

Risk		01. Vulnerable children or adults are harmed											
Likelihood	5						Risk Owners	Wendi Ogle-Welbourn		Current Score	15	Last Review	19/06/2018
	4									Target Score		Next Review	31/08/2018
	3					X	Triggers		Likelihood Factors (Vulnerability)		Potential Consequences		
	2						1. Council's arrangements for safeguarding vulnerable children and adults fail and someone dies or is seriously harmed 2. A serious case review is commissioned because a child or a vulnerable adult dies or is seriously harmed and abuse or neglect is thought to be involved 3. Risk related to the providers we commission for adults whose actions or practice could present a risk to the adults they support				1. Child or vulnerable adult is killed or seriously harmed 2. People lose trust in Council services 3. Council is judged to have failed in statutory duties		
	1												
		1	2	3	4	5							
	Consequence												

Controls	Adequacy	Critical Success
1. Multi-agency Safeguarding Boards provides oversight and review of safeguarding activity across agencies	Good	
10. Ensure there is a clear process across partner organisations to share concerns or early warnings that a provider may be having difficulties	Good	
11. Continue to work with the CQC to share information	Good	
12. This information to inform the contract monitoring and quality improvement process	Good	
2.Comprehensive and robust safeguarding training, development opportunities, and supervisions for staff to instil and monitor safeguarding practice	Good	
3.Audits, reviews and training provided to school staff, governors and settings. All schools must have child protection training every 3 years.	Good	
4.Continuous process of updating practice and procedures according to latest developments in practice and responding to national and local issues	Good	
5.Whistleblowing policy, robust Local Authority Designated Officer arrangements, complaints process, all of which inform practice	Good	
6. Robust process of internal Quality Assurance, including case auditing and monitoring of performance	Good	
7.Multi-Agency Safeguarding Hub (MASH) supports timely, effective decision making between partners	Good	
8. Regular monitoring of social care providers	Good	
9. Ensure that there is a quality assurance and improvement process in place	Good	

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

Risk Category:

Linked Objective(s):

Risk		02. The Business Plan (including budget and services) is not delivered												
Likelihood	5						Risk Owners	Chris Malyon	Current Score	20	Last Review	19/06/2018		
	4												Target Score	16
	3						Triggers	Likelihood Factors (Vulnerability)		Potential Consequences				
	2											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. Services are not delivered at the quantity or to the quality required as per the plan	Current forecast is for £1.8m overspend	1. Reactive in-year savings or in worst-case, Government intervention 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
	1													
		1	2	3	4	5								
	Consequence													

Controls	Adequacy	Critical Success
1. Robust Business Planning process	Good	
10.Limited reserves for minor deviations	Good	
2.Robust service planning, priorities cascaded through management teams and through appraisal process	Good	
3.Integrated resources and performance reporting (accountable monthly to GPC), tracking budget, savings, activity and performance	Good	
4.Operational division Finance and Performance Reports (accountable monthly to Service Committees), tracking budget, savings, activity and performance	Good	
5.Scheme of Financial Management, including Budget Control Report for the Council as a whole and operational divisions	Good	
6.Procurement processes and controls ensure that best value is achieved through procurement	Good	
7.Regular meetings between Finance and budget holders at all levels of the organisation to track exceptions and identify remedial actions	Good	
8.Rigorous treasury management system plus tracking of national and international economic factors and Government policy	Good	
9.Rigorous risk management discipline embedded in services and projects	Good	

Action Plans	Responsibility	Target Date
1. Integrated Resources and Performance Report See information in monthly Integrated Resources and Performance Report about remedial action required to correct over- or underspends, or below-target performance	DCEX	31/03/2019
2. Finance and Performance Reports Detail is available in the monthly Finance and Performance Reports (which are accessible via hyperlinks in IRPR)	DCEX	31/03/2019

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		03. Personal data is inappropriately accessed or shared												
Likelihood	5							Risk Owners	Sue Grace		Current Score	9	Last Review	19/06/2018
	4										Target Score		Next Review	31/08/2018
	3				X			Triggers 1. Criminal access to data (e.g. cyber-attack, break-in) 2. Accidental data breach (e.g. email sent to wrong recipient)		Likelihood Factors (Vulnerability) Recent cyber attacks affecting public sector		Potential Consequences 1. Harm for individuals 2. Loss of trust in the Council 3. Penalties from regulator including fines		
	2													
	1													
		1	2	3	4	5	Consequence							

Controls	Adequacy	Critical Success
1. Mandatory information security training for all staff	Good	
2. Further training available and encouraged	Good	
3. Regular communications to all staff and in key locations (e.g. printers)	Good	
4. Strategic Information Management Board, including Senior Information Risk Owner (member of SMT) and Caldicott Guardian, oversee all information governance activity	Good	
5. Comprehensive Information Management Policy Framework	Good	
6. Procedure for notifying, handling and managing data breaches	Good	
7. Data breaches and performance indicators reported to Information Management Board and SMT	Good	
8. IT security – data encryption, hardware firewalls, network traffic monitoring, inbound mail monitoring, spam filters, web content filtering, anti-virus software	Good	

Action Plans	Responsibility	Target Date
1. Reviewing IT systems with suppliers	DPO	31/12/2018
2. Information Management Board to review IT security arrangements	DPO	31/12/2018
3. Email policy review	DPO	31/12/2018
4. Reviewing key contracts with suppliers	DPO	31/12/2018

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		04. 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	19/06/2018		
	4												Target Score	Next Review
	3					X	Triggers	Likelihood Factors (Vulnerability)	Potential Consequences					
	2									1. Loss of large quantity of staff 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 6. Pandemic	1. Status of Scott House IT Disaster Recovery 2. Data Centre at One Angel Square, Northampton	1. Inability to deliver services to vulnerable people, resulting in harm to them 2. Inability to meet legislative and statutory requirements 3. Increase in service demand 4. Reputational damage		
	1												1. Status of Scott House IT Disaster Recovery 2. Data Centre at One Angel Square, Northampton	1. Inability to deliver services to vulnerable people, resulting in harm to them 2. Inability to meet legislative and statutory requirements 3. Increase in service demand 4. Reputational damage
	1	2	3	4	5	1. Status of Scott House IT Disaster Recovery 2. Data Centre at One Angel Square, Northampton	1. Inability to deliver services to vulnerable people, resulting in harm to them 2. Inability to meet legislative and statutory requirements 3. Increase in service demand 4. Reputational damage							
Consequence								1. Status of Scott House IT Disaster Recovery 2. Data Centre at One Angel Square, Northampton	1. Inability to deliver services to vulnerable people, resulting in harm to them 2. Inability to meet legislative and statutory requirements 3. Increase in service demand 4. Reputational damage					

Controls	Adequacy	Critical Success
1. Corporate and service business continuity plans	Reasonable	
2. Relationships with trade unions including agreed exemptions	Good	
3. Corporate communication channels in case of emergency	Good	
4. Multi-agency collaboration through the Cambridgeshire & Peterborough Local Resilience Forum	Good	
5. IT disaster recovery arrangements	Reasonable	
6. Resilient Internet feed	Good	
7. Business continuity testing	Good	
8. Corporate Emergency Plan	Good	

Action Plans	Responsibility	Target Date
1. Accommodation provision Review of accommodation provision in business continuity plans	EPM	30/06/2018
2. Fire Safety Review of Fire Safety procedures	CTM	31/12/2018
3. Audit all Corporate buildings to ensure compliance with the Equality Act 2010	CTM	31/03/2019

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		05. The Council does not deliver its statutory or legislative obligations																				
Likelihood	5							Risk Owners	Debbie Carter-Hughes			Current Score		8		Last Review		19/06/2018				
	4											Target Score				Next Review		31/08/2018				
							Previous Score					8										
	3						Triggers					Likelihood Factors (Vulnerability)				Potential Consequences						
	2					X	1. Major business disruption 2. Lack of management oversight 3. Negative inspection judgement 4. Poor financial management									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						
	1																					
		1	2	3	4	5																
		Consequence																				

Risk		06. Our resources (human resources and business systems, CCC and providers) are not sufficient to meet business need																					
Likelihood	5							Risk Owners	Gillian Beasley	Current Score	16	Last Review	19/06/2018										
	4					X								Target Score	12	Next Review	31/08/2018						
	3																						
	2																						
	1									Triggers	Likelihood Factors (Vulnerability)	Potential Consequences											
		1	2	3	4	5																	
	Consequence																						
						1. The Council is unable to recruit staff with the right skills and experience 2. Providers / partners are unable to recruit staff with the right skills and experience 3. Key business systems are unavailable or insufficient 4. LGSS services not sufficient in quantity or quality						1. Cost of living in some areas of Cambridgeshire is particularly high 2. Key business system developments underway (Agresso / Mosaic) 3. National political discussions around immigration and rights to work in UK impact on recruitment in care services 4. Issues with ERP Gold						1. Failure to deliver effective services 2. Regulatory criticism / sanctions 3. Civil or criminal action 4. Reputational damage to the Council 5. Low morale, increased sickness levels					

Controls	Adequacy	Critical Success
1.LGSS Joint Committee structure including CCC councillor representation, LGSS Overview and Scrutiny Working Group including CCC councillor representation, Chief Executive sits on LGSS Management Board	Good	
2. LGSS director representation at SMT	Good	
3. LGSS Strategic Plan, Strategy Map and Improvement Activities identified	Good	
4. Deputy Chief Executive responsible for managing LGSS / CCC relationship	Good	
5. Robust performance management and development practices in place for staff	Good	
6. Flexible terms and conditions of employment	Good	
7. Employee support available	Good	
8. Cross-directorate Social Care Strategic Recruitment and Workforce Development Board and Social Work Recruitment and Retention Task and Finish Group proactively address issue of social care recruitment and retention	Good	
9. IT resilience arrangements	Good	

Action Plans	Responsibility	Target Date
2. Common Training Programme 2. Development of common training programme by OWD in line with service need, PADP outcomes and the priorities set out within the Workforce Strategy	LGSS	31/10/2018
4. Reference to the SLA and KPI review per service line	DCEX	30/09/2018
6. Cross referencing customer satisfaction with service delivery standards	DCEX	31/08/2018
8. Mosaic implementation	DoC&CS	31/10/2018
9. ERP Gold Management intervention is being undertaken by LGSS to address operational issues in Finance Operations affecting processing of transactions following the implementation of ERP Gold and resourcing issues within the service.	LGSS DoF	27/07/2018

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		07. The infrastructure and services (e.g. transport, education, services for children, families and adults) required to meet the current and future needs of a population is not provided at the right time														
Likelihood	5															
	4															
	3															
	2															
	1															
		1	2	3	4	5										
Consequence																
Risk Owners		Graham Hughes					Current Score		12		Last Review		19/06/2018			
							Target Score				Next Review		31/08/2018			
							Previous Score		16							
Triggers							Likelihood Factors (Vulnerability)					Potential Consequences				
1. Insufficient funding to meet needs received from •Growth funds •Section 106 •Community infrastructure levy •School infrastructure funding 2. Partnerships do not deliver new infrastructure / services to meet needs of population 3. Infrastructure undermined due to inability to adequately maintain							1. Significant infrastructure funding available from Greater Cambridge Partnership, and Combined Authority					1. Impacts on transport, economic, environmental and social outcomes 2. Greater borrowing requirement to deliver infrastructure which is unsustainable financially 3. Increased pressure on already stretched maintenance budgets				

Controls	Adequacy	Critical Success
1. 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	
3. Capital Programme Board	Good	
4. Prudential borrowing strategy	Good	
5. Review, scrutiny and challenge of design and build costs to ensure maximum value for money	Good	
6. Co-ordination of requirements across partner organisations to secure viable shared infrastructure	Good	
7. Annual school capacity return to Department for Education seeks to ensure maximum levels of funding for basic need	Good	
8.Maintain dialogue with Cambridge City Council and South Cambridgeshire District Council to input into Community Infrastructure Level prior to the adoption of the Local Plan (anticipated 2017)	Good	
9. Maximise annual maintenance block funding from Central Government, maintaining band 3 of the incentive fund.	Good	

Action Plans	Responsibility	Target Date
15. County Planning obligation strategy for district's and County Council use, to go to E&E Committee	EDP&E	30/09/2018

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		09. Inequalities in the county continue														
Likelihood	5							Risk Owners	Gillian Beasley		Current Score	12		Last Review	31/03/2019	
	4															
	3					X		Triggers		Likelihood Factors (Vulnerability)		Potential Consequences				
	2															
	1															
		1	2	3	4	5		1. Health, economic, educational and other inequalities increase in Cambridgeshire 2. Failure across Council services and partnerships to target or promote services to disadvantaged or vulnerable populations, or in areas of deprivation, appropriately for local need				1. People living in deprived areas in the county do not have the same life chances as people living in non-deprived areas, in terms of health, educational achievement, income and other areas 2. People from minority groups living in the county do not have the same life chances as people living in non-deprived areas, in terms of health, educational achievement, income and other areas				
	Consequence															

Controls	Adequacy	Critical Success
1. Council's business plan and community impact assessments for change to service	Good	
10. Cambridgeshire Older People Strategy	Good	
2. Committee monitoring of indicators for outcomes in areas of deprivation	Good	
3. Joint Strategic Needs Assessment, Annual Public Health Report, and Joint Health and Wellbeing Strategy	Good	
4. Health Committee Priority on health inequalities, targetting of Public Health programmes	Good	
5. Child Poverty Strategy	Good	
6. Targetted services e.g: Travellers Liaison, Traveller Health Team, Chronically Excluded Adults Team, etc.	Good	

Action Plans	Responsibility	Target Date
1. Joint Health and Wellbeing Strategy	DoPH	31/03/2019
1. Implementation of health inequalities aspects of Joint Health and Wellbeing Strategy		
2. Accelerating Achievement action plan to support children in disadvantaged groups	DoL	31/03/2018
3. Opportunity Area programme to support children from disadvantaged groups in East Cams and Fenland	EDP&C	30/09/2020

7. Buy with confidence approved trader scheme.	Good	
8. Wisbech 20:20 programme	Good	
9. Cambridgeshire 0-19 Education Organisation Plan	Good	

Risk Path: Cambridgeshire County Council/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		10. Change and transformation of services is not successful									
Likelihood	5										
	4										
	3			X							
	2										
	1										
		1	2	3	4	5					
		Consequence					Risk Owners		Chris Malyon	Current Score	9
										Target Score	
										Previous Score	
							Triggers		Likelihood Factors (Vulnerability)		Potential Consequences
							1. Services do not change to meet current demands 2. Projects and programmes stall or do not make sufficient impact		Projects being delivered: 29 Early ideas ↑ 124 Business cases in development ↑ 25 Projects being implemented ↑ Transformation Fund: 35 projects rated Green ↑ 4 rated Amber (reflecting some need to re-phase savings) ↔ 2 rated Red (risk of non-delivery of savings or benefits) ↓		1. Statutory obligations not delivered 2. The Council does not work in a transformed way 3. Over-spend on budget

Controls	Adequacy	Critical Success
1. Transformation Team established to support change in services	Good	
2. Transformation Fund to ensure access to resources	Good	
3. Communications with staff about innovation and opportunities for development	Good	
4. GPC monitor transformation programme monthly as part of Integrated Resources and Performance Report	Good	
5. Project and programme governance established to oversee delivery	Good	
6. Rigorous risk management embedded in project and programme governance	Good	
7. Members involved in transformation	Good	

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

Risk Category:

Linked Objective(s):