## **Cambridgeshire County Council**

Ris	sk	01. (	Coun	cil's a	arranç	gement	s for safeguarding vulnerable children and a	dults fail	
	5						Risk Owners Wendi Ogle-Welbourn	Current Score 15 Target Score	Last Review         04/03/2021           Next Review         04/06/2021
þc	4					X	Triggers	Previous Score  Likelihood Factors (Vulnerability)	Potential Consequences
Likelihood	2					^	<ul><li>01. Inherent weaknesses in safeguarding governance arrangements</li><li>02. Poor quality of practice in the delivery of responsibilities</li></ul>	Decrease in government funding     Failure of third party providers     Increased expectations on local government     increase in demand for services	Child or vulnerable adult is killed or seriously harmed     People lose trust in Council services     Council is judged to have failed in statutory duties
	1	1	2	3	4	5	No. Ineffective Management Oversight     High Caseloads     Number of Children with a child protection plan or in		
				quence	е		care 06. Poor Ofstead/ CQC		

Controls	Adequacy	Critical Success	Assurance
			noodiulioo
01. 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 and safeguarding.		Regular reporting	
02.Comprehensive and robust safeguarding training, ongoing development policies and opportunities for staff, and regular supervisions monitor and instil safeguarding procedures and practice		High quality supervision and support. Professional staff are able to continue registration with their professional bodies	
03.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	Good	Audit and inspection recognises good compliance with procedures	
04. Multi-agency Safeguarding Boards and Executive Boards provides multi agency focus on safeguarding priorities and provides systematic review of safeguarding activity	Good		
05.Whistleblowing policy, robust Local Authority Designated Officer arrangements, complaints process, all of which inform practice  Clear 'People in Position of Trust' policy and guidance in relation to Adults	Good		
<ol> <li>Robust process of internal Quality Assurance (QA framework) including case auditing and monitoring of performance</li> </ol>		Regular auditing and reporting	
07.Multi Agency Safeguarding Hub (MASH) for both Adults and Children supports timely, effective and comprehensive communication and decisions on how best to approach specific safeguarding situation between partners.	Good		
08. Regular monitoring of social care providers and information sharing meetings with other local organisations, including the Care Quality Commission	Good	Regular auditing and reporting	
09. Joint protocols, practice standards and QA ensure appropriate joint management	Good	Regular auditing and reporting	
10. Coordinated work between multi-agency partners for both Adults and Childrens. In particular 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 Safeguarding Boards	Good	Effective and safe implementation	
11. Continue to work with the CQC to share information	Good	Regular reporting	
12. Caseloads are reducing as the move away from the Unit model to specialist teams becomes embedded. Oversight & challenge from QA Service and the Local Safeguarding Board	Good		
13. Move to non-caseloading team Managers has increased oversight and challenge. Skilled and experienced safeguarding leads and their managers	Good		
14. Joint funded packages of Support  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	Good		
15. Adults regular meetings to monitor progress and risks with CQC regulator	Good		
16. Managing demand and ensuring adults and children receive right intervention at the right time Implementation of Family Safeguarding and review of operation of MASH and IFD in Children's	Good		

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					
Weekly reports to Exec Director from Service Direcors on Caseloads, highlighlighting 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

		Catego d Obje	ry: ctive(s	s):												
Ris	k	02. T	he C	ounci	l does	sn't hav	e enough bu	dget to	deliver agree	d corporate	objectives					
	5					X	Risk Owners	Chris Ma	alyon	Current Score Target Score Previous Score	20		Last Review Next Review	04/03/2021 04/06/2021		
p	•						Triggers				Likelihood Factors	(Vulnerability)		Potential Conse	quences	
1. The Council spends me end of the year and does cover a minor deviation					and does leviation cies, proce ng and mo nce with c	not have sufficier edures or governa onitoring corporate processo	an it has by the ent reserves to 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 a entitled or require, and may be harmed as a result 4. Reputational damage					
					appropriar	of major fraud ar	·									
	trols Robus	t Busin	ess Pla	anning <sub>l</sub>	process	3			Adequacy Good	Conti	op budget proposals	SMT to act collectively to swhich meet the financial	Assurance	ce		
	Robust service planning, priorities cascaded through management eams and through appraisal process						through manager	ment	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							monthly	Good	Savir	ng proposals delivere	ed				
04.C	perati	onal di	ivision l	Finance	and P	erforman	ce Reports (accou	ıntable	Good	Savir	ng proposals delivere	ed				1

Action Plans	Assurance	Responsibility	Target Date

Risk Category: Linked Objective(s):

Risk Path:

Ris	k	03. Ir	n the	midst	of th	ne Cov	id-19 pandemi	c A serious incident occurs, pre	enting services	from operating and / or	requiring a maj	or incident response.	
	5						Risk Owners	Sue Grace	Current Score Target Score	12	Last Review Next Review	04/03/2021 04/06/2021	
	4								Previous Score				
ρ	,				х		Triggers	Triggers		(Vulnerability)	Potential Conse	equences	
hoc	3				^			quantity of staff or key staff	0 0	nvironment hazards such as	<ol> <li>Inability to del</li> </ol>	iver services to vulnerable people,	
Likelihood	2						<ol><li>Loss of key paccess)</li></ol>	premises (including temporary denial of	flooding and severe 5.Pandemic	weather	resulting in harm to them  2. Inability to meet legislative and statutory requirements  3. Increase in service demand  4. Reputational damage		
-							,	quipment or data					
	1						4. Loss of a Ke	• • • •					
		1	2	3	4	5		es or fuel ott House IT Disaster Recovery at One Angel Square, Northampton					
					)		4. Decreasing re	esilience in CCC services due to ongoing					

Controls	Adequacy	Critical Success	Assurance
. 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 stresssed, radically change the operating environment, e.g. majority of staff working remotely. Develop options in exceptional circumstances. Active engagement in BCP"
. Relationships with trade unions including agreed exemptions	Good		engagement has stepped up. Weekly meetings undertaken. More frequent engagement and contact with TU's
. 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. "
. Multi-agency collaboration through the Cambridgeshire & Peterborough ocal Resilience Forum	Good		"tactical and strategic are a part of BAU. Standing up of range of spefic sub groups with reporting up to gold strategic gorup. Tackle with partners specifc 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. "
IT disaster recovery arrangements	Reasonable	Up to date IT disaster recovery plans in place	
. 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 "
. 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.
. Corporate Emergency Plan	Good		
). Local outbreak control plan	Good		"Published end of june. Comprehensive multiagency plan. Prevention and mitigation and management.  Public facing 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 "
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			31/12/2021
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.			
2. Testing disaster recovery plans			31/04/2021

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

Ris	k	04. The Council does not deliver its statutory or legislative obligations											
	5						Risk Owners	Fiona McMillan	Current Score	8	Last Review	04/03/2021	
1 1									Target Score		Next Review	04/06/2021	
	4								Previous Score				
B	3		1	Triggers		Likelihood Factors		Potential Conse	quences				
ğ							Major busine	•	Current local finan	•	Harm to people as a result of them not getting services they need or are entitled to     Criminal or civil action against the Council     Negative impact on Council's reputation		
ikeliho	2				Х			agement oversight pection judgement		reduction in public sector funding ory/Legislative duties			
-							4. Poor financia		5. Changes to statute	or y/Legislative duties			
	1						<ol><li>Insufficient F</li></ol>	inance					
1 1		4	_	3	4	-	6. Personal Dat	a is inappropriately accessed or shared.					
		1	2	3	4	0							
	Consequence												

Consequence			
Controls	Adequacy	Critical Success	Assurance
Monitoring Officer role	Good		
Proactive role on JMT. Sign off on all legislative changes.			
Code of Corporate Governance	Good		
Community impact assessments required for key decisions	Good		
<ol> <li>Business Planning process used to identify and address changes to legislative/regulatory requirements</li> </ol>	Good		
Projects and training to ensure the implementation of legislative changes (e.g. Care Act)	Good		
Constitutional delegation to Committees and SMT	Good		
7. Health and safety policies and processes	Good		
8. Preparation and improvement undertaken for inspections by regulators (e.g. Ofsted)	Good		
9.Service managers kept up to date with changes by Monitoring Officer / LGSS Law, Government departments, professional bodies, involvement in regional and national networks	Good		
1 Mandatory information security training for all staff 2. Further training available and encouraged 3. Regular communications to all staff and at key locations (e.g. printers) 04. Strategic info management board, including senior info risk owner (JMT member) and caldicott guardian, oversee all info. governance activity 05. comprrehensive info managmeent policy framework 06. procedure for notifying, handling and managing data breaches 07. data breaches and performance indicators reported to info management board and JMT 08. JMT provided with annual assurance on penetration testing around cyber security	Good		

Action Plans	Assurance	Responsibility	Target Date

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

Risk Path: Cambridge

Cambridgeshire County Council/Cambridgeshire County Council

Risk Category: Linked Objective(s):

Risk 05. Our human resources are not able to meet business need.													
	5						Risk Owners	Janet Atkin	Current Score	10	Last Review	10/03/2021	
ŀ									Target Score		Next Review	10/06/2021	
	4							1	Previous Score			1	
ğ	3						Triggers		Likelihood Factors	(Vulnerability)	Potential Conse	quences	
Likelihood	<u> </u>							e in key areas including partners.		me areas of Cambridgeshire is		unable to recruit staff with the right	
ke	2					Х		gement is inadequate. ieve a healthy organisational culture and	particularly high	ge in key areas including partners.	skills and experience 2. Failure to deliver effective services 3. Reputational damage to the Council		
_							environment	leve a fleatiny organisational culture and	3. Brexit	ge in key areas including partners.			
	1							amand management strategies	4. Impact of covid		4. Low morale and negative impact on staff wellbein		
		1	2	3	4	5	5. ineffective wo	orkforce planning	5. increase in deman	nd for services.			
L					·								
			Conse	quence	•		_						

Controls	Adequacy	Critical Success	Assurance	
Fair recruitment policy. Recruitment and Retention Board meets bimonthly, focussed on social care.	Good			
2.3 year People Strategy, endorsed by Members with accompanying action plan to ensure the right focuss on recruitment, retention and talent management.	Good			
3. Targeted recruitment campaigns.	Good			
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			
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):

	Linked Objective(s):															
Risk 06. Insufficient community infrastructure to deliver the Council's services																
	5						Risk Owners	Steve Co	Σ		Current Score	12		Last Review	04/03/2021	
											Target Score			Next Review	04/06/2021	
	4										Previous Score					
po	3				Х		Triggers				Likelihood Factors			Potential Conse	•	
liho							<ol> <li>Insufficient funds</li> </ol>	inding to n	neet needs received from			ucture funding available				
Likelihood	2						•Section 106	<ul> <li>Section 106</li> <li>Community infrastructure levy</li> <li>School infrastructure funding</li> <li>Partnerships do not deliver new infrastructure / services</li> </ul>			Greater Cambridge Partnership, and Combined Authority			social outcomes  2. Greater borrowing requirement to deliver		
_	4						,				2. Willingness of stakeholders to embrace			infrastructure which is unsustainable financially		
	1										development 3. Changes in grant funding 4. failure of a key supplier			Increased pressure on already stretched maintenance budgets		
		1	2	3	4	5										
								undermir	ned due to inability to adequ	ately						
04. Infrastructure deliv planning process					-	planning not tied to busines	SS									
Con	trols								Adequacy	Critic	al Success		Assuranc	ce		]
Maximisation of developer contributions through Section 106     negotiations. Policy is to deal with strategic development sites through								rouah	Good							

Controls	Adequacy	Critical Success	Assurance
Maximisation of developer contributions through Section 106     negotiations. Policy is to deal with strategic development sites through s106, not including CIL	Good		
2. Section 106 deferrals policy is in place.	Good	Agreed and adopted by the Council	
3. Capital Programme Board	Good	Regular reporting	
Prudential borrowing strategy	Good		
<ol><li>Review, scrutiny and challenge of design and build costs to ensure maximum value for money</li></ol>	Good		
Co-ordination of requirements across partner organisations to secure viable shared infrastructure	Good		
<ol> <li>Annual school capacity return to Department for Education seeks to ensure maximum levels of funding for basic need</li> </ol>	Good		
Maximise annual maintenance block funding from Central Government, maintaining band 3 of the incentive fund.	Good		

Action Plans	Assurance	Responsibility	Target Date

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category: Linked Objective(s):

Ris	or. Failure to Deliver Key Council Services												
	5						Risk Owners	Wendi Ogle-Welbourn; Steve Cox	Current Score		Last Review	04/03/2021	
									Target Score		Next Review	04/06/2021	
	4								Previous Score				
ρ	2						Triggers		Likelihood Factors	(Vulnerability)	Potential Consec	quences	
Likelihood	3								01. Failure of Key Su		Children and adul	ts inappropriately placed leading to	
éli	2						CIC and adult pl		02. Change in govern	nment funding	increased risk of harm, poor health and social		
Ξ								sufficiency – council and independent	03. Pandemic		outcomes		
	1							sector and partners 03. Skills sufficiency		04. Long-term Brexit implications 05. Local Elections		Children and adults do not receive services they need to reduce the risk of harm, reach their educational and	
										06. Increased Demand on key services		independence potential	
		1	2	3	4	5	05. Poor Contra	, ,		,			
		,	Conse	quence	e		06. Poor Project 07. Poor Goverr 08. Capacity iss 09. Poor Demar 10. Poor escalat 11. Insuffiicient I	t Management nance around Partnership working ues					

Controls	Adequacy	Critical Success	Assurance

Action Plans Assurance Responsibility Target Date

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

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