

S&D Risks in Corp and E&E Registers

Version Date: May 2016

Details of Risk					Inherent Risk				Key Controls/Mitigation	Residual Risk			Actions					Action Owner Acronyms explained
Risk No.		Risk Description	Trigger	Result	Probability	Impact	* Score	Owner		Probability	Impact	* Score	Description	Action Owner	Target Date	Revised Target Date	Action Status	
Corporate Risks																		
CR 9		Failure to secure funding for infrastructure	1. Insufficient funding is obtained from a variety of sources, including growth funds, section 106 payments, community infrastructure levy and other planning contributions, to deliver required infrastructure . This is exacerbated by the austerity measures and reduced government funding for local authorities.	1. Key infrastructure, services and developments cannot be delivered, with consequent impacts on transport, economic, environmental, and social outcomes. This could also result in greater borrowing requirement to deliver essential infrastructure and services which is unsustainable.	5	4	20	ED ETE ED CFA	4	4	16	1. Maximisation of developer contributions through Section 106 negotiations.	HoTIPF	Dec-15	May-16		G	
												2. Prudential borrowing strategy is in place.						
												3. Section 106 deferrals policy is in place.						
												4. External funding for infrastructure and services is continually sought.						
												5. Maintain dialogue with Huntingdonshire DC and East Cambridgeshire DC where Community Infrastructure Levy is in place to secure CIL monies for County projects.						
												6. Strategic development sites dealt with through S106 rather than CIL and S106*						
												*In dealing with sites through S106 alone the County Council has direct involvement in negotiation and securing of developer contributions to mitigate the impact of a specific Development						
												7. County planning obligation strategy being developed for district's and CCC use in identifying community infrastructure needs.						
												8. Lobby with LGA over infrastructure deficit						
												9. On-going review, scrutiny and challenge of design and build costs to ensure maximum value for money						
10. Coordination of requirements across Partner organisations to secure more viable shared infrastructure																		
11. Respond to District Council Local Plans and input to infrastructure policy at all stages of the Local Plan process.																		
12. Maintain dialogue with Cambridge City Council and South Cambridgeshire District Council to input into Community Infrastructure Levy prior to adoption of the Local Plan. (Adoption of CIL anticipated 2016)																		
CR 22		The Cambridgeshire Future Transport programme fails to meet its objectives within the available budget	1. Cambridgeshire Future Transport fails to deliver effective, efficient and responsive passenger transport services around Cambridgeshire	1. The accessibility needs of Cambridgeshire residents are not met, contributing to social exclusion, poor take up of employment and education opportunities, and reduced quality of life. 2. Failure to complete on time may result in business plan savings are not achieved.	4	5	20	DoSD	1	3	3	A14 Corridor, A1 Corridor/A14, Harston and Great Shelford:Tenders for services 400 and 401 are in the process of being awarded.	HoPT	May-16	Jul-16		G	
												2. The Cambridgeshire Future Transport programme board consisting of representatives from ETE, CFA and Comms						
												3. Strategic business case, Risks and Issues Log and programme is in place.						
												4. Communications strategy has been developed.						
												5. Engagement strategy including stakeholder mapping has been developed.						
												6. Bi-weekly project team meetings.						
												7. Updates are provided for Members via Key Issues.						
												8. Two year programme in place for review of the commissioning of services.						
CR 26		Increasing manifestation of Busway defects	1. Failures of Busway bearings or movement of foundations continue and increase	1. Significant and ongoing costs to maintain the Busway or restricted operation of the Busway to the extent that it will no longer be attractive to operators or passengers.	5	5	25	ED ETE	2	5	10	Survey and investigation work. Programme of investigation and surveys agreed with BAM Nuttall to better understand nature, cause and possible solutions to defects are complete. The results are being compiled and our independent experts will be producing a report. Other actions put on hold pending outcomes.	Service Director Strategy and Development, ETE	June 2016		G		
												2. Defects have been notified to Contractor in accordance with Contract . The Contractor has failed to investigate the defects or correct the defects within the defect correction period. A process is established to record defects and pass on to the Contractor.						
												5. Independent Expert advice has been taken confirming that the defects are defects under the Contract and that a programme of preventative remedial action is required and will be cheaper overall and less disruptive in the long run than a reactive response.						
												6. Legal Advice has been taken confirming that the defects are defects under the contract and that the Council has a good case for recovering the cost of correction from the Contractor						
												7. Retention monies held under the contract have been withheld from the Contractor and used to meet defect correction and investigation costs.						
												8. Funds have been set aside from the Liquidated Damages withheld from the Contractor during construction, which are available to meet legal costs						
												9. General Purposes Committee have resolved to correct the defects and to commence legal action to recover the costs from the Contractor						
												10. Initially defects are being managed on a case by case basis until the contractual issues are resolved, minimising impact on the public.						

E&E

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E&E 4 Previously ETERR13	Economy and Environment	Borrowing requirement for major transport schemes	Development schemes are delayed, meaning that the County Council needs to borrow to fund major Transport Infrastructure schemes that are committed, pending recovery of funds from developers when development commences.	Interest payments on prudential borrowing need to be met through Council budgets, with political/reputational damage to the Council and impacts on the delivery of the wider capital/revenue programme.	3	4	12	Service Director, Strategy and Development	1. A prudential borrowing strategy is in place to fund infrastructure where appropriate. 2. The scope of major schemes for which there is a funding shortfall can be reduced if necessary. 3. The progress of developments is continuously monitored and the negotiating and borrowing strategies can be adjusted if necessary. 4. The possible implications for the capital/revenue transport programme of interest payments needing to be serviced are being considered. 5. Potential alternative sources of funding are being identified. 6. Effective legal advice is being taken. 7. Housing Growth Fund is being used to ensure the timely delivery of key infrastructure.	3	3	9	1. Confirm Growth Deal funding, and Network Rail contribution to reduce borrowing for Ely Bypass. Awaiting DfT Sign off.	Director of Strategy and Development	Jul-15	Jun-16	G	DEFRA published details of the funding allocation for the Lead Local Flood Authorities. Cambridgeshire will receive £286,000 per annum. This amount is not sufficient to cover the cost of undertaking future work.
E&E 5 Previously ETERR17	Economy and Environment	Failure to deliver to the Cambridgeshire Flood Risk Management Programme including new SUDs surface water management responsibilities	Failure to fulfil statutory duties related to flood risk.	Significant reputational and financial risk.	4	4	16	Service Director, Strategy and Development	1. The Cambridgeshire Flood Risk Management Partnership has been established to provide a strategic overview to a programme of work that will meet statutory duties. We will work closely with partners to ensure efficient delivery of duties, using public sector co-operation agreements where appropriate. 2. Partnership coordination and management of the Cambridgeshire Flood Risk Management Partnership's programme of work and its projects to meet the duties. 3. Introduce pre application charging for planning and ordinary water course consent. 4. Ensure clear prioritisation for work streams working closely with communities and managing expectations. 5. Seek new funding streams.	3	3	9	3. Monitor income with the introduction of fees and charges and to review April 2017	Head of Growth and Economy	Apr-17		G	
E&E 6 Previously ETERR18	Economy and Environment	Failure to manage capacity, safety and maintenance issues on the A14 Cambridge-Huntingdon Corridor	Delay in the delivery of the A14 Improvement Scheme.	New communities cannot be delivered in their totality, undermining their sustainability, viability and timely provision of necessary infrastructure. Unsustainable growth proposals may be granted on appeal if infrastructure constraints mean that growth cannot come forward as planned. Additional pressure and maintenance requirements on existing network. Increased road risk to current and expanding road users.	4	4	16	Executive Director, ETE	1. Working with Department for Transport (DfT) and the Highways England (HE) to develop short and long-term plans for the improvement of the A14. 2. Working with Highways England to take forward the A14 Cambridge to Huntingdon improvement scheme. 3. Working with Highways England to manage the surrounding trunk road network through the development of route-based strategy for trunk roads such as the A428 and the A1.	2	4	8	3. Review the programming of schemes within the Network Service Plan. 4. Re-assess future maintenance requirements. 6. Work with Highways England on the new A14 scheme, influencing detailed design.	Head of Assets and Commissioning Head of Assets and Commissioning Director of Strategy and Development	Ongoing Ongoing Summer 2017		G G G	
E&E 8 Previously ETERR24	Economy and Environment	Deregistration of commercial bus services	Funding is not available to replace commercial services that are deregistered.	Communities are left with no public transport.	3	4	12	Service Director, Strategy and Development	1. Work with operators to receive information about their plans at an early stage. 2. Negotiate service provision for key journeys/requirements. 3. £1.5m available annually to provide these types of service and if there is a new requirement funding can be diverted away from existing services where the need is assessed as being lower. <u>Close links with the Cambridgeshire Future Transport (CFT) programme. CRR22</u>	2	4	8	1. Quarterly meeting held with Stagecoach 2. Regular contact with Whippet.	Head of Passenger Transport Head of Passenger Transport	Apr-16 Apr-16	Jul-16 Jul-16	G G	
E&E 9 Previously ETERR26	Economy and Environment	Growth and major sites fail to meet local authorities' requirements and policy objectives	1. Lack of shared vision, deficient planning applications 2. Failure to successfully ensure the delivery of services. 3.Exacerbated by changes in national and local planning policy and relaxation of local authorities development control powers	New communities are delivered to sub standard quality, failing to meet the standards required by local authorities and expected residents. Public service delivery to new communities is hampered. Unsustainable growth proposals maybe granted on appeal if infrastructure constraints mean that growth cannot come forward as planned. Additional pressure and maintenance requirements on the existing road network. Increased road risk to current and expanding road users.	3	4	12	Service Director, Strategy and Development	1. CCC manage the Quality Panel. 2. Strong partnerships exist with Joint Planning colleagues. 3. The County Council maintains up-to-date demographic forecasts to project service and infrastructure needs. 4. External funding sources, such as the Housing Growth Fund, help to ensure that the infrastructure provision for development sites meets the Local Authorities' requirements. 5. County Council responses to consultations on emerging policy ensure that the policies of partner organisations reflect County requirements. 6. Local Plan seek to secure aspirational affordable housing targets 30-40% across Cambridgeshire and appropriate infrastructure.	2	4	8	1.Outstanding objection against South Cambs District Council and City Local Plans for lack of provision to secure a suitable site for: • a household recycling centre to serve Cambridge and the South of Cambridge. Local Plans are currently at examination. 3. Shape proposals for Ely North. North : S106 agreement to be signed.	Head of Growth and Economy Head of Growth and Economy	Summer 2015 Dec-16	2016 May-16	A G	One developer has signed a S106. Awaiting signing of a S106 agreement by second developer.
E&E 10 Previously ETERR28	Economy and Environment	Failure to deliver the Greater Cambridge City Deal programme. Future tranches of City Deal funding are not made available	Loss of local and/or national political support for the deal, delays in prioritising and delivering infrastructure investments, or inability to establish an integrated governance framework.	Future tranches of City Deal funding are not made available for investment in infrastructure and the integrated approach to driving economic growth in the city-region breaks up, with substantial negative implications for the promotion of economic growth in Greater Cambridgeshire and for the reputations of the partners and the local area.	2	5	10	Executive Director: Economy, Transport and Environment	1. A constructive dialogue exists with Cabinet Office contacts. 2. Appropriate project documentation has been prepared and will be kept live. 3. The deal document was signed on behalf of all local partners and Government on 19 June 2014 4. The City Deal Executive Board and Joint Assembly were established in December 2014 and are operating well. 5. The Executive Board agreed a prioritised programme for investment from 2015-20 on 28 January 2015.	1	5	5	1. Commission of an independent expert panel to undertake the 2019- and 2024 -independent economic assessments. 2. Compile a communications strategy across the partnership.	Executive Director ETE City Deal Communications Manager	September 2015 Jun-15	Jun-16 Dec-16	G A	
E&E 12	Economy and Environment	Inability to fund Adult Learning services, including employability training.	Reduction in Government funding through the Skills Funding Agency for Adult Learning and Skills. Government to confirm allocation Feb 2016.	Reduction of basic employability training for service users.	2	3	6	Service Director, Strategy and Development	1. Risk management in place for small to medium reductions, able to take action short term using recovery plan with providers.	3	2	6	1. Develop Strategy for reduced funding. Awaiting Government to confirm amount of funding for 2016/17 academic year.	Head of Adult Learning and skills	Mar-16	Jun-16	G	

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