Learning HoS SEND Specialist Services HoS CID	Aug-16 Sep-16 Sep-16 Oct-16 Aug-16		A G G G G
7	Failure of information and data systems	1. Amount of time CFA Business Systems (Social Care, LEA, Case Management) are working and available (uptime) is below Service Level Agreement (SLA) levels 2 System availability due to infrastructure issues (network, end-user devices, SAN etc.) is below SLA levels. 3 Amount of time data-sharing with partners is impossible as a result of system failure.	1. Inspection failure. 2. Increased risk of harm to children and adults. 3. Less than optimum efficiency. 4. Reliance by staff on IT support 5. Inability to share information and/or inappropriate sharing of information	5	4	20	SD Strategy and Commissioning	HoS Information Management Service	1. Individual Services Business Continuity Plans. 2. LGSS IT Disaster Recovery Plan 3. LGSS IT service resilience measures (backup data centre, network re-routing). 4. Version upgrades to incorporate latest product functionality 5. Training for CFA Business systems prior to use 6. Information sharing agreement 7. Backup systems for mobile working 8. Back up systems for CFA Business Systems 9. Corporate (Information Governance Team) monitor data handling and security position and improvements	2	4	8	1. Develop implementation plan for new supplier of CFA Business Systems 2. Implementation of CFA social care Business Systems on new rationalized platform	HoS IM HoS IM	Jun-16 Mar-18		G G

#	Risk	Causes	Consequences	L	I	Score	Owner	Owner 2	Controls	L	I	Score	Actions	Action Owner	Date		RAG
8	Failure of key partnership agreements	1. Section 75 agreements not adhered to 2. Joint commissioning arrangements break down 3. Break down of key partnership groups (e.g. LSCB or Public Services Board)	1. Safeguarding risks to vulnerable children and adults. 2. Duplication of services 3. Disjointed service commissioning 4. Poorer outcomes for service users 5. Increased costs 6. Reduction in services	4	5	20	SD Strategy and Commissioning	SD Strategy and Commissioning	1. Local Safeguarding Children's Board (LSCB) and Adult Safeguarding Board have oversight of multi agency safeguarding arrangements 2. Data sharing protocol agreed through Public Service Board 3. Cambridgeshire Executive Partnership Board oversees joint working between adults social care and health and monitors Better Care Fund 4. Joint commissioning unit monitors and oversees joint commissioning of child health service 5. School Improvement Board improves educational outcomes in schools by all parts of the school improvement system working together. 6. MASH brings together children's social care, the Police, Probation, the Fire Service, NHS organisations, key voluntary sector organisations, Peterborough City Council and adult social care providing multi agency focus on safeguarding priorities and provides systematic review of safeguarding activity 7. Clear communication strategies in place 8. Monitoring and performance management of contracts 9 Children's Trust Board and Area Partnerships bring together organisations that work with children, young people and families to enable organisations, including voluntary sector, to work collaboratively and collectively to identify and develop shared priorities and commission local services to achieve improvements. They are closely linked with the LSCB 10. Effective governance and monitoring of Section 75 agreements, joint commissioning arrangements, and other partnership arrangements through Monitoring and Governance Groups and Committees.	3	3	9	1. CPFT to provide improved performance data to CCC.	HoS MH	Jul-16		G
9	Failure to work within regulation and/or regulatory frameworks	1. Poor inspection and/or ombudsman results 2. Higher number of successful legal challenges to our actions/decisions 3. Low assurance from internal audit	1. Financial impact 2. Increase attention from regulators 3. Failure to meet needs of service users	3	4	12	Executive Director CFA	HoS Strategy	1. LGSS legal team robust and up to date with appropriate legislation. 2. Service managers share information on changes in legislation by the Monitoring Officer, Government departments and professional bodies through Performance Boards 3. Inspection information and advice handbook available which is continually updated. 4. Code of Corporate Governance 5. Community impact assessments required for key decisions 6. Programme Boards for legislative change (e.g. Care Act Programme Board) 7. Training for frontline staff on new legislation 8. Involvement in regional and national networks in children's and adults services to ensure consistent practice where appropriate 9. CFA Strategy team support services with inspection preparation 10. Next Steps Board oversees preparation for Ofsted inspections of services for children in need of help and protection	2	4	8	1. Gather data and intelligence from Head teachers on academisation 2. Complete self-evaluation in preparation for SEND Area Inspection	SD Learning SD S&C	Nov-16 Jul-16		G G
11	Failure to effectively plan how the Council will deliver services over the 5 year Business Plan	1. Lack of clear political direction and priorities 2. Unexpected increase in demand on services, as measured by CFA Metrics and service monitoring 3.Legislative changes that add unforeseen pressures to Council savings targets	1. The Council lacks clear direction for resource use and over-spends 2. Requiring the need for reactive savings during the life of the plan 3. Spends limited resources unwisely, to the detriment of local communities.	5	5	25	Executive Director CFA	HoS Strategy	1. Political leadership, organisational priorities and policies developed through councillor engagement 2. Robust engagement with members of CLT and Councillors through the Business Planning process timetable, to ensure greater cross-organisational challenge and development of options. 3. Full consultation with public, partners and businesses during planning process, including thorough use of data research and business intelligence to inform the planning process 4. Stronger links with service planning across the Council seeking to transform large areas of spend. 5. Business Planning process requires early identification of possible impacts of legislative changes, as details emerge 6. Manage activity to deliver savings in OP and ASC on a prudent and flexible basis 7. Governance and monitoring arrangements of CFA savings delivery established and in place (savings tracker)	3	4	12	1. Working party exploring alternatives to the existing business planning process 2. Review how we can better integrate planning cycle with partners	HoS Strategy ED CFA	Jun-16 Jun-16		G G
		1. Forecast out-turn for CFA looking negative	1. The Council is unable to achieve required savings and fails to meet statutory responsibilities or budget targets						1. Robust service planning; priorities cascaded through management teams and through appraisal process								

#	Risk	Cause	Consequence		L	I	Score	Owner	Lead	Controls	L	I	Score	Actions	Action Owner	Date		RAG
12	Failure to deliver the current Business Plan	2. Unexpected increase in numbers of service users in the year. 3. Decline in service performance as measured by CFA Performance Dashboard	2. Need for reactive in-year savings 3. Adverse effect on delivery of outcomes for communities		5	5	25	Executive Director CFA	HoS Strategy	2. SMT review savings tracker and finance and performance report monthly 3. CFA Performance Board review savings tracker and finance and performance reports monthly 4. Weekly sub-group of CFA Performance Board reviews savings and addresses areas that are not on track 5. Robust governance framework to manage transformation agenda: a. Integrated portfolio of programmes and projects b. Routine portfolio review to identify and address dependencies, cross cutting opportunities and overlaps c. Rigorous risk and performance management discipline embedded in all transformation programmes/projects, with escalation process to Directorate Management Teams / Programme Boards 6. Budget holders have monthly meetings with LGSS Finance Partner/External Grants Team, to monitor spend and produce BCR	3	4	12					
13	Insufficient capacity to manage organisational change	1. More than half the projects on the CFA portfolio are RAG rated red 2. Staffing restructures result in loss of project and support staff	1. Low morale and demotivated staff delivering poorer outcomes. 2. Poorer services 3. Savings targets not delivered. 4. Transformative change not delivered 5. Inefficient services		4	5	20	SD Strategy and Commissioning	HoS Strategy	1. Resource focussed appropriately where needed to deliver savings. 2. CFA Management Team review business plans and check that capacity is aligned correctly. 3. Programme and project boards provide governance arrangements and escalation processes for any issues 4. Strategy and Commissioning work plans regularly reviewed by Management Team. 5. CFA Management Team monitors achievement of savings on a monthly basis - including ensuring capacity is provided	3	4	12	1. Participate in Corporate Capacity Review	SD S&C	Nov-16		G
14	Failure to attract or retain a sufficient social care workforce	1. Spend on agency staff within social care workforce is above target as identified by Strategic Recruitment and Workforce Development Board 2. High turnover of social care staff as identified by Strategic Recruitment and Workforce Development Board 3.High vacancy rates of identified key social care roles as identified by Strategic Recruitment and Workforce Development Board	1. Outcomes for children, families and adults are poorer 2. Reputational damage to the Council 3. Demotivated staff lacking the skills to deliver future challenges 4. Increased absence levels 5. Disproportionate level of agency staff		4	5	20	SD Learning	HoS Work Force Development	1. Extensive range of qualifications and training available to staff to enhance capability and aid retention 2. Increased use of statistical data to shape activity relating to recruitment and retention 3. ASYE programme ensures new social workers continue to develop their skills, knowledge and confidence. 4. Frontline managers support their own professional development through planning regular visits with frontline services 5. Cross directorate Social Care Strategic Recruitment and Workforce Development Board and Social Work Recruitment and Retention Task and Finish Group proactively address the issue of social care recruitment and retention. 6. Improved benefits and recognition schemes in place	4	3	12	1. Deliver Recruitment and Retention Action Plan, overseen by Recruitment and Retention Task and Finish Group	SD OPMH	Mar-17		G
15	Insufficient capacity of Early Help Services to support children, young people and families	1. The number of children and families on the 'prioritisation list' increases 2. Level of completed CAFs prior to going to social care gives cause for concern 3. % of children aged 0-4 from vulnerable and hard to reach groups registered at children's centres is below targets identified in CFA performance dashboard	1. Increased pressure on high cost and specialist services 2. Outcomes for children and families are poor 3. Families lack resilience and capacity to deal with crisis		4	4	16	SD Enhanced and Preventative Services	SD Enhanced and Preventative Services	1. Children's Centres services are available locally to families at Children Centres, clinics, pre school settings and community facilities including libraries 2. Targeted parenting programmes and specialist activity groups (such as for those with anxiety or confidence difficulties) 3. Locality family CAF champion and FIP worker teams provide support to schools to start Family CAFs 4. Think family principles embedded in all services working with children, adults and families 5. Advice and coordination team at the MASH (early help hub) increases responsiveness	3	4	12	1. An improved children's centre information offer for families to provide detail about how services can be access and to encourage access to learning to increase resiliency 2. Determine appropriate levels for the number of children and young people that are referred to children's social care without a CAF. 3. Review family CAF	HoS Family Work SD CSC/ SD E&P HoS Locality and Partnerships ECF&Ci	Sep-16 Jun-16 Nov-16		G A G

							<td style="background:red"></td>				6. Ensure eligible families take up the offer of free education for 2 year olds and wider support and intervention with families is planned in an integrated way across early childhood sector			<td style="background:orange"></td>				
10	Inability to maintain sustainable traded learning services	1. Services do not get enough business to meet income targets 2. Unexpected increase in cost implications of traded services 3. Services are unviable and stop trading	1. Loss of service provision. 2. Reputational damage. 3. Poorer education outcomes for children and young people	4	4	**16**	SD Learning	HoS Children's, Innovation and Development	1. Cross directorate leadership to support traded activity, including engagement of senior leaders, a strong vision and clarity on what products and services CCC wishes to retain/ what we will let fail. 2. Robust systems and process for target setting, monitoring and forecasting of traded income. 3. Services are re-modelled and/or restructured to better organise for a commercial trading model, maximising cross directorate trading opportunities. 4. Staff in teams with income targets have a well developed and broad range of commercial skills. 5. Partners and service users are involved in the design of services and products. 6. Cost of trading is well understood and appropriately managed through traded activity.	2	3	**6**	1. Workforce Development and Service Development teams to build internal knowledge and capacity, commissioning external expertise where necessary. 2. Complete and embed an options appraisal process for traded product and alternative delivery models . 3. Develop market intelligence and research and forums for co-design with customers. 4. Develop plans for a commercial service which brings together traded products and services to support school improvement. 5. Work with finance to understand true costs of service delivery for traded teams.	SD Learning, HoS CID HoS CID HoS CID SD Learning, HoS CID, LMT HoS CID, Finance	Sep-16 Jun-16 Sep-16 Nov-16 Oct-16		G G A A A

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