Cambridgeshire County Council

Details of Risk					Inherent Risk					Residual Risk			Actions				
Risk No.	Service Committee	Risk Description	Trigger	Result	Probability	Impact	Score	Owner	Key Controls	Probability	Impact	Residual Score	Description	Action Owner	Target Date	Revised Target Date	Action Status
CR30 (Previously H&CI6/ ETERR10)	Highways and Community Infrastructure	Failure to deliver Waste savings/opportunities and achieve a balanced budget	Failure to realise Waste PFI contract opportunities (eg. Reduce cost of Compost Like Output (CLO) and increase income from Third Party Income (PFI)) and manage operational risk of unforeseen contractual events (eg. Wet In Vessel Composting (IVC) waste) leading to significant budget pressures	Savings not delivered and potential increased costs leading to significant budget pressures.	4	5	20	Exececutive Director, ETE	1. Strong contract management and close working with legal and procurement to reduce unforeseen costs where possible e.g. management of amount of waste going to landfill. Regular communication, exchange of information and decision-making 2. The Waste PFI is in service delivery phase - the protection that is provided by the contract terms and conditions is in place. 3. Officers working closely with DEFRA, WIDP, Local Partnerships, WOSP and other local authorities 4. The contract documentation apportions some risks to the contractor, some to the authority and others are shared. 5. Clear control of the risk of services not being delivered to cost and quality by levying contractual deductions and controls if the contract fails or issues arise. 6. During the procurement process, the authority appointed a lead to negotiate risk apportionment. The results of the negotiation relating to financial risk are captured in the Payment Mechanism (schedule 26) and Project Agreement that form part of the legally binding contract documentation. 7. Waste PFI contractor investigating contract for Refuse Derived Fuel (RDF) option for Compost Like Output (CLO).	3	5	15	1. Review revised contract management arrangements after 6 months of implementation. 2. Deliver further contract management training if November review identifies a requirement. 3. Identify options for savings in collaboration with Amey and carry out trials where appropriate. 4. Resolve legacy issues in the round with discussions on savings and opportunities.	Director of IMO / Director of IMO / Adam Smith / Exec Director of ETE	Nov-16 / Jan-17 / Nov-16 / Dec-16		G / G / C / A
H&CI 1	Highways and Community Infrastructure	Business Disruption	1. Loss of staff (large quantities or key staff) 2. Loss of premises (including temporary denial of access) 3. Loss of IT, equipment or data 4. Loss of a supplier 5. Loss of utilities or fuel	1. Inability to deliver consistent and continuous services to vulnerable people 2. School closures at critical times impacting students' ability to achieve 3. Inability to fully meet legislative and statutory requirements 4. Increase in service demand (e.g. in pandemic) 5. Inability to respond to citizens' request for services or information 6. Lasting reputational damage	4	4	16	Executive Director, ETE	1. ETE functions have been reviewed and evaluated in terms of impact if not delivered over time. 2. ETE Business Continuity Plan (BCP) contains summary results of this process and facilitates prioritisation of functions in an emergency situation. 3. ETE BCP regularly reviewed and updated to ensure it contains accurate and current contact information. 4. ETE Mass messaging list in place to ensure ETE Managers & Key Officers can be easily reached in an emergency situation	4	3	12	1. BCP Desktop exercise to be planned & delivered 2. Multiple IT Systems Failure agreement to be signed off for ETE	Economy, Transport / Business	Dec-16 / Nov-16		A / A
H&CI 2 Previously ETERR2 (Relates to CRR1a)	Highways and Community Infrastructure	Failure to effectively plan and deliver how the Council will deliver services over the five year business plan commencing 2016/17	1. Failure to have clear political direction, vision, priorities, and outcomes in the Business Plan. 2. Failure to plan effectively to achieve necessary efficiency savings and service transformation. 3. Failure to identify sufficient additional savings in addition to existing plans, in light of forthcoming CSR. 4. Worsening Pension Fund deficit. 5. Legislation changes add unforeseen pressure to Council savings targets. 6. Failure to deliver (with partners) on 2016/17 five year business plan and achieve required efficiency savings and service transformation. 7. Assumptions in existing business plan regarding the wider economic situation are inaccurate. 8. Organisation not sufficiently aligned to face challenges. 9. Failure to deliver current 2015/16 savings	ETE lacks clear direction for resource use and either over-spends, requiring the need for reactive savings during the life of the plan, or spends limited resources unwisely, to the detriment of local communities. 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.	5	5	25	Executive Director, ETE	1. Robust political leadership, strong vision, clear priorities and policies, developed through Councillor engagement 2. Robust engagement with members of Corporate Leadership Team (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. Early engagement with CLT, Heads of Service and Councillors to generate further ideas for innovation, transformation and savings. 5. Stronger links with service planning, seeking to transform large areas of spend. 6. Business Planning process requires early identification of possible impacts of legislative change, as details emerge. 7. ETE engagement in the Corporate Business Planning process through regular attendance at Weekly Leads Meetings and Business Planning Coordination Group 8. Robust service planning; priorities cascaded through management teams and through appraisal process 9. Strategy in place to communicate vision and plan throughout the organisation 10. A set of key indicators and targets for the whole Council is agreed each year through the Business Planning process. These are monitored and reported monthly to the Council's General Purposes Committee through the Integrated Resources and Performance Report. 11. ETE Performance Management Framework; key indicators and targets are reviewed annually following approval of the Business Plan. Performance management in ETE includes monitoring and reporting of performance against targets for key indicators through the ETE Finance and Performance Report. This is reported monthly to ETE Management Team and to the two Council Committees covering ETE activity. Additionally there is more detailed regular monitoring and reporting through performance reports to Directorate Management Teams. 12. Strengthened 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. Directorate Management Teams/Programme Governance Boards to ratify decisions 13. Rigorous risk management discipline embedded in all transformation programmes/projects, with escalation process 14. Integrated performance and resource reporting; a. Monthly progress against savings targets, b. Budget holders monthly meetings with LGSS Finance Partner/External Grants Team, producing BCR, c. Regular meetings with Director of Finances151 Officer, Committees and relevant Directors to track exceptions and identify remedial actions 15. Limited reserves for minor deviations 16. Routine monitoring of savings delivery to identify any required interventions 17. Financial monitoring enables budget pressures to be quickly identified 18. Regular meetings with Financial Advisers 19. Business Managers to identify efficiencies and act promptly. 20. Monitoring of income against targets to ETE Management Team and Directorate Management Teams. 21. Detailed reporting on income monitoring reported to Directors Management teams. 22. Regular maintenance of the ETE savings Tracker and reporting to ETE Directors	3	4	12	1. Identify ETE Transformation bids and develop robust Business Cases in time for the SMT and Member consideration 2. Draft Committee reports with details of ETE proposals 3. Complete Community Impact Assessments (CIA's) for all Business Planning Proposals	Heads of Service and Business Development Team / Business Development Team / Heads of Service and Business Development Team	Dec-16 / Oct-16 / Oct-16		G / G / G
H&CI 4 Previously ETERR8	Highways and Community Infrastructure	Failure to manage ETE Information Systems	Process for management of software including licensing and data quality issues is not fully embedded within ETE.	Inaccurate, incomplete and out-of-date information held on systems and inefficient processes lead to errors. Potential to make errors relating to information held on IT Systems. Impact on service delivery.	4	4	16	Executive Director, ETE	1. Work with Information Governance to ensure that our systems meet the required data quality standards 2. Review licensing arrangements to ensure that software is used efficiently and is value for money 3. ETE Virtual IT Group set up and utilised 4. Portfolio management process to ensure duplication/proliferation of IT systems does not occur 5. Regular reporting to ETE Management Team on Digital First Board and other IT activity 6. ETE representation at the Digital Delivery Group, the operational group that feeds into the Digital First Board 7. Contribute to Business Systems Review to ensure savings are made through utilising shared systems across CCC 8. Keep all IT SLA documents in the SharePoint folder for LGSS to review	2	3	6	1. Rollout of Laptops and Docking Stations within ETE 2. Pilot Skype for Business in ETE	Business Development Team / Business Development Team	Jan-17 / Dec-16		G / G
H&CI 5 Previously ETERR9	Highways and Community Infrastructure	Organisational Change - ETE	Significant changes to service provision and organisational structure within ETE as a result of implementing business plan proposals.	Changes cause uncertainty for staff and adverse impact on - service delivery - employee relations, - employee engagement - trust in employer, - morale and reputation; leading to increased voluntary turnover, increased absence levels, and reduced ability to recruit and retain high quality employees.	5	3	15	Executive Director, ETE	1. Effective communication ensured through the agreed ETE Communications strategy. 2. Be aware of the impact on staff and that their performance might be adversely affected and utilise staff feedback from Pulse Survey 3. Ensure corporate memory is retained through succession planning 4. Be aware and plan for future retention issues 5. Monthly absence and HR reporting to ETE Directors	3	3	9	1. Review ETE Communications Strategy 2. Support and communicate the Corporate Capacity review through to implementation	Business Development Team / Executive Director, Economy Transport and Environment	Dec-16 / Jan-17		A / G
H&CI 7 Previously ETER16	Highways and Community Infrastructure	Failure to have appropriate processes in place to protect Employees	Written, verbal or physical threats received by members of staff.	Services withdrawn, personal injury or harm to ETE employee. Impact on CCC reputation.	2	5	10	Executive Director, ETE	1. Lone working policy. 2. Systems/risk assessments for those most at risk. 3. Service specific procedures in place, e.g. Safe Systems of Work (SSoW). instruction, training, supervision, protective equipment, good diary management, 'call in' and "Buddy" systems, location mapping, active and passive monitoring and/or other means of ensuring an individuals safety. 4. Conflict resolution & Personal Safety training sessions provided 5. Zero tolerance policy against violent, abusive and threatening behaviour - signage and guidelines available via CamWeb. 6. ETE Strategic Health and Safety Group 7. Review H&S training provided 8. Maintain and regularly review the H&S Action Plan	1	5	5	1. Update the generic workplace assessment form 2. Undertake audits on H&S practices across ETE	Chair of ETE Strategic Health and Safety Group	Dec 16 / Dec 16		A
H&CI 12	Highways and Community Infrastructure	Failure to maximise the benefits from the appointment of a new Highway's Partner in 2017	Failure to drive through effective and sustainable transformation of how highway services are delivered. Failure to fully deliver all or part of the desired service outcomes for Cambridgeshire during the life of the new highways contract.	Setbacks to high profile initiatives such as the City Deal and Local Transport Plan. Negative impact on the Council's ability to secure DfT maintenance funding associated with an asset led approach. Failure to fully deliver either financial savings or expected standard of service on an annual basis.	3	5	15	Service Director, Infrastructure Management and Operations?	1. Creation of a Highways Transformation Board with Member and senior level representation - to meet monthly. 2. Follow national best practice in the form of an NEC3 contract as per HMEP standards and guidance. 3. Engagement with the external provider market prior to commencement of the procurement process - bidder events / 1:1's 4. Clear governance structure in place below Board level, including defined roles and responsibilities. 5. Use of external, specialist resource to provide support to CCC through the procurement process.	3	4	12	1. Regular engagement with the wider ETE services with regards to a suitable service specification, both day one and during the life of the contract. 2. Weekly Core Group and project group meetings to highlight issues 3. Timely dissemination of information / data to bidders 5. Regular engagement with Elected Members. 6. Identification of additional resource - free up capacity within the	Head of Highways / Head of Highways / Head of Highways / Head of Highways / Head of Highways	Jul-17 / Jul-17 / Nov-16 / Jul-17 / Sep-17		G / G / G / G / G

Legend:

IMPACT \ LIKELIHOOD	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