

Cambridgeshire County Council CRR

20/10/2023 13:51:03

Risk		01. ASC - Council's arrangements for safeguarding vulnerable adults fail							
Likelihood	5						Risk Owners Patrick Warren-Higgs	Current Score 15 Risk Appetite 15 Previous Score 15	Last Review 02/10/2023 Next Review 31/12/2023
	4								
	3					X//RA			
	2						Triggers 1. Inability to recruit, train and retain experienced staff 2. Inherent weaknesses in governance arrangements 3. Poor quality of practice not delivering statutory responsibilities, non-compliance with policies & practice guidance 4. Ineffective management oversight 5. High caseloads/demand on service 6. Internal organisational change 7. External system/regulatory changes 8. Major incident results in spike in demand for services and/or inability to access Council systems, records or buildings.	Likelihood Factors (Vulnerability) 1. Decrease in government funding 2. Failure/handback from commissioned providers 3. Increased expectations on local government 4. Increase in demand for services 5. Inflation and cost of living crisis	Potential Consequences 1. Vulnerable adult is seriously harmed 2. People lose trust in Council services and/or commissioned services 3. Council is judged to have failed in statutory duties 4. Requires improvement or inadequate CQC outcome
	1								
		1	2	3	4	5			
Consequence									

Controls	Adequacy	Critical Success	Assurance
01. Continuous process of updating practice and procedures, linking to local and national trends, including learning from local and national reviews such as Safeguarding Adult Reviews.	Good	Regular Reporting. Appropriate tools and support to practitioners to guide best practice.	Eastern Region Sector Led Improvement Programme Adults practice governance board. LGA Peer Review and associated Improvement Plan in readiness for CQC inspection in the next 12 months.
02. Comprehensive and robust safeguarding training, ongoing development policies and opportunities for staff, and regular supervisions that monitor and instil safeguarding procedures and practice	Good	High quality supervision and support. Professional staff are able to continue registration with their professional bodies. Dedicated resource for safeguarding training within Learning and Development, specific training strategy document which is refreshed annually.	SAB multi agency policies and procedures in place. Themed audits re safeguarding and associated learning and development. Robust training programme in place Adults practice governance board and practice guidance.
03. Clear 'People in Position of Trust' policy and guidance in relation to Adults Provide training, SAB	Good	In place, links to practice guidance in ASC and corporate HR guidance as required.	Appropriate training provided.
04. Multi-agency Safeguarding Boards and Executive Boards provides multi agency focus on safeguarding priorities and provides systematic review of safeguarding activity. Coordinated work between multi-agency partners. In particular Police, County Council, Health and other agencies who are key members of the Board and subgroups.	Good	Regular reporting and shared working outcomes	SAB annual report highlighting progress against priority areas shared with Adults & Health Committee.

05. Robust process of internal Quality Assurance (QA framework) including case auditing and monitoring of performance	Good	Regular auditing and reporting. Ability to highlight good practice and areas for improvement, robust service level improvement plans developed as needed.	Monthly Management Audits. Annual programme of Themed Audits. Adults practice governance board. Agreed Improvement Plan with Senior Responsible Leads.
06. Regular monitoring of social care providers and information sharing meetings with other local organisations, including the Care Quality Commission. Implementation of provider of concern process as required.	Good	Regular auditing and reporting. Ability to support providers at risk.	Contracts monitoring team, care home support team & provider of concern process
07. Coordinated work between multi-agency partners for both Adults and Childrens. In particular Police, County Council and other agencies including supporting young people transitions to adulthood, with the oversight of the Safeguarding Boards	Good	Effective and safe implementation	SAB and key statutory partners
08. Continue to work with the CQC to share information.	Good	Regular reporting	Contracts monitoring team
09. Managing increasing demand and acuity to ensure adults receive right support at the right time. Regular DMT's to discuss and escalate issues.	Good	Reduced waiting times. Providing proportionate and time critical responses to those at risk.	Escalation to CLT as required.

Action Plans	Assurance	Responsibility	Target Date
<p>1. Performance Improvement Plan</p> <p>Improvement plan has been developed and agreed with key actions to take forward based on the peer improvement recommendations and national indicators. This is being reviewed fortnightly internally across key meeting groups and updated accordingly.</p> <p>The improvement plan considers DOLs in CCC, threshold assessments for people in care homes in CCC, adults and autism historical back log, OT waiting list. LD Health waiting lists linked to section 75 agreements, care and support plan delays, including brokerage of increases or changes to care packages, financial assessment and financial data entry delays.</p>	Good progress has been made on reviews due to the use of the external agency to tackle the long waiters. This will be an ongoing process		31/12/2023
<p>2. Adults Workforce Strategy</p> <p>This has been drafted and has been circulated for further comments and feedback (nationally and internally), with a view for a finalised version to be agreed. Forecasting future need, setting out recommendations and actions to retain, succession plan and ensure pipelines of future workers.</p>	Drafted and due for approval and agreement to CLT.		30/11/2023

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		02. CSC - Failure of the council's arrangements to safeguard vulnerable children & young people																														
Likelihood	5											Risk Owners	Martin Purbrick					Current Score	15					Last Review	28/09/2023							
	4												Triggers						Risk Appetite	15					Next Review	27/12/2023						
	3										X/RA			Likelihood Factors (Vulnerability)						Potential Consequences												
	2											Consequence			1. High caseloads in Children's Social Care. 2. Lack of financial resilience. 3. Non-compliance with safeguarding processes and procedures. 4. Inability to recruit and retain experienced Social Workers. 5. Lack of placement sufficiency to meet the needs of complex children and young people. 6. Failure to secure a requires improvement outcome from Ofsted inspection. 7. Major incident results in inability to access Council systems, records or buildings. 8. Changes in regulatory requirements for children's social care (Stable Homes Built On Love). 9. Lack of senior management capacity. 10. Lack of capacity to deliver effective services within SEND.						Likelihood Factors (Vulnerability)	1. Children's social care case loads are too high in some areas due to issues with recruitment and retention. 2. Lack of robust assessments (undertaken in a timely way) of risk in relation to children & the family circumstances. 3. Difficulty procuring sufficient capacity for children's placements and Home to School Transport. 5. New quality standards and Ofsted inspection regime for unregulated supported accommodation for 16- and 17-year old looked after children and care leavers. 6. Insufficient partnership working to deliver better outcomes for children and young people. 7. Need for the Council to implement the demands of the Safety Valve principles.					Potential Consequences	1. Harm to child or young person awaiting or receiving services from the Council. 2. Reputational damage to the Council. 3. Financial impact. 4. Appointment of a Children's Commissioner and notice of statutory intervention issued by the Department for Education.				
	1																															
		1	2	3	4	5																										

Controls	Adequacy	Critical Success	Assurance
1. Multi-agency Safeguarding Boards and Executive Boards. Provides multi agency focus on safeguarding priorities and provides systematic review of safeguarding activity specific safeguarding situation between partners.	Reasonable	The LA improvement board starting on 13th October 2023 Appointment of an independent Chair (in post since January). Partnership agreement on priority actions following Ofsted focused visit.	Council has acted as a single agent to ensure the right focus on safeguarding, with a lead from the Executive Director of Children's. The CEX's supported by the Executive Director for Childrens have agreed an Executive Board, for all the partnerships to meet on a quarterly basis, TOR are being drafted
2. Information-sharing and coordinated work between multi-agency partners, providers, and regulators. 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. Regular monitoring of social care providers and information sharing meetings with other local organisations, including the Care Quality Commission.	Reasonable	Multi agency agreed action plan to be implemented with pace and purpose. A review by Essex sector led improvement partner to identify key areas of strengths and development. Improvement are being made continuously as key areas are identified.	Independent Safeguarding Board Chair is working collaboratively with the Executive Director for Children's on mobilising the requirements from the Ofsted focused visit at Peterborough. Better working relations with partners on preventative measures has been better developed.

<p>3. Comprehensive and up-to-date Safeguarding Policies, Procedures and Practice Standards.</p> <p>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.</p>	Reasonable	<p>Safeguarding handbook and threshold documents that are understood by all staff and partners.</p> <p>Threshold document is under review. New Principle Social Worker has been recruited and in place.</p>	Partnership developing tools and pathways that support best practice around exploitation and safeguarding of vulnerable children and young people.
<p>4. Safeguarding Training & Development</p> <p>Comprehensive and robust safeguarding training, ongoing development opportunities for staff, and regular supervisions monitor and instil safeguarding procedures and practice.</p>	Good	Effective training and development ensures all staff understand and can implement key safeguarding processes. Social care academy due to launch on 20th November with new ASYE and International workers in January 2024.	<p>The outcomes of quality assurance should provide assurance over the effectiveness of staff training and development, and inform areas where further training is needed.</p> <p>The new Principal Social Worker has been recruited and in place.</p>
<p>5. Quality Assurance Framework.</p> <p>Robust process of internal Quality Assurance (QA framework) including case auditing and monitoring of performance.</p>	Poor	QA framework that is understood by all that are using it; reflects the lived experience of children; and helps with practice improvement, whilst supporting practice standards.	Outputs from the QA framework should provide assurance that social workers understand what they need to do to improve children's situations.
<p>6. Clear processes for reporting concerns.</p> <p>Whistleblowing policy, robust Local Authority Designated Officer (LADO) arrangements and complaints process inform practice.</p>	Good	Effective processes for reporting concerns ensure that the response to concerns is timely and effective, with the involvement of appropriate partners.	<p>Completed a review of the notification process.</p> <p>Quarterly reports from customer services (including complaints) has been established and is being shared.</p>
<p>7. Family Safeguarding Approach</p> <p>Family Safeguarding involves multi-disciplinary teams in children's social care, to keep families together and ensure children and adults services work jointly for the best outcome for the family.</p>	Reasonable	Effective and fully embedded family safeguarding approach linking services and partners.	DFE Peer Review requested to establish a baseline for the practice model to improve its implementation.
<p>8. Role of Schools Intervention Service & Schools Causing Concern.</p> <p>The Council's Schools Intervention Service supports good governance in maintained schools and conducts regular reviews of safeguarding and safe recruitment practice in schools. The Schools Causing Concern process enables concerns about school safeguarding practice to be escalated, monitored and managed by the County.</p>	Good		
<p>Full leadership team recruitment</p> <p>A permanent and stable leadership team is in place and established to provide crucial leadership across Children, Education and Families.</p>	Good	Permanent team in place and established	<p>Interim arrangements in place and working.</p> <p>All leadership roles have been successful in recruitment and will be in post in November & December 2023</p>

Action Plans	Assurance	Responsibility	Target Date
1. Corporate response to Ofsted focused visit. Previous outline of establishing a strengthening services board, however there was little appetite for this from partners. Therefore, the children's improvement board will be focused on the key areas for development.	Essex SLI is being undertaken with frontline teams to establish key areas of development and strengths. In addition, the mapping of the child's journey from the front door has been ongoing and key improvements are being made	Martin Purbrick	30/09/2023
3. Delivery of the Safety Valve programme. On an ongoing basis, the Council will deliver its commitments made via the Safety Valve programme.	A working group led by the S151 officer and Director of Education has been established to ensure robust and a purposeful implementation of the safety valve	Jonathan Lewis	30/09/2023
4. SEND Review A peer review and an internal review of SEND undertaken jointly by the Education and Policy, Programme & Delivery teams.	This is an ongoing piece of work which will be presented in CLT during September 2023.	Jonathan Lewis	20/10/2023
5. Children's Placement Sufficiency. Work to manage the local market with support from Commissioning services is underway to support placement sufficiency for Cambridgeshire. This action is likely to remain ongoing.	Strategy has been updated; now into scoping the increased capacity required.	Martin Purbrick	31/12/2023
6. Recruitment of a permanent workforce As part of the children's improvement work, there is a focus on ensuring the recruitment and support of children's workforce.	Academy will be established to better support Apprenticeships, International workers and ASYE's. Work is ongoing to reduce agency staffing and encourage more permanent workforce in CEF.		29/12/2023
Review of key areas of Children's, Education and Families services Essex is supporting Cambridgeshire with a sector led improvement review of key frontline services to help understand their strengths and key areas for development.	Essex is supporting Cambridgeshire with a sector led improvement review of key frontline services to help understand their strengths and key areas for development. In addition, CCC is mapping the child's journey to improve the effectiveness and efficiency of responding to the needs of children and young people.		31/12/2023

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		03. The Council does not have enough budget to deliver agreed short and medium term corporate objectives															
Likelihood	5											Risk Owners	Michael Hudson	Current Score	12	Last Review	03/10/2023
	4											Target Score	9	Next Review	02/01/2024		
	3				T	X	RA					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 cumulative variances.		1. Increased demand for services.		1. Council issues a s114 report or requires capitalisation direction.	
	1											2. Policies, procedures or governance framework for budget setting and monitoring fail or are circumvented.		2. Economic/market conditions - shortage of supply of services.		2. Breach of prudential code or capital strategy benchmark/indicators due to levels of borrowing.	
		1	2	3	4	5						3. Non-compliance with corporate processes.		3. Economic conditions - reduced income from fees/charges or taxation.		3. The Council does not deliver its statutory responsibilities.	
Consequence												4. Demand management, prevention or service reform activity is insufficient.		4. Changes to government funding; short term national planning.		4. People do not receive the services to which they are entitled or require, and may be harmed as a result.	
												5. Inflationary pressures and market failures / supply shortages lead to rising costs.		5. Legislative and regulatory changes.		5. Reputational damage.	
												6. Staff without appropriate skills, knowledge, experience. Greater staff turnover.		6. Partnership risks - additional costs or reduced funding in collaborations. Change programmes require additional short term risk.			
												7. The Council is a victim of major fraud, cyber crime or corruption.		7. Waste management reforms; Industrial Emissions Directive.			
												8. Failure to meet Safety Valve agreed trajectory - Council has to fund DSG High Needs deficit or jeopardises DfE funds.		8. Home to School Transport and children's social care placements markets.			
												9. Lack of clarity regarding central government grant allocations.		9. Credit loss on long term debtors.			

Controls	Adequacy	Critical Success	Assurance
01. Robust Business Planning process; demand/demography and inflation challenge.	Good	Continued support from CLT to act collectively to develop budget proposals which meet the financial challenge	Proposals and assumptions will be subject to scrutiny by Committees in January 2024 as well as other consultations such as the Trade Unions, Schools Forum, public, etc...
02. Robust service planning, priorities cascaded through management teams and through Our Conversations process.	Good	Staff have clarity of what is expected of them and deliver services within the available budget	Insights and Policy co-ordinating quality assurance alongside Finance staff.
03. Integrated resources and performance reporting (accountable quarterly to SR&P Committee), tracking budget, savings, activity and performance.	Good	Saving proposals delivered	Continued reporting through Committee.
04. Operational division Finance Monitoring Reports (accountable monthly to Service Committees), tracking budget, savings, activity and performance	Good	Saving proposals delivered	All reports being reviewed at DMTs
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	Training continuing.
06. Procurement processes and controls ensure that best value is achieved through procurement	Good	Realisation of procurement savings through competition. Basis for effective contract management and productivity.	Increased training and guidance being rolled out.

07. Budget challenge and independent advisory: Finance and budget managers at all levels of the organisation to track exceptions and identify remedial actions	Good	Meeting of financial targets and deadlines. Political engagement and approval	All reports being reviewed at DMTs
08. Rigorous treasury management system plus tracking of national and international economic factors and Government policy	Good	Prudential indicators met	Reporting ongoing to Committee
09. Rigorous risk management discipline embedded in services and projects	Reasonable	Risk scoring	Reporting ongoing to Committee
10. Adequate reserves	Good	Reserves held at recommended level as per section 25 statement (4%)	s25 Report to Full Council in February 2024.
11. Integrated Financial Monitoring Report	Good	Received quarterly at S&R	Reporting ongoing to Committee
12. Anti-fraud and corruption policy	Good	Organisational awareness campaigns	On going training
13. Whistleblowing policy	Good	Organisational awareness campaigns	
14. Internal control framework	Good	Organisational awareness campaigns	Internal audit reviews
15. Fraud detection work undertaken by IA, Counter Fraud	Good	Organisational awareness campaigns	NFI reporting
16. Awareness Campaigns	Good	Organisational awareness campaigns	
17. Anti money laundering policy	Good	Organisational awareness campaigns	
18. Publication of transparency data	Good	Organisational awareness campaigns	Publication

Action Plans	Assurance	Responsibility	Target Date
01. Engagement, development and submission of credible revenue and capital plans into safety valve process	Safety Valve secured and regular reporting will now be presented as part of the Budget Monitoring reports. This position will continue to be reviewed but from the perspective of Financial Planning the next key date is the assessment of risk to inform the S151 s25 assurance of reserves.	Michael Hudson Jonathan Lewis	13/06/2024
02. CLT work with councillors to present a balanced budget for 2023/24 and 2024/25, including regular monitoring and scr	Programme of planned delivery of process.	Michael Hudson Stephen Moir	31/03/2024
03. Capital Programme Board and CLT full scrutiny and supervision of proposal and savings plan development.	These meetings continue and will inform the s151 Officer s25 risk assessment of reserves.	Michael Hudson Tom Kelly	12/02/2024
04. Programme management of financial reporting, as well as continued strengthening of the budget monitoring and setting	Provide assurances over the robustness of estimates and forecasts.	Michael Hudson	31/01/2024
05. Programme and project delivery governance: Waste Management; Energy income mobilisation	On going Board meetings	Michael Hudson Frank Jordan	01/04/2024

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		04. A serious incident occurs, preventing services from operating and /or requiring a major/critical incident response.															
Likelihood	5											Risk Owners	Sue Grace	Current Score	12	Last Review	04/10/2023
	4											Risk Appetite	15	Next Review	03/01/2024		
	3											Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
	2											1. Loss of large quantity of staff or key staff	1. Ongoing risk of environment hazards such as flooding and severe weather	1. Inability to deliver services to vulnerable people, resulting in harm to them			
	1											2. Loss of key premises (including temporary denial of access)	2. Pandemic	2. Inability to meet legislative and statutory requirements			
												3. Loss of IT, equipment or data	3. Cyber Attack / Cyber Crime (see Risk 09)	3. Increase in service demand			
Consequence		1	2	3	4	5	4. Loss of a key supplier	4. Possible power outages caused by gas shortages	4. Reputational damage								
							5. Loss of utilities or fuel	5. Resource issues due to shared service 'decoupling'									
							6. Decreasing resilience in CCC services due to ongoing financial constraints and cost reduction										
							7. Serious major external incident										
							8. Officer non-compliance with Business Continuity planning or processes										
							9. Co-operation and engagement of partners										

Controls	Adequacy	Critical Success	Assurance
1. Corporate and service Business Continuity Plans Up to date business continuity plans available across the Council.	Reasonable	All services have up-to-date Business Continuity Plans which provide a clear and comprehensive plan for how services will respond in the event of a major/critical incident to minimise business disruption.	The Emergency Planning Team maintains a tracker of BC plan completion across the Council. Currently the team are working on reviewing BCPs and getting this up to date (see Action Plan).
2. Corporate communication channels in case of emergency. The Emergency Planning team work with Communications Teams in Cambridgeshire and Peterborough to respond to any emergency incidents. The Council's Emergency Messaging System allows contact with staff via SMS in the event of IT system disruption.	Good	The Council is able to communicate effectively externally and internally in the event of a major/critical incident.	The Emergency Planning team maintain a close relationship with the Communications team.
3. Cambridgeshire & Peterborough Local Resilience Forum The LRF allows multi-agency collaboration regarding local resilience issues. The LRF follows a clear process to allow agencies across the region to share information, plan and prepare for major incidents, and maintains a tactical response process.	Good	The Council is able to work effectively with other agencies across Cambridgeshire & Peterborough in responding to a major/critical incident.	Executive Director of Strategy & Partnerships sits on the LRF Board to represent Cambridgeshire County Council.

4. IT disaster recovery arrangements Up to date IT disaster recovery plans in place.	Reasonable	ICT downtime and disruption to front-line business is minimised in the event of an IT critical incident or loss of data.	Disaster Recovery tested thoroughly ahead of data centre move and then put into action 'live' during the data centre move in November 2021.
5. Resilient Internet feed	Good		"Considerable work undertaken to strengthen and improve resilience of network, high proportion of WFH for staff and Members can be sustained. Regular monitoring process and escalation"
6. Corporate Emergency Plan	Reasonable		Corporate Emergency Plans put into operation through recent incidents (2020/21 and 2021/22) including Flooding and Severe Weather. The CCC Emergency Management Plan is currently being updated (June 2023) to reflect organisational changes.

Action Plans	Assurance	Responsibility	Target Date
Business Continuity Plan Testing Once the corporate review of BCPs is complete, the Emergency Planning team will re-implement a programme of service-level testing of BC plans and a corporate BC testing exercise.		Stewart Thomas	01/04/2024
Corporate review of Business Continuity Plans. Emergency Planning Team supporting service Business Continuity leads to review Business Continuity Plans.	The Emergency Planning Team maintain a tracker of corporate and service BCPs and are now reviewing and updating this to understand current completion and quality levels of service BCPs. BC Awareness sessions for Team Managers were launched in February 2023 to re-establish contact with BC leads and sessions are currently booked in with Directorates to December 2023. The Emergency Planning Team took part in Worldwide 'Business Continuity Awareness Week' in May 2023 run by the Business Continuity Institute with internal communication & promotional material sent to staff.	Stewart Thomas	31/01/2024
Internal Audit of Business Continuity Planning		Mairead Claydon	31/01/2024
IT Disaster Recovery Exercise		Michael Hudson	31/12/2023

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		05. Failure of corporate governance								
Likelihood	5	Orange	Orange	Orange	Red	Red	Risk Owners Emma Duncan	Current Score 10	Risk Appetite 15	Last Review 03/10/2023
	4	Green	Orange	Orange	Red	Red				
	3	Green	Orange	Orange	Orange	RA	Triggers 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. 7. Lack of awareness of or preparedness for legislative changes. 8. Lack of clear corporate policy framework. 9. Officer non-compliance with policy framework.	Likelihood Factors (Vulnerability) 1. Current local financial pressures. 2. Ongoing national reduction in public sector funding. 3. Changes to statutory/Legislative duties. 4. Current major corporate restructures and service change. 5. Increasing instances of Councils not able to meet expenditure commitments due to pressures in the local government sector.	Potential Consequences 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. 4. Lack of control over financial or operational delivery. 5. S114 Report or Public Interest Report. 6. S5 Report.	
	2	Green	Green	Orange	Orange	X				
	1	Green	Green	Green	Green	Orange				
		1	2	3	4	5				
Consequence										

Controls	Adequacy	Critical Success	Assurance
01. Monitoring Officer role.	Good	Lack of or reduced risk of successful legal challenge to decision making.	Monitoring Officer attends all CLT meetings. MO sign-off on all legislative changes and legal implications on Committee papers.
02. Annual Governance Statement (AGS).	Good	AGS process ensure that the Council reviews the effectiveness of its corporate governance arrangements and its compliance with the corporate governance framework.	Annual Governance Statement published as part of Statement of Accounts.
03. Code of Corporate Governance (CoCG).	Good	Annual review of the Code of Corporate Governance provides assurance that the Council has a robust governance framework in place.	Code of Corporate Governance updated annually on the external website.
04. Business Planning process used to identify and address changes to legislative/regulatory requirements	Good		
05. The Council's Constitution, including Scheme of Financial Management, Contract Procedure Rules, Scheme of Delegation etc.	Good	Officers and Members comply with statutory obligations	
06. Corporate Complaints procedure and response to Local Government & Social Care Ombudsman reviews.	Good	The Council can identify and respond to any breaches of legislative or statutory obligations.	

07. Service managers kept up to date with changes by Monitoring Officer / Pathfinder, Government departments, professional bodies, involvement in regional and national networks	Good	Lack of or reduced risk of successful legal challenge to decision making	
08. New Committee report template and process developed following the Governance Review. Key statutory and legislative considerations in Committee reports are highlighted in sufficient detail and signed off by key officers prior to submission to Committee.	Good	Committee papers and key decisions are scrutinised to identify any statutory/legislative impact.	Sign-off by key officers is evidenced in Committee paper appendices.
09. Roles of Statutory Officers. inc. Head of Paid Service, Section 151 Officer, Director of Adult Social Services, Caldicott Guardian, etc.	Good	Active postholders for all statutory roles for the Council.	
10. Statutory Officers Group Statutory Officers Group meetings to discuss corporate governance arrangements and issues, and to reflect on recurring themes relating to Council improvement.	Good	Regular scrutiny of corporate governance by senior officers.	
11. Performance Management Framework Performance management is a tool that allows us to measure whether we are on track to achieve our corporate priorities. If we are off-track, we change our activities to improve service delivery, value for money and the outcomes people experience.	Reasonable	Clear information on organisational performance against objectives provided in a timely way to decision-makers.	Performance reporting to Committees and CLT.
12. Corporate Clearance Group The Corporate Clearance Group has been established to ensure draft reports receive sufficient corporate review prior to being submitted to Committee.	Good	All Committee reports are subject to corporate scrutiny and challenge to ensure that Committee decisions are taken on the basis of sufficient, robust information.	A report tracker is in place to verify that reports on Committee forward plans are received and reviewed by the Corporate Clearance Group.

Action Plans	Assurance	Responsibility	Target Date
01. Corporate Response to the Covid Public Inquiry.			31/03/2023
02. Implement Action Plan from Annual Governance Statement.	Implementation to be reviewed on an ongoing basis by Statutory Officer Group.	Emma Duncan	31/03/2024

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		06. The Council's workforce is not able to meet business need												
Likelihood	5						Risk Owners	Janet Atkin	Current Score	15	Last Review	05/10/2023		
	4								Risk Appetite	15	Next Review	03/01/2024		
	3					X/RA	Triggers	<ul style="list-style-type: none"> 1. Skills shortage in key areas including partners. 2. Employee retention beneath optimal leading to unhealthy level of turnover. 3. Low levels of employee engagement. 4. Failure to achieve a healthy organisational culture and environment. 5. Ineffective or inadequate workforce planning. 6. Financial pressures mean the Council is not able to offer pay in line with the market. 7. Decline in Council's reputation as an employer. 8. High absence levels. 9. Inability to recruit and develop staff 10. Organisational change 11. Working days lost to strike action/ industrial action 	Likelihood Factors (Vulnerability)	Potential Consequences				
	2										<ul style="list-style-type: none"> 1. Cost of living is increasing at a rate that is causing major concern for many of our workforce. 2. Acute skills shortage in key areas including partners. 3. Increased challenges across all areas of the council's functions in recruiting. 4. Changing expectations regarding how and where staff want to work. 5. The extent and scale of change programmes being undertaken across the Council including the separation of services across CCC and PCC can heighten the likelihood of disruption and challenge with motivation and engagement. 6. Significant demand in services. 7. Increased workplace expectations of employees. 	<ul style="list-style-type: none"> 1. The Council is unable to recruit & retain staff with the right skills and experience. 2. Failure to deliver effective services or Council objectives. 3. Reputational damage to the Council. 4. Low morale and negative impact on staff wellbeing. 5. Expenditure on costly interims or agency staff. 6. Workforce lacks relevant skills, knowledge and training and is not continually developed. 		
	1													
		1	2	3	4	5								
	Consequence													

Controls	Adequacy	Critical Success	Assurance
<p>A. Fair Recruitment Policy. A Children's Workforce Board has been re-established under the leadership of the new DCS to focus on workforce challenges including recruitment.</p> <p>This meeting continues to focus on key areas of challenge and concern, engaging with our providers of agency workers as well around hard to fill posts to identify opportunities to improve candidate attraction.</p>	Good	Staffing levels support service delivery.	Outcomes of actions from Recruitment and Retention Board.

<p>B. Regular Employee Engagement Surveys established to identify and respond quickly to emerging issues and concerns. Full independent employee engagement survey carried out in September 2023 and will be re-run every three years moving forward.</p> <p>A number of key topics have been covered and going forward will be revisited annually including Wellbeing; Equality, Diversity and Inclusion, and How We Work. The results of these engagement surveys are discussed with CLT for an action plan to be signed off and published on Camweb clearly setting out the organisational commitment to matters raised.</p>	Good	Employee Engagement is demonstrated through employees seeing the value of and therefore contributing to these opportunities to shape the organisation as an employer.	CLT see results of engagement surveys and agree action plans to respond to the survey.
<p>C. 5 year People Strategy, endorsed by Members with accompanying action plan to ensure the right focus on recruitment, retention and talent management.</p> <p>New People Strategy has been launched and has a clear focus on the shifting employment market and employment challenges that the Council faces, to establish clear plans for the workforce.</p>	Good	Clear workforce plan in place for the Council.	Success of the People Strategy is measured through employee engagement surveys and feedback from key services/exit interviews. Additionally, an annual report is presented to Staffing and Appeals Committee.
<p>D. Dedicated Recruitment Team supporting the whole Council. Targeted recruitment campaigns and new e-recruitment system.</p> <p>The team engage with services to understand the specific and differing challenges that they face and target recruitment campaigns accordingly, as well as maximising usage of social media channels.</p> <p>A new e-recruitment system has been implemented (in last 12 months).</p>	Good	The Council is able to recruit staff with the right skills and experience.	<p>Impact of recruitment campaigns is reviewed by the Recruitment Board. Decisions on spending on major recruitment campaigns are approved by the Board.</p> <p>Ongoing recruitment project has an emphasis on recruiting managers acting as Council ambassadors and not just focusing on their own area/vacancy, to improve attractiveness of Council as an employer to all applicants.</p>
E. Appraisal system linked to performance management	Good	Staff retention is enhanced.	Directorate-level review of outcomes followed by CLT review of appraisal and performance outcomes.
<p>F. Role of HR Business Partners.</p> <p>HR Business Partners work with services to anticipate and meet demands within service areas. BPs attend management meetings and meet Service Directors regularly.</p>	Good	Services are supported in successful recruitment, engagement, development and retention of staff.	Feedback from HR Business Partners regarding organisational engagement.
<p>G. Annual report to Staffing and Appeals Committee</p> <p>Reports are delivered to Staffing and Appeals Committee in February each year setting out a clear review of the workforce profile and activity during the year as well as key policy changes, employee engagement activity and an update around employee wellbeing.</p>	Good	Impact of workforce policies and engagement is measured and evaluated to inform future policy development.	Report is taken to Committee in February.

H. Report on quarterly basis to CLT and to management teams on workforce and performance. CLT received monthly reports on Health, Safety and Wellbeing. Quarterly dashboard reports on workforce matters including absence and turnover are provided to Directorate Management Teams for them to keep a focus on their workforce profile and any emerging or potential concerns.	Good	CLT and Directorate Management teams are able to identify and address any emerging or potential concerns.	Reports are provided to DMTs quarterly.
I. Use of Consultants Policy and Interim & Agency Workers Policy.	Reasonable	Hiring managers use appropriate and compliant routes to market to obtain interim, agency staff and consultants.	Regular reporting on use of consultants, interims and agency staff to CLT and Audit & Accounts Committee. Internal Audit review of Use of Consultants & Interims planned for 2023/24. Consultancy policy ownership has transferred to Procurement. Head of Procurement and Head of HR have been attending Management Team meets within services to raise awareness of these policies and to discourage any procurement of staff/workers without seeking advice.
J. Agency Staff framework with Opus.	Good	Hiring managers use Opus as an accessible and cost-effective route to market for agency staff and as a provider of the skills and expertise we need to reach through our joint venture.	HR team manage Opus contract. Opus reporting has improved significantly with implementation of weekly returns for Social Care, Adults and Children's and monthly returns for other services. HR Advisory have introduced a reconciliation of returns to services to confirm accuracy of reports.
K. Well established consultative framework with trade unions. Chief Executive joins the meetings on a regular basis.	Good	Well established and positive relationships enable constructive discussions with trade union colleagues around any challenging workforce related matters, as well as an opportunity to gain valuable insights and contributions to help shape policy development.	
L. New Learning & Development platform and work of the Learning & Development team.	Good	Staff are able to access targeted learning and development opportunities and the Council can monitor training undertaken.	Rates of training completion.
M. Equality Diversity & Inclusion Working Group. EDI Working Group meets monthly to discuss EDI issues and engage staff across the organisation.	Good	The Council has a strong culture of equality, diversity and inclusion which supports staff engagement and retention.	Staff feedback in EDI engagement surveys and exit interviews.
N. Employee Wellbeing offer and new Employee Engagement & Wellbeing Advisor post.	Good	Staff are supported to maintain wellbeing, reducing absence and supporting employee engagement and retention.	Staff feedback in Engagement Surveys and exit interviews.

Action Plans	Assurance	Responsibility	Target Date
<p>Children's Workforce Improvement Programme.</p> <p>Programme to address challenges in children's workforce retention and recruitment, launched in September 2022 and led by Chief Executive. This piece of work has broadened in scope. Target date revised to reflect this - March 24.</p>		Janet Atkin	30/03/2024
<p>The values and behaviours framework will be reviewed in line with the next iteration of the People Strategy.</p> <p>The People Strategy was approved in May and work is underway to develop an action plan and review of Values</p>		Janet Atkin	31/12/2023
<p>Work with the service directors to create a comprehensive L&D framework to support the wider People Strategy.</p> <p>Can only be completed once People strategy in place and agreed therefore target date to be aligned – December 23.</p>		Janet Atkin	31/12/2023

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		07. Failure to Deliver Key Council Services											
Likelihood	5						Risk Owners Stephen Moir	Current Score	10	Last Review	03/10/2023		
	4							Risk Appetite	15	Next Review	01/01/2024		
	3							Previous Score	10				
	2					RA	Triggers	Likelihood Factors (Vulnerability)		Potential Consequences			
	1					X		01. This risk may be triggered by the realisation of any of the other risks on the Corporate Risk Register: - Failure of safeguarding arrangements (Risks 1 and 2) - Failure of financial management (Risk 3) - Impact of a major/critical incident (Risk 4), cyber attack (Risk 8) or climate change (Risk 12) - Failure of corporate governance (Risk 5), key contracts (Risk 10) or partnership and collaborative working (Risk 11) - Insufficient workforce (Risk 6) - Failure to comply with Information Governance legislation (Risk 9) 02. Changing county demography and high levels of growth create pressure on Council resources and increase the risk that funding does not match demand; this may also be exacerbated by weak demand management process within the Council. 03. Failure to identify changing policy or legislation, or an inability to respond to changes in policy or legislation. 04. Failure to develop, effectively communicate and implement clear Council strategies and service plans, including the Business Plan. 05. Insufficient corporate oversight of performance. 06. Non-compliance with corporate policies and procedures. 07. Failure of arrangements for health and safety. 08. Major organisational change.		01. Changes to local authority finance and funding regime. 02. High levels of growth in Cambridgeshire outstripping predictions and creating increased demand for key services. 03. Pandemic 04. Current high rate of organisational change and consultations. 05. Economic uncertainty due to national and international events 06. Local Elections 07. Service provider unable to continue service (if not managed under Risk 10)		01. Harm or risk to vulnerable people. 02. Statutory penalties. 03. Reputational damage to the Council. 04. Government or regulatory intervention. 05. Financial consequences.	
		1	2	3	4	5		Consequence					

Controls	Adequacy	Critical Success	Assurance
1. Role of the Corporate Leadership Team (CLT) CLT have a leading role in ensuring that the Council delivers key services and legislative requirements. Individual directors have performance plans setting out required service delivery in their areas.	Good	CLT meet weekly and have agenda'd time to discuss emerging or urgent matters, as well as monitoring KPIs, budget and the Corporate Risk Register.	Council Directors complete Directors Assurance Statements for the Annual Governance Statement providing assurance over the control of risk and compliance with corporate governance requirements in their area.

2. Strategic Framework & Business Plan A clear corporate strategy and strategic framework feeding down into service plans, medium term financial strategy etc.	Reasonable	The Council's Strategic Framework should clarify the Council's aims with regards to service delivery to officers and Members.	
3. Role of Council Committees Cross-party decision-making in Council Committees provide oversight and challenge to decision-making, policy-making and performance of Council services.	Good		
4. Systems providing oversight of Council performance and service delivery. The Council's Performance Framework and Key Performance Indicators, along with associated systems for identifying performance issues such as the Complaints Procedure and Feedback Policy, provide corporate oversight of performance and delivery of key services.	Reasonable	Senior management and Members have accurate and timely overview of Council performance.	
5. Demand forecasting. The Council operates forecasting mechanisms to inform budget setting and long-term planning. This includes placement sufficiency processes to inform provision of school and early years places.	Good	The Council has an accurate view of likely demand for services in the short and long term.	

Action Plans	Assurance	Responsibility	Target Date
1. Redevelopment of the Council's Performance Framework.		Sue Grace	31/12/2023
2. Review of corporate approach to Business Planning and budget planning, Strategic Framework and service planning.		Sue Grace	31/12/2023

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		08. The Council is a victim of cyber crime.														
Likelihood	5			X												
	4															
	3					RA										
	2															
	1															
		1	2	3	4	5										
		Risk Owners		Michael Hudson		Current Score		15		Last Review		04/10/2023				
						Risk Appetite		15		Next Review		03/01/2024				
						Previous Score		15								
		Triggers					Likelihood Factors (Vulnerability)					Potential Consequences				
		01. Data loss 02. Denial of IT services 03. Malware attack 04. Phishing attack 05. Ransomware attack 06. Telephone Toll Fraud 07. Major vulnerability 08. DR for IT Services 09. Data mishandling/breach 10. Training arrangements fail 11. Password attack 12. SQL injection attack 13. Monitoring does not identify threats 14. In-house expertise/resource is stretched/reduced 15. Outdated or unpatched systems					01. Increasing malicious attempts from various sources 02. Malicious Emails to staff increasing 03. Non-compliance by staff or partners with IT Security policies					01. Regulatory breach subject to ICO action, reputational harm to the Council and disclosure of private information. 02. Inability or degradation in the ability of Council staff to access any computer based service hosted outside of the Council network. It will most likely also impact any services that the council hosts for access by the public. Finally it would also impact any VOIP services operated by the council. 03. Infection of Council systems by malware, causing a degradation of Council systems. 04. Credentials and/or data being made available to unauthorised third parties. This could result in ICO action, reputational damage to the Council and the unauthorised release of confidential information. 05. Loss of access to Council data, a financial ransom to recover access, reinstatement and restore operations to recover access, release of confidential data, reputational harm and ICO action. The exact impact will depend on how well mitigation reduce the impact of the attack. 06. Financial loss for the Council. The Council may also suffer reputational damage or information loss risks if the breacher of the system attempts to impersonate the Council. 07. Systems are exploited by using known\unknown vulnerabilities. 08. There is a risk that the functionality of the new DR solution has not taken place since implementation in August 2021 November 2021 and a retest will be required to provide assurances following platform changes. The consequence of not retesting is that if there is an incident which requires DR to be invoked it will be testing the solution during a live event.				
		Consequence														

Controls	Adequacy	Critical Success	Assurance
01. Phishing detection and prevention controls	Good	Phishing attempts are prevented or detected and dealt with.	<p>The service confirmed that multiple layers of Phishing detection are in place and these will delete or mark messages as appropriate. External messages are also marked as such as they contain a higher risk of Phishing.</p> <p>Multifactor authentication is used to reduce the likelihood of successfully exploiting Phished credentials.</p> <p>A simulation phishing exercise was completed in May 2022 which resulted in 178 users entering their password/credentials, which equates to 2.47% of the total delivered emails. Targeted training was offered to these individuals.</p>
02. Vulnerability detection and mitigation controls	Good	Vulnerabilities are identified internally and externally and patched in a timely manner – 14 days for vulnerabilities rated high or critical on the CVSS scoring system.	<p>Firewall, Email, Website access and end-device technical controls are used to eliminate or reduce the risk on known/unknown vulnerabilities from being exploited. NCSC Early Warning, WARP and other third-part intelligence source are used to identify vulnerabilities as soon as possible.</p> <p>There has been no action required or vulnerabilities detected from last 6 Months of WARP Threat Roundups. No NCSC Early Warning threat has been received since 16/12/2021. Other information and web sources are also monitored by the service on a regular basis to identify potential vulnerabilities.</p> <p>Additional assurances can be provided via progression of PSN Remediation Action Plan and outcomes of DLUHC (Department of Levelling Up) testing.</p>
03. Disaster Recovery Testing	Reasonable	Schedule of DR testing and reporting of outcomes.	<p>The last DR test occurred as part of the data centre move in November 2021. A failover was successfully completed in March 2022 at Sand Martin House Data Centre.</p> <p>If DR is invoked systems will be available however platform system changes will require DR to be retested to ensure performance and functionality is available in the new environment.</p>

04. Robust policies and procedures including the new IT Strategy and the existing Information Management & Governance policy framework.	Good	Accessibility and awareness of comprehensive, up-to-date IT and Cyber security policies and guidance.	Upcoming implementation of the new IT Strategy, toolkit materials and review of current policy suite. New IT strategy is being based on the National Strategy and will show how the service will support the 5 objectives: Manage, Protect, Detect, Minimise and Develop. A new toolkit has also recently been procured - ISO27001, PCI DSS and Cyber Essentials and these materials further strengthen this control.
05. Staff training on the correct handling of private data, and to use technical controls available to the Council to enable this.	Good	Completion of e-learning and delivery of sessions at Council wide sessions, such as Cambridgeshire Conversations	Cyber Security E-learning has sufficient coverage, but completion levels require improvement. A council wide one-hour Cyber Griffin session is planned to be delivered by the City of London Police on the 22nd March 2023. Up to 1,000 staff can join the training session.
06. Use multiple layer of anti-malware protection on Firewalls, email and end-points to prevent malware with frequent signature updates.	Good	Anti-malware protection	Malware protection is provided by Trend Micro Apex One (contract ends 23/3/24), Microsoft 365 (rolling Monthly Contract) and PaloAlto (MLL Eastnet Contract).
07. Use technical controls to limit access to the Council VOIP system to the UK only.	Good	VOIP system access control and usage reports	Normal usage is monitored by the provider and Council staff so that any deviation from normal use patterns can be identified and alerted.
08. Use the automated denial of service mitigation service provided by our wide area network provider MLL. This will inform us of any denial of service attempts and mitigation activities.	Good	MLL monitoring notifications	The service has never received a DOS or DDOS warning from MLL since established there was a process in place.
09. Cyber Security Board and Technical Group	Good	Regular meeting and reporting on cyber security	The purpose of the Cyber Security group is to ensure that IT best practice security is monitored and managed uniformly across CCC and PCC, defining the secure use and management of our IT systems.
10. Information Governance Management Board	Good	Regular meeting and reporting on cyber security arrangements and actions.	The IMB provides advice and guidance on all elements of IM/IG. This includes leading on cyber security arrangements.
11. ITDS Recruitment Campaigns	Good	The service retains and develops workers with IT specialisms.	Team currently has 3 qualified CISP officers and apprenticeship routes are established.

12. IT Business Continuity Planning processes	Reasonable	BCP in place for IT and service specific IT risks are considered in other service's BCP	An LGSS IT BCP from 2018 was provided to audit by Emergency Planning. No current version is in place but work is ongoing with Emergency Planning to get in place.
13. ICT Security Procurements	Reasonable	Due diligence processes are adhered to when making IT procurements to ensure the Council's IT security systems are not compromised	RFQ sets out standard procurement requirements however this process is under review.
14. Information Risk Owner role; Data Protection Officer role; Caldicott Guardians	Good	Defined responsible officers are in place	Defined within the Information Governance Framework.
15. Performance monitoring – corporate IT KPIs on IT Security	Good	Performance Monitoring is regularly undertaken to ensure IT security arrangements are sufficient	No assurances at present. TBC.
16. Communication strategy	Good	Ad-hoc communications and publicity work to raise awareness of IT security	Internal engagement team publishes ad-hoc and reactive comms regarding IT security. Further comms work include Cambridgeshire Conversations sessions.
17. Limitations to FOI requests	Good	Limitations on details the Council can release in FOI answers in relation to council system infrastructure	New process established to restricting level of detail given in FOI requests in regards to Council IT infrastructure as not to expose Council to cyber risk.

Action Plans	Assurance	Responsibility	Target Date
01. Business Continuity Plan for IT services to be developed with Emergency Planning	Currently in progress	Katherine Hlalat	30/03/2024
02. Corporate IT Security KPIs and reporting to be developed – such as Cyber Security and IG e-learning training complet	Currently in progress, however initial perspective is that there will be a single KPI on training. With additional reporting and dashboards being produced to report on the estate as this is a continually moving feat.	Julian Patmore	30/03/2024
03. PSN Remedial Plan, completion of all outstanding actions	Last few items remain, on target to complete	Julian Patmore	31/10/2023
04. DR retesting to be scheduled	Will be scheduled in once SAN replacement procurent has been finalised and will be included in one of the tasks within the implementation	Michael Hudson	30/12/2023
05. Ensure DPIAs are completed for all systems (where they have not already been completed)	Review to be undertaken of quality	Ben Stevenson	31/03/2024

06. Review partnership arrangements where data is either being processed or controlled on our behalf, or where we are hosted	PSN being sought	Julian Patmore	31/03/2024
07. Partnership Directory. Create a partnership directory to understand our relationships with partners and the responsibilities of either party		Katherine Hlalat	31/03/2024
08. Apply lessons learnt from recent cyber attack.		Julian Patmore	31/03/2024

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		09. The Council fails to comply with Information Governance legislation and industry standards															
Likelihood	5											Risk Owners	Emma Duncan	Current Score	12	Last Review	15/09/2023
	4													Risk Appetite	15	Next Review	30/12/2023
	3											Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
	2											1. High staff turnover and use of agency and interim staff.	This risk is closely linked to Risk 08, 'the Council is a victim of cybercrime', and IT security vulnerabilities will increase the likelihood of a breach of Information Governance legislation.	There is a risk that a lack of oversight and control of information management leads to information being mis-handled, which would expose the organisation to: * Legal action/Information Commission Officer involvement. * Damage to the reputation of the council and adverse publicity. * Complaints. * Data subjects suffer loss, detriment and distress as result of poor management of data. This will include records management, contractual obligations, case management, training and awareness.			
	1										2. Out of date IT systems or staff failure to install patches.						
		1	2	3	4	5	3. Cybercrime and phishing attacks.										
						4. Lack of training/awareness among staff.											
						5. Insufficient physical security of buildings.											
		Consequence															
												6. Staff removing physical records from the office.					

Controls	Adequacy	Critical Success	Assurance
01. Mandatory data protection and security training for all staff	Good	95% of staff have undergone online training or face to face training dependent on risks faced.	Quarterly reports on training completion rates.
02. Use of Data Protection Impact Assessments (DPIAs) in all projects and procurements	Good	Register of DPIAs identifies which have seen a DPIA completed, signed off and managed. Ongoing review of DPIAs so it is not a one off assessment.	Ongoing review and creation of register.
03. Regular communications to all staff and at key locations (e.g. printers)	Good	CamWeb used to promote key messages in a structured and engaging way each quarter. IG attend DMTs on a quarterly basis to hear of issues and resolve problems.	Annual report to Joint Information Management Board.

04. Information Management Board, chaired by senior info risk owner (CLT member), with representative of all directorates along with DPO and both Caldicott Guardians. Board oversees IG and cyber security activity	Good	Board meetings to be held every quarter and led by CLT members.	Quarterly meetings and IM Board reporting.
05. A comprehensive set of information and security policies.	Good	Policies reviewed and refreshed annually with redundant documents removed.	Annual report to Joint IM Board.
06. Established procedure for notifying, handling and managing data breaches	Good	Compliance with policy and clear reporting on breaches.	Report to CLT on a six-monthly basis on breaches and impact. Report to Joint IM board on a quarterly basis. Chief Exec and director notified of high-risk breaches.
07. Subject Access Requests responded to within the statutory timeframe.	Good	Targeting compliance rate of 90% SARs completed within statutory timeframe.	Quarterly report of progress towards 90% within statutory timeframe to both Strategy & Resources Committee and Joint IM Board. Six monthly report to CLT.
8. FOI responses issued within the statutory timeframe.	Good	Targeting compliance rate of 90% FOIs completed within statutory timeframe.	Quarterly report of progress towards 90% within statutory timeframe to both Strategy & Resources Committee and Joint IM Board. Six monthly report to CLT.

Action Plans	Assurance	Responsibility	Target Date
Awareness and communications regular updates via Cambweb, DMTs and conversations to keep awareness levels up	Visibility on Cambweb	Ben Stevenson	31/03/2024
Completion of NHS DSP Toolkit Ensures areas of compliance considered and how met for Public Health and Adult	Publication of toolkit and any audits	Ben Stevenson	31/12/2023
Implement learning from incidents Ensure that processes are reviewed and trends analysed	Lack of repeat incidents in service areas where processes are reviewed and changed	Ben Stevenson	31/03/2024
Mandatory training Training to be delivered annually to all staff, relevant to services and councils	BI reports to identify non completers Raised with directors and CLT to ensure completion Annual training	Ben Stevenson	31/12/2023
Review of IG policies Annual review of policies and updating to ensure best practice shared	Published policies approved by IM board	Ben Stevenson	30/10/2023

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		10. Failure of key contracts.							
Likelihood	5								
	4								
	3			T	X	RA			
	2								
	1								
		1	2	3	4	5			
		Risk Owners	Michael Hudson			Current Score	12	Last Review	29/09/2023
						Target Score	9	Next Review	28/12/2023
						Previous Score	12		
		Triggers			Likelihood Factors (Vulnerability)			Potential Consequences	
		<p>01. Different partnership arrangements and/or contracts have conflicting aims or priorities.</p> <p>02. Large scale handback / collapse of major suppliers for economic/profitability reasons</p> <p>03. Supply chain failure and/or significant cost increases in supply chain or CPI.</p> <p>04. The Council fails to identify key/business-critical contracts.</p> <p>05. Lack of robust, formally agreed contract documents to set deliverables, performance and governance arrangements for all key contracts.</p> <p>06. Failure to compliantly procure key contracts leads to legal challenge.</p> <p>07. Contracts lack clear corporate owners; or contract owners have a conflict of interest between their CCC role and external interests.</p> <p>08. Contracts fail to drive desired deliverables/outcomes through appropriate penalties/rewards.</p> <p>09. Lack of in-house contract management expertise.</p> <p>10. Third party fraud committed by or against suppliers and/or internal fraud or corruption in collusion with suppliers.</p> <p>11. Relationship breakdown with key contractors, potentially leading to a legal dispute.</p> <p>12. Heavy reliance on single suppliers leading to lack of a diversified supply chain.</p> <p>13. Policy or leadership changes in central government.</p>			<p>01. Uncertainty and major change programmes underway within the Council.</p> <p>02. Significant economic and inflationary volatility.</p> <p>03. Industrial Emissions Directive and the Best Available Techniques conclusions (BATc).</p> <p>04. Capacity and experience to deliver robust contract and supplier relationship management for key contracts.</p> <p>05. Understanding of market conditions for the specific markets in which the key contracts sit.</p>			<p>01. Financial impact of credit loss or default on monies owed.</p> <p>02. Revenue impact of increased costs or reduced income returns.</p> <p>03. Interruption to outcomes and service delivery.</p> <p>04. Construction quality and health & safety matters.</p> <p>05. Reputational damage.</p> <p>06. Failure to fulfil statutory duties.</p>	
		Consequence							

Controls	Adequacy	Critical Success	Assurance
01. Contract Procedure Rules and associated guidance and training.	Good		
02. Contracts Register.	Good		
03. Procurement Governance Board.	Reasonable		

04. Business Continuity Planning processes.	Poor		
05. Head of Diligence & Best Value role.	Reasonable		
06. Corporate due diligence processes.	Good		
07. Declarations of Interest processes within the Codes of Conduct for officers and members	Reasonable		
08. Corporate process for identifying key partnerships and contracts.	Reasonable		
09. Budget monitoring and forecasting processes.	Good		
10. Contract Management Toolkit in place. Contract management training is delivered to key contract managers via the Government Commercial Function.	Good		

Action Plans	Assurance	Responsibility	Target Date
01. Business Continuity strengthened	This should be carried out by all service managers with support and constructive challenge from Procurement & commercial and Emergency Planning.	Stewart Thomas	31/12/2023
02. Develop clear definition of the term 'key contract' with reference to the contract risk assessments already under wa		Clare Ellis	31/12/2023
03. Implement additional support for key contracts including from a business continuity perspective.		Clare Ellis	31/03/2024
04. Implement the new Sustainable Procurement Strategy		Clare Ellis	31/12/2024
05. Undertake regular Contract Register reviews to ensure that new 'key contracts' are captured by the process above.		Clare Ellis	31/03/2025

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		11. Failure of collaborative working.					
Likelihood	5						Risk Owners Sue Grace Current Score 12 Target Score 12 Previous Score 12 Last Review 28/09/2023 Next Review 28/12/2023
	4			T			
	3				X	RA	
	2						Triggers 01. Different partnership arrangements have conflicting aims or priorities. 02. The Council fails to identify and manage key/business critical partnerships. 03. Lack of robust, formally agreed partnership agreements or equivalent to set scope, deliverables and governance arrangements for all key partnerships. 04. Partnerships lack clear corporate owners; or partnership owners have a conflict of interest between their CCC role and external interests. 05. Partnership agreements fail to drive desired deliverables/outcomes. 06. Relationship breakdown with key partners, potentially leading to a legal dispute. 07. Policy or leadership changes in central government or local partnership organisations. 08. Lack of transparency regarding the operation of key partnerships.
	1						
		1	2	3	4	5	
		Consequence					Likelihood Factors (Vulnerability) 1. Uncertainty and major change programmes underway within CCC and partner organisations. 2. Restricted budgets across sector, coupled with significant economic and inflationary volatility. 3. Current negotiations regarding LD pooled budgets.
							Potential Consequences 01. Financial impact of partnership failure particularly where budgets are pooled. 02. Revenue impact of increased costs or reduced income returns. 03. Interruption to outcomes and service delivery. 04. Reputational damage. 05. Failure to fulfil statutory duties.

Controls	Adequacy	Critical Success	Assurance
01. Partnerships Advice & Guidance Document.	Poor	Clear guidance is available to Council officers and members on operating effectively in partnerships.	The Council's Partnerships Governance Advice & Guidance document is currently under full review (see Action Plan).
02. Grants to Voluntary Organisations Policy.	Good	Officers have clear guidance on how to manage award of grant monies effectively, to ensure that grants achieve best value and are awarded to partners who are able to deliver the agreed objectives.	Grants Policy is due for Internal Audit compliance review in 2023/24 (see Action Plan).
03. Appointments to Outside Bodies Process	Good	Officers and Members have guidance on the law around serving on external bodies, and Democratic Services maintain a record of Member appointments to outside bodies.	Democratic Services produce an Annual Report on Member Representation on Outside Bodies.
04. Council's Strategic Framework	Good	Clear statement of our Vision and Ambitions as a basis for our collaborative working.	Strategic Framework as approved at full Council in February 2023 as part of the budget setting process
05. Regular liaison with key partners ICS, CPCA, District & City Council, CAPALC (Cambs & Peterbr' Association of Local Councils), CPSB (Cambs & Peterbr' Strategic Board).	Good	Partners are clear about where they can work together for the benefits of the communities of Cambridgeshire	CLT regular review of strategic partnership activity and how this contributes to the Council's ambitions.

Action Plans	Assurance	Responsibility	Target Date
01. Review and update Partnerships Advice & Guidance document linking in to the Appointments to Outside Bodies Process.	Document review has started and is in progress, will include Democratic Services and other key stakeholders. Review and update of document to be completed before end of 2023, with final sign off in January 2024.	Sue Grace	31/01/2024
02. Conduct a fact-finding exercise to review our key partnerships, engagements and collaborative work.	Plan agreed for fact-finding, strategic partnerships are starting to be identified and initial work started. Fact-finding to be carried out over October-December 2023, will be informed by direct engagement with services as well as by risk and dependencies information in service plans coming out of Business Planning.	Sue Grace	31/01/2024
03. Identify opportunities for collaborative working around shared ambitions with our key partners	This is ongoing with several key partners already well engaged. Recruitment to the project manager post for Decentralisation/Closer to Communities pilots is complete. This will aid in identifying more opportunities.	Sue Grace	31/01/2024

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		12. Climate Change					Risk Owners	Current Score	Last Review
Likelihood	5						Frank Jordan	16	05/10/2023
	4				X			Target Score 12	Next Review 27/12/2023
	3				T	RA	Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
	2						<p>1. Carbon reductions are not realised across the Council and Cambridgeshire.</p> <p>2. Internal skills, knowledge and resources not available to address the issue</p> <p>3. Partnerships not effectively managed.</p> <p>4. Government climate and environmental regulation and strategy amended.</p> <p>5. Availability of funding .</p> <p>6. Projects to deliver carbon reductions and/or biodiversity enhancement not delivered</p> <p>7. Carbon reduction and biodiversity enhancement is not appropriately embedded into the organisation's service delivery mechanisms.</p> <p>8. Supply chain insufficiently developed to deliver low carbon solutions and/or biodiversity enhancements at pace, scale and price to deliver the CCES in Cambridgeshire.</p> <p>9. Behavioural change required in communities and/or workforce is not realised.</p> <p>10. Insufficient awareness from staff and Members of key policies and procedures.</p>	<p>1. Increased demand on services reduces capacity to deliver the strategy.</p> <p>2. Need to balance competing priorities.</p> <p>3. Revised legislation/regulation.</p> <p>4. Supply chain weaknesses – increases costs and risks for the Council.</p> <p>5. Global competition for resources drives significant macro-economic changes to markets e.g. Ukraine war, Covid.</p> <p>6. New technologies and innovations are complex to implement in current economic environment.</p> <p>7. Inflationary pressures.</p> <p>8. Changes to government funding regimes and/or approaches.</p>	<p>1. Failure to deliver statutory duties and legislative requirements.</p> <p>2. Significant political and reputational damage to the Council for not acting on the climate emergency that has been declared.</p> <p>3. Significant longer-term risks and costs to health, society, economic and financial position of the County and the Council if mitigation and adaptation measures are not effective.</p> <p>4. Resilience of services at risk due to climate impacts impeding Officers and/or service users delivering or accessing services.</p> <p>5. Legal challenge on the Council's failure to deliver the Council's targets.</p>
	1								
		1	2	3	4	5			
Consequence									

Controls	Adequacy	Critical Success	Assurance
01. Council policy on the CCES and action plan in place to guide decarbonisation and nature recovery priorities	Good	CCES approved and first mobilisation plan in place.	Annual review of action plan and CCES targets.
02. Implementation of the Phase 1 Net Zero Enabling Programme to improve knowledge, skills, governance and resource capacity.	Good	Governance established feeding directly into Corporate Leadership Team (CLT). Recruitment underway to increase capacity. Phase 2 and Phase 3 mobilisation programmes developed	Decarbonisation plans in place for high carbon emitting areas. Improved data integration for dynamic reporting on annual carbon budgets.
03. Performance management - Annual Carbon Footprint Report and monitoring of progress against CCES targets.	Reasonable	Baseline assessments in place for carbon and biodiversity. Forecast annual carbon budget.	Annual carbon footprint published. Trajectory to Net Zero by 2030 reviewed.
04. Quarterly reporting to CLT on progress with the CCES by the Executive Director Place & Sustainability.	Reasonable	Reporting template agreed and started from October 2022.	Quarterly reports on CLT forward agenda.
05. Delivery and Programme Management of the CPCA Climate Change Action Plan.	Reasonable	CCC puts in place a delivery programme to support the CPCA. CPCA puts resources in place to deliver the action plan.	Reporting to the CPCA Climate Working group and the Independent Commission for Climate.

06. Continued involvement in various strategic partnerships/collaborative spaces to feedback information and establish collaborative working approaches e.g. Local Climate Change Officers Group, UK100, ADEPT, UKPN Innovation Teams, Biodiversity Officers group, Fenland SOIL.	Reasonable	Sharing best practice for policy and delivery improvements.	Reporting via the Climate Change and Environment Board.
07. Climate and Environment Training Programme to all staff, consisting of e-learning module(s) and Carbon Literacy Training for all senior staff and Members.	Good	20 Members and 50 Officers trained, including majority of CLT.	Achieving equivalent of Gold CLT standard. All Senior Managers to P4 to attend training. Aspire towards 80% of Members trained.
08. Maintaining a watching brief on governmental policy, legislative and funding positions to enable pro-active responses to emerging changes	Good	Increase external funding success for decarbonisation projects	£1.2m of external funding to deliver CCES
09. Corporate Performance Outcome agreed to cover Climate Change and Sustainability.	Good	All staff will have a corporate outcome regarding Climate Change and Sustainability included in their outcomes and impacts targets as part of the corporate Our Conversations process.	Services, teams and individual staff consistently work towards achieving the Council's Climate Change strategy and aims.

Action Plans	Assurance	Responsibility	Target Date
01. Annual review of action plan and CCES targets.	CCES Action Plan - Risk Approach	Sheryl French	31/10/2023
02. Delivery of the Enabling Net Zero Phase 1 programme of work.	Programme monitoring via the Programme Board.	Sheryl French	31/12/2023
03. Delivery of CPCA Action Plan areas led by CCC.	Quarterly progress reports to the CPCA Officer Board and Member Board.	Maggie Pratt	31/12/2023
04. Integration of climate and environment into procurement strategy and frameworks e.g. Climate Change Charter, implementation of the Social Value toolkit, training and support for commissioning officers.	The Climate Charter is live and being used for all procurements valued over £100,000. The Council's Sustainable Procurement Strategy was agreed in February 23 and is starting to be delivered. Social value is considered in all procurements valued over £100,000. Further work is being done on considering how to reduce carbon in existing contracts.	Clare Ellis	31/12/2023
05. Corporate Asset Management Strategy Incorporation (and delivery) of carbon reduction and biodiversity improvements into CCC management approaches and to use CCC assets to drive net zero system change. This is carried out as the norm in all project work irrespective of the formal Corporate Property Strategy being in place.	The updated Asset Management Strategy and Corporate Landlord approach (when this is completed and delivered).	Chris Ramsbottom	30/06/2024
06. Climate / environment integrated into CCC operations and systems including Carbon Valuation; Net Zero by Design; Triple bottom Line.	Monitoring of Capital Programme Board papers to ensure papers include carbon valuation. Signing off significant implications on all committee papers that are Key Decisions	Emily Bolton Sarah Wilkinson	31/12/2023

07. KPIs including the Council's Net Zero targets of 2030 & 2045 and carbon budget reporting when agreed and in place.	Quarterly reporting to Committee on Net Zero targets as part of the Council's performance framework.	Rachel Hallam	31/12/2023
08. Engagement and awareness campaign To deliver behavioural change and empower individuals, communities and businesses to act independently of the Council: a) internal and b) external.	Annual comms service and campaigns plan (and reports back to the Net Zero Board) signed off by CLT and Chairs & Vice Chairs and monitored quarterly.	Christine Birchall	31/12/2023
09. On-going market development/ skills/Cleantech.	Via the CPCA Climate Action plan and its wider skills work via the Greater South East Net Zero Hub.	Sheryl French	31/12/2023
10. Annual Carbon footprinting – New data to fill known data provision gaps	Annual publication of the Council's carbon and area footprints for publication on the Council's website.	Rachel Hallam Sarah Wilkinson	31/12/2023
11. Funding & financing for Net Zero 2030	Via Workstream 3 of the Climate Change and Environment Programme. Linked to the business planning process and balancing of funding against other priorities.	Sheryl French Stephen Howarth	31/12/2023
12. Funding and Financing Framework for 2045.	Via Workstream 3 of the Climate Change and Environment Programme. Subject to CANFFUND bid, results in November 2023	Sheryl French Stephen Howarth	31/12/2024
13. On-going closer collaboration with Govt departments to share Net Zero successes, projects and programmes to inform government policy.	Working with the government on task and finish groups. Collaborating through membership organisations e.g. ADEPT to inform policy.	Sheryl French	31/12/2024

Risk Path: Cambridgeshire County Council CRR/Cambridgeshire County Council

Risk Category:

Linked Objective(s):
