

Risk		01. Council's arrangements for safeguarding vulnerable children and adults fail									
Likelihood	5										
	4										
	3										X
	2										
	1										
		1	2	3	4	5					
		Consequence									

COVID RELATED TO A): * To source redeployed staff from the county hub to redeploy SW staff across the service and seek agency SW cover as a last resort to ensure safeguarding is prioritise * Ongoing monitoring of staff sickness to intervene prior to rates increasing	Good		
COVID RELATED: C) * County Hub redeploying Council staff / reablement staff and volunteers and commissioning St John's Ambulance for volunteering service, CCG Adults social care staff going into care homes to support good infection control * Additional government funding made available to support to support infection control measures * Health and Social care Multi-disciplinary teams are established to support each care providers * Alternative online resources to maintain contact with se	Good		
COVID RELATED: D) * Reduced the number of children accessing the residential respite provision * Created bubbles of individual children and staff to reduce the spread of infection * Provided outreach support staff into the homes of children with disabilities where they are unable to access the respite provision	Good		
COVID RELATED: E) Developing alternative placement provision in case this is needed	Good		
COVID RELATED: F) * Business cases to increase reablement capacity / social work capacity being applied for (Social work agreed) * Recruitment campaign on reablement and could over-recruit has been agreed	Good		
COVID RELATED: B) * Safeguarding board regularly flooding social media with communications urging the public to report any safeguarding concerns and individuals suffering harm to make direct contact with Social care * Adults and children's social care regularly reviewing whether face to face contact can be resumed * Risk assessing when face-to-face visits are required, however, likelihood early intervention is reduced. * Developing a proposal regarding a care home support team and curren	Good		
Weekly reports to Exec Director from Service Direcors on Caseloads, highlighting caseload nos. and children in care nos.	Good		
Weekly DMT's to discuss and escalate issues	Good		

Action Plans	Assurance	Responsibility	Target Date

Risk Path:

Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:
Linked Objective(s):

Risk		02. The Council doesn't have enough budget to deliver agreed corporate objectives									
Likelihood	5										
	4										
	3										
	2										
	1										
		1	2	3	4	5					
		Consequence					Risk Owners		Chris Malyon		
							Current Score		20		
							Target Score				
							Previous Score				
							Triggers		Likelihood Factors (Vulnerability)		Potential Consequences
							1. The Council spends more resources than it has by the end of the year and does not have sufficient reserves to cover a minor deviation 2. No clear policies, procedures or governance framework for budget setting and monitoring 3. Non-compliance with corporate processes 4. Poor demand management of services 5. inflexible budget 6. staff without appropriate s/k/e 7. The Council is a victim of major fraud and corruption		1. Increased demand to services 2. Coronavirus/ Pandemic 3. Local elections 4. Changes to government funding 5. Long-term Brexit implications 6. Legislative changes		1. Council is issued with a 114 notice 2. The Council does not deliver its statutory responsibilities, leading to judicial review 3. People do not receive the services to which they are entitled or require, and may be harmed as a result 4. Reputational damage

Controls	Adequacy	Critical Success	Assurance
01. Robust Business Planning process	Good	Continued support from SMT to act collectively to develop budget proposals which meet the financial challenge	
02. Robust service planning, priorities cascaded through management teams and through appraisal process	Good	Staff have clarity of what is expected of them and deliver services within the available budget	
03. Integrated resources and performance reporting (accountable monthly to GPC), tracking budget, savings, activity and performance	Good	Saving proposals delivered	
04. Operational division Finance and Performance Reports (accountable monthly to Service Committees), tracking budget, savings, activity and performance	Good	Saving proposals delivered	
05. Scheme of Financial Management, including Budget Control Report for the Council as a whole and operational divisions	Good	Clear budget process, effective engagement with it and compliance	
06. Procurement processes and controls ensure that best value is achieved through procurement	Good		
07. Regular meetings between Finance and budget holders at all levels of the organisation to track exceptions and identify remedial actions	Good	Meeting of financial targets and deadlines. Political engagement and approval	
08. Rigorous treasury management system plus tracking of national and international economic factors and Government policy	Good		
09. Rigorous risk management discipline embedded in services and projects	Good		
10. Adequate reserves	Good		
11. integrated Resources and Performance Report	Good		
12. Finance and performance Reports	Good		
13. Financial Procedure rules 14. Anti-fraud and corruption policy 15. whistleblowing policy 16. Codes of Conduct 17. Internal control framework 18. Fraud detection work undertaken by IA, CounterFraud 19. Awareness Campaigns 20. Anti money laundering policy 21. Publication of spend data	Good		

Action Plans	Assurance	Responsibility	Target Date

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council
Risk Category:
Linked Objective(s):

Risk		03. In the midst of the Covid-19 pandemic A serious incident occurs, preventing services from operating and / or requiring a major incident response.												
Likelihood	5							Risk Owners	Sue Grace		Current Score	12	Last Review	04/03/2021
	4													Next Review
	3					X		Triggers	Likelihood Factors (Vulnerability)		Potential Consequences			
	2													
	1													
		1	2	3	4	5								
Consequence														

Controls	Adequacy	Critical Success	Assurance
1. Corporate and service business continuity plans	Reasonable	Up to date business continuity plans available across the Council	"Experience through Covid, has demonstrated agility of the workforce in delivering services. Tested and stressed, radically change the operating environment, e.g. majority of staff working remotely. Develop options in exceptional circumstances. Active engagement in BCP"
2. Relationships with trade unions including agreed exemptions	Good		engagement has stepped up. Weekly meetings undertaken. More frequent engagement and contact with TU's
3. Corporate communication channels in case of emergency	Good	Responsive media strategy	"media, community engagement, working with and through comms leaders, social media campaigns, internal comms. Updating with partners, shared comms. Comms for Members, district and city as well as county. Regular comms with MP's. Frequency and intensity accelerated. "
4. Multi-agency collaboration through the Cambridgeshire & Peterborough Local Resilience Forum	Good		"tactical and strategic are a part of BAU. Standing up of range of specic sub groups with reporting up to gold strategic gorup. Tackle with partners specic issues. LRF permanently stood up tactical and strategic. Comms and warning and inform group. excess deaths group re-stood up. frequency and intensity and range and nature accelerated significantly. "
5. IT disaster recovery arrangements	Reasonable	Up to date IT disaster recovery plans in place	
6. Resilient Internet feed	Good		"since March ,considerable work undertaken to strengthen and improve resilience of network, high proportion of WFH for staff and Members can be sustained. Regular monitring process and escalated "
7. Business continuity testing	Good	Regular testing undertaken	"Constantly having to reposition the delivery of the business. Constantly revised and re-written and tested. Particularly those in response mode.
8. Corporate Emergency Plan	Good		
9. Local outbreak control plan	Good		"Published end of june. Comprehensive multiagency plan. Prevention and mitigation and management. Public facing plan - operational aspects of plan

			<p>Reviewing plan - operational aspects of plan constantly being reviewed and updated. Change in advice/ guidance and ededemiology update. i.e. government 'watchlist'. contain framework - upper tier LA's. CEX new powers, on advice from Dirctor of Public Health. captured within local outbreak control "</p>
8. IT security – data encryption, hardware firewalls, network traffic monitoring, inbound mail monitoring, spam filters, web content filtering, anti-virus software (Moved From previous risk 3)			

Action Plans	Assurance	Responsibility	Target Date
1. Fire Safety On-line training now completed following up on staff who have failed to complete it. Programme of training evacuations have taken place with limited success particularly in the large corporate buildings. A new programme of evacuations plus an update on the procedures is taking place supported by CEO.			31/12/2021
2. Testing disaster recovery plans			31/04/2021

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		04. The Council does not deliver its statutory or legislative obligations																		
Likelihood	5											Risk Owners	Fiona McMillan	Current Score	8	Last Review	04/03/2021			
	4																	Next Review	04/06/2021	
	3																			
	2											Triggers	Likelihood Factors (Vulnerability)	Potential Consequences						
	1																			
		1	2	3	4	5														
	Consequence												1. Major business disruption 2. Lack of management oversight 3. Negative inspection judgement 4. Poor financial management 5. Insufficient Finance 6. Personal Data is inappropriately accessed or shared.			1. Current local financial pressures 2. Ongoing national reduction in public sector funding 3. Changes to statutory/Legislative duties			1. Harm to people as a result of them not getting services they need or are entitled to 2. Criminal or civil action against the Council 3. Negative impact on Council's reputation	

Currently unable to report on who hasn't completed mandatory training i.e. no exception reporting.
System not sufficient. Proposal to be brought by Data Protection Officer

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council
Risk Category:
Linked Objective(s):

Risk		05. Our human resources are not able to meet business need.														
Likelihood	5															
	4															
	3															
	2										X					
	1															
		1	2	3	4	5										
Consequence																
Risk Owners		Janet Atkin					Current Score		10		Last Review		10/03/2021			
							Target Score				Next Review		10/06/2021			
							Previous Score									
Triggers							Likelihood Factors (Vulnerability)					Potential Consequences				
1. skills shortage in key areas including partners. 2. Talent management is inadequate. 3. failure to achieve a healthy organisational culture and environment 4. ineffective demand management strategies 5. ineffective workforce planning							1. Cost of living in some areas of Cambridgeshire is particularly high 2. acute skills shortage in key areas including partners. 3. Brexit 4. Impact of covid 5. increase in demand for services.					1. The Council is unable to recruit staff with the right skills and experience 2. Failure to deliver effective services 3. Reputational damage to the Council 4. Low morale and negative impact on staff wellbeing.				

Controls	Adequacy	Critical Success	Assurance
1. Fair recruitment policy. Recruitment and Retention Board meets bi-monthly, focussed on social care.	Good		
2.3 year People Strategy, endorsed by Members with accompanying action plan to ensure the right focus on recruitment, retention and talent management..	Good		
3. Targeted recruitment campaigns.	Good		
4. Appraisal system linked to performance management	Good		
5. HR Business Partners - work with service to help anticipate and meet the demands within each area	Good		
6. Report on quarterly basis to management teams on workforce and performance	Good		
7. Annual report to staffing and appeals committee	Good		
8. Well established consultative framework with trade unions, including fortnightly meetings throughout the Covid period	Good		
8. Use of Consultants Policy	Good		
9. Monthly Pulse Surveys established to identify and respond quickly to	Good		

Action Plans	Assurance	Responsibility	Target Date
Work with the service directors to create a comprehensive L&D strategy to support			30/06/2021
Development of own learning platform			30/06/2021
New values and behaviours framework			30/06/2021

Risk Path:
 Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		06. Insufficient community infrastructure to deliver the Council's services									
Likelihood	5										
	4										
	3										
	2										
	1										
		1	2	3	4	5					
		Consequence									

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		07. Failure to Deliver Key Council Services									
Likelihood	5										
	4										
	3										
	2										
	1										
		1	2	3	4	5					
		Consequence					Risk Owners		Wendi Ogle-Welbourn; Steve Cox		
							Current Score				
							Target Score				
							Previous Score				
							Triggers		Likelihood Factors (Vulnerability)		Potential Consequences
							01. Placement sufficiency – schools, independent sector CIC and adult placements 02. Workforce sufficiency – council and independent sector and partners 03. Skills sufficiency 04. Lack of Business Continuity Plans for Key Services 05. Poor Contract Management 06. Poor Project Management 07. Poor Governance around Partnership working 08. Capacity issues 09. Poor Demand Management 10. Poor escalation process for concerns 11. Insufficient budget setting and management 12. Non-compliance with Corporate policies and procedures		01. Failure of Key Supplier 02. Change in government funding 03. Pandemic 04. Long-term Brexit implications 05. Local Elections 06. Increased Demand on key services		Children and adults inappropriately placed leading to increased risk of harm, poor health and social outcomes Children and adults do not receive services they need to reduce the risk of harm, reach their educational and independence potential

Controls	Adequacy	Critical Success	Assurance

Action Plans	Assurance	Responsibility	Target Date
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Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):
