

# Cambridgeshire County Council CRR - Appendix 1

05/09/2022 09:28:49

Risk		01. ASC - Council's arrangements for safeguarding vulnerable adults fail									
Likelihood	5						Risk Owners Charlotte Black	Current Score	15	Last Review	05/08/2022
	4							Target Score	15	Next Review	03/11/2022
	3					X/T		Previous Score	15		
	2						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences
	1						01. Inherent weaknesses in safeguarding governance arrangements 02. Poor quality of practice in the delivery of responsibilities 03. Ineffective Management Oversight 04. High Caseloads 05. Poor CQC		1. Decrease in government funding 2. Failure/handback from third party providers 3. Increased expectations on local government 4. increase in demand for services		1. Vulnerable adult is seriously harmed 2. People lose trust in Council services 3. Council is judged to have failed in statutory duties
		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 Serious Case Reviews and safeguarding.	Good	Regular reporting	
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	
03. Clear 'People in Position of Trust' policy and guidance in relation to Adults	Good		
04. Multi-agency Safeguarding Boards and Executive Boards provides multi agency focus on safeguarding priorities and provides systematic review of safeguarding activity	Good	Regular reporting	
06. Robust process of internal Quality Assurance (QA framework) including case auditing and monitoring of performance	Good	Regular auditing and reporting	
08. Regular monitoring of social care providers and information sharing meetings with other local organisations, including the Care Quality Commission	Good	Regular auditing and reporting	
09. Joint protocols, practice standards and QA ensure appropriate joint management	Good	Regular auditing and reporting	

10. Coordinated work between multi-agency partners for both Adults and Childrens. In particular Police, County Council and other agencies to identify child sexual exploitation, including supporting children and young people transitions to adulthood, with the oversight of the Safeguarding Boards	Good	Effective and safe implementation	
11. Continue to work with the CQC to share information	Good	Regular reporting	
12. Caseloads have increased due to difficulty in recruiting qualified roles. Oversight & challenge from QA Service and the Local Safeguarding Board	Good		
14. Joint funded packages of Support Work is ongoing on resolving issues with CCG over jointly funded packages of support (CHC, section 41 and section 117). Further action will be taken if back payments cannot be secured	Good		
15. Adults regular meetings to monitor progress and risks with CQC regulator	Good		
16. Managing demand and ensuring adults and children receive right intervention at the right time.	Good		
17. Regular DMT's to discuss and escalate issues	Good		
COVID RELATED TO A): * Ongoing monitoring of staff sickness to intervene prior to rates increasing	Good		
COVID RELATED: F) * Business cases to increase reablement capacity / social work capacity being applied for (Social work agreed) * Recruitment campaign on reablement and could over-recruit has been agreed	Good		

Action Plans	Assurance	Responsibility	Target Date
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**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	Orange	Orange	Orange	Red	Red		
	4	Green	Orange	Orange	Red	Red		
	3	Green	Orange	Orange	Orange	X/T		
	2	Green	Green	Orange	Orange	Orange		
	1	Green	Green	Green	Green	Orange		
		1	2	3	4	5		
<b>Consequence</b>								
<b>Risk Owners</b>		Charlotte Black			<b>Current Score</b>	15	<b>Last Review</b>	05/08/2022
					<b>Target Score</b>	15	<b>Next Review</b>	03/11/2022
					<b>Previous Score</b>	15		
<b>Triggers</b>				<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>		
COVID Related: 1. Lack of staff in safeguarding - due to an increase of those unwell with Covid-19 & vacancies 2. Latent demand begins which increases workload and leads to potential capacity issues  BAU RISKS: 1. Children's social care case loads are too high in some areas (due to vacant positions & demand on services) 2. Inaccurate assessment of risk in relation to children & the family circumstances 3. Serious case review is triggered 4. latent demand begins which increases workload and leads to potential capacity issues due to the economic demand on families caused by the cost of living increase						1. Harm to child or you person awaiting or receiving services from the Council 2. Reputational damage to the Council		

Controls	Adequacy	Critical Success	Assurance
Caseloads & Demand  2. Move to non-caseloading team Managers has increased oversight and challenge. Skilled and experienced safeguarding leads and their managers. 10. Caseloads have increased due to difficulty in recruiting qualified roles. Oversight & challenge from QA Service and the Local Safeguarding Board 11. Family Safeguarding to keep families together and ensure children and adults services work jointly for the best outcome for the family 12. Managing demand and ensuring adults and children receive right intervention at the right time	Good		
COVID RELATED	Good		

<p>COVID RELATED: 1) *To seek agency SW cover as a last resort to ensure safeguarding is prioritised *Ongoing monitoring of staff sickness to intervene prior to rates increasing</p> <p>COVID RELATED: 2) * Business cases to increase social work capacity being applied for (Social work agreed) &amp; new recruitment campaign launched</p>			
<p>Governance</p> <p>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.</p> <p>9. Coordinated work between multi-agency partners. 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</p>	<p>Good</p>		
<p>Quality Assurance and Practice</p> <p>3. Comprehensive and robust safeguarding training, ongoing development policies and opportunities for staff, and regular supervisions monitor and instil safeguarding procedures and practice.</p> <p>4. 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> <p>5. Robust process of internal Quality Assurance (QA framework) including case auditing and monitoring of performance</p> <p>6. Whistleblowing policy, robust Local Authority Designated Officer (LADO) arrangements and complaints process inform practice.</p> <p>7. Regular monitoring of social care providers and information sharing meetings with other local organisations, including the Care Quality Commission</p>	<p>Good</p>		
<p><b>Action Plans</b></p>	<p><b>Assurance</b></p>	<p><b>Responsibility</b></p>	<p><b>Target Date</b></p>

**Risk Path:** Cambridgeshire County Council CRR/Cambridgeshire County Council

**Risk Category:**

Linked Objective(s):

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Risk		03. The Council does not have enough budget to deliver agreed short and medium term corporate objectives							
Likelihood	5								
	4				X				
	3					T			
	2								
	1								
		1	2	3	4	5			
		<b>Consequence</b>							
		<b>Risk Owners</b>	Tom Kelly			<b>Current Score</b>	16	<b>Last Review</b>	19/08/2022
						<b>Target Score</b>	15	<b>Next Review</b>	01/12/2022
						<b>Previous Score</b>	12		
		<b>Triggers</b>			<b>Likelihood Factors (Vulnerability)</b>			<b>Potential Consequences</b>	
		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 2. No clear policies, procedures or governance framework for budget setting and monitoring 3. Non-compliance with corporate processes 4. Poor demand management of services 5. Inflationary pressures 6. staff without appropriate s/k/e 7. The Council is a victim of major fraud and corruption 8. Adverse outcome from Safety Valve process - Council has to fund DSG High Needs deficit			1. Increased demand for services 2. Economic/market conditions - shortage of supply of services 3. Economic conditions - reduced income from fees/charges or taxation 4. Changes to government funding 5. Legislative and regulatory changes 6. Economic conditions Inflationary pressures - increased prices 7. Partnership risks - additional costs or reduced funding in collaborations 8. Industrial Emissions Directive and the Best Available Techniques conclusions (BATc)			1. Council issues a s114 notice or requires capitalisation direction 2. The Council does not deliver its statutory responsibilities 3. People do not receive the services to which they are entitled or require, and may be harmed as a result 4. Reputational damage	

Controls	Adequacy	Critical Success	Assurance
01. Robust Business Planning process	Good	Continued support from CLT to act collectively to develop budget proposals which meet the financial challenge	
02. Robust service planning, priorities cascaded through management teams and through appraisal process	Good	Staff have clarity of what is expected of them and deliver services within the available budget	
03. Integrated resources and performance reporting (accountable quarterly to S&R), tracking budget, savings, activity and performance	Good	Saving proposals delivered	
04. Operational division Finance and Performance Reports (accountable monthly to Service Committees), tracking budget, savings, activity and performance	Good	Saving proposals delivered	
05. Scheme of Financial Management, including Budget Control Report for the Council as a whole and operational divisions	Good	Clear budget process, effective engagement with it and compliance	
06. Procurement processes and controls ensure that best value is achieved through procurement	Good		

07. 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	
08. Rigorous treasury management system plus tracking of national and international economic factors and Government policy	Good		
09. Rigorous risk management discipline embedded in services and projects	Good		
10. Adequate reserves	Good	Reserves held at recommended level as per section 25 statement (4%)	
11. Integrated Financial Monitoring Report	Good	Received quarterly at S&R	
12. Anti-fraud and corruption policy	Good	Organisational awareness campaigns	
13. whistleblowing policy	Good	Organisational awareness campaigns	
14. Internal control framework	Good	Organisational awareness campaigns	
15. Fraud detection work undertaken by IA, Counter Fraud	Good	Organisational awareness campaigns	
16. Awareness Campaigns	Good	Organisational awareness campaigns	
17. Anti money laundering policy	Good	Organisational awareness campaigns	
18. Publication of spend data	Good	Organisational awareness campaigns	

Action Plans	Assurance	Responsibility	Target Date
01. Engagement, development and submission of credible revenue and capital plans into safety valve process		Tom Kelly Jonathan Lewis	07/10/2022
02. Capital Programme Board and RIT full scrutiny and supervision of proposal and savings plan development		Tom Kelly	30/11/2022

**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	Orange	Orange	Orange	Red	Red		
	4	Green	Orange	Orange	Red	Red		
	3	Green	Orange	Orange	X	T		
	2	Green	Green	Orange	Orange	Orange		
	1	Green	Green	Green	Green	Orange		
		1	2	3	4	5		
		<b>Consequence</b>						
Risk Owners		Sue Grace			Current Score	12	Last Review	02/09/2022
					Target Score	15	Next Review	02/12/2022
					Previous Score	12		
Triggers		Likelihood Factors (Vulnerability)			Potential Consequences			
1. Loss of large quantity of staff or key staff 2. Loss of key premises (including temporary denial of access) 3. Loss of IT, equipment or data 4. Loss of a key supplier 5. Loss of utilities or fuel 6. Status of IT Disaster Recovery 7. Decreasing resilience in CCC services due to ongoing financial constraints and cost reduction		1. Ongoing risk of environment hazards such as flooding and severe weather 2. Pandemic 3. Cyber Attack / Cyber Crime			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	Assurance
1. Corporate and service business continuity plans	Reasonable	Up to date business continuity plans available across the Council	"Experience through Covid, has demonstrated the agility of the workforce in delivering services with regular review of BC plans which have been tested and stressed. The radical change in our operating environment, e.g. majority of staff working remotely, helps with business continuity. We have demonstrated that we can develop options in exceptional circumstances. Active engagement in reviewing BC Plans to take account of learning from Covid"
2. Relationships with trade unions including agreed exemptions	Good		"Engagement is good with regular meetings undertaken. More frequent engagement and contact with TU's throughout Covid demonstrates ability to step up engagement when required".
3. Corporate communication channels in case of emergency	Good	Responsive media strategy	"Media, community engagement, working with and through comms leaders, social media campaigns, internal comms. Updating with partners, shared comms. Comms for Members, district and city as well as county. Regular comms with MP's. Frequency and intensity accelerated. "
4. Multi-agency collaboration through the Cambridgeshire & Peterborough Local Resilience Forum	Good		"Tactical and strategic are a part of BAU. Setting up of a range of specific sub groups with reporting up to gold strategic group. Tackle with partners specific issues. Frequency and intensity and range and nature accelerated significantly during Covid which demonstrates responsiveness"
6. Resilient Internet feed	Good		"Considerable work undertaken to strengthen and improve resilience of network. High proportion of



			improve resilience or network, high proportion of WFH for staff and Members can be sustained. Regular monitoring process and escalation"
7. Business continuity testing	Good	Regular testing undertaken	"Constantly having to reposition the delivery of the business. Constantly revised and re-written and tested, particularly those in response mode.
8. Corporate Emergency Plan	Good		Corporate Emergency Plans put into operation through recent incidents (2020/21 and 2021/22) including Flooding and Severe Weather. All stepped up alongside delivering our Covid Response/Recovery Plans
9. IT security – data encryption, hardware firewalls, network traffic monitoring, inbound mail monitoring, spam filters, web content filtering, anti-virus software (Moved From previous risk 3)	Good		Regular monitoring of cyber security through cyber security board and dashboards tracking internal protections and external threats. Effectively dealt with threats (range of incidents in 2021/22) adopting best practice methodology for investigation/remedial action/learning. Regular liaison with the National Cyber Security Centre to keep up to date with threats/best practice.

Action Plans	Assurance	Responsibility	Target Date
Testing disaster recovery plans		Sue Grace	31/12/2022

**Risk Path:** Cambridgeshire County Council CRR/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

<b>Risk</b>	<b>05. The Council does not deliver its statutory or legislative obligations</b>									
<b>Likelihood</b>	5					<b>Risk Owners</b> Fiona McMillan	<b>Current Score</b> 10	<b>Last Review</b> 02/09/2022		
	4								<b>Target Score</b> 15	<b>Next Review</b> 01/12/2022
	3				T					
	2				X					
	1									
			1	2	3	4	5	<b>Consequence</b>		
<b>Triggers</b>						<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>		
1. Major business disruption 2. Lack of management oversight 3. Negative inspection judgement 4. Poor financial management 5. Insufficient Finance 6. Personal Data is inappropriately accessed or shared.						1. Current local financial pressures 2. Ongoing national reduction in public sector funding 3. Changes to statutory/Legislative duties 4. Industrial Emissions Directive and the Best Available Techniques conclusions (BATc)		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		

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>	<b>Assurance</b>
01. Monitoring Officer role Proactive role on CLT. Sign off on all legislative changes.	Good	Lack of or reduced risk of successful legal challenge to decision making	
02. Code of Corporate Governance	Good	Lack of or reduced risk of successful legal challenge to decision making	
03. Community impact assessments required for key decisions	Good		
04. Business Planning process used to identify and address changes to legislative/regulatory requirements	Good		
05. Projects and training to ensure the implementation of legislative changes (e.g. Care Act)	Good	Lack of or reduced risk of successful legal challenge to decision making	
06. Constitutional delegation to Committees and CLT	Good		
07. Health and safety policies and processes	Good		
08. Preparation and improvement undertaken for inspections by regulators (e.g. Ofsted)	Good		
09. 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	
10. Mandatory data protection and security training for all staff	Good	High levels of completion of training	

11. Use of data protection impact assessments in all projects and procurements	Good	A higher rate of data protection impact assessments completed	
12. Regular communications to all staff and at key locations (e.g. printers)	Good		
13. Joint Information Management Board, chaired by senior information risk owner ( CLR member), with representatives of all directorates along with Data Protection Officer and both Caldicott Guardians. Board oversees all information governance and cyber security activity	Good		
14. A comprehensive set of information and security policies	Good	Contracts with DP clauses and data processing instructions included	
15. Established procedure for notifying, handling and managing data breaches	Good	Reduced number of breaches/cyber success caused by a lack of knowledge	
16. Data breaches, training feedback and performance indicators reported to Information Management board and CLT	Good	Reduced number of breaches/cyber success caused by a lack of knowledge	
17. CLT provided with annual assurance on penetration testing around cyber security	Good		

Action Plans	Assurance	Responsibility	Target Date
01. Mandatory training Currently unable to report on who hasn't completed mandatory training i.e. no exception reporting. System not sufficient. Proposal to be brought by Data Protection Officer		Fiona McMillan	14/06/2022

**Risk Path:** Cambridgeshire County Council CRR/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

<b>Risk</b>	<b>06. The Council's human resources are not able to meet business need</b>											
<b>Likelihood</b>	5						<b>Risk Owners</b> Janet Atkin	<b>Current Score</b> 15	<b>Target Score</b> 15	<b>Previous Score</b> 15	<b>Last Review</b> 02/09/2022	<b>Next Review</b> 01/12/2022
	4											
	3					X/T	<b>Triggers</b>	<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>		
	2						1. Skills shortage in key areas including partners. 2. Employee retention and engagement is inadequate 3. failure to achieve a healthy organisational culture and environment 4. ineffective or inadequate workforce planning	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. EU exit impact on employment market 4. Increased challenges across all areas of the council's functions in recruiting.		1. The Council is unable to recruit staff with the right skills and experience 2. Failure to deliver effective services 3. Reputational damage to the Council 4. Low morale and negative impact on staff wellbeing.		
	1											
		1	2	3	4	5	<b>Consequence</b>					

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>	<b>Assurance</b>
1. Fair recruitment policy. Recruitment and Retention Board meets bi-monthly, focused on social care.	Good	Staffing levels support service delivery	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.
2. Regular Employee Engagement Surveys established to identify and respond quickly to emerging issues and concerns	Good	Employee Engagement is demonstrated through employees seeing the value of and therefore contributing to these opportunities to shape the organisation as an employer.	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.
3. 3 year People Strategy, endorsed by Members with accompanying action plan to ensure the right focus on recruitment, retention and talent management.	Good		Work is underway on the next iteration of the People Strategy which will be presented to Full Council in Spring 2023 and will have a clear focus on the shifting employment market and employment challenges that the Council faces, to establish clear plans for the workforce.

4. Targeted recruitment campaigns.	Good		The Council has a central recruitment team who are dedicated to supporting Children's and Adults services – they engage with the 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. This is currently being expanded to provide professional guidance to all areas of the Council from October 2022.
5. Appraisal system linked to performance management	Good		New Our Conversations process was embedded in 2021. Feedback on the first year has been gathered and work is underway to consider refinements to the process regarding it's application in practice so that any adaptations can be made in conjunction with CLT.
6. HR Business Partners - work with service to help anticipate and meet the demands within each area	Good		HR Business Partners attend management team meetings and meet regularly with Service Directors to discuss workforce matters.
7. Annual report to staffing and appeals committee	Good		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.
8. Report on quarterly basis to management teams on workforce and performance	Good		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.
9. Use of Consultants Policy	Good		A clear policy on the use of consultants, interim and agency workers is in place to give clarity to hiring managers about when it is appropriate to use these options, and the appropriate and compliant way to do so.
9B. Well established consultative framework with trade unions, including fortnightly meetings throughout the Covid period	Good		These 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.

Action Plans	Assurance	Responsibility	Target Date
Development of own learning platform	Action Completed 14/06/2022	Janet Atkin	14/06/2022

Janet Atkin - 2/9/22

The values and behaviours framework will be reviewed in line with the next iteration of the People Strategy to make sure		Janet Atkin	31/03/2023
Work with the service directors to create a comprehensive L&D strategy to support the wider People Strategy.		Janet Atkin	31/03/2023

**Risk Path:** Cambridgeshire County Council CRR/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

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Risk		07. Insufficient infrastructure to deliver the Council's services										
Likelihood	5	Orange	Orange	Orange	Red	Red	Risk Owners	Steve Cox	Current Score	12	Last Review	02/09/2022
	4	Green	Orange	Orange	Red	Red						
	3	Green	Orange	Orange	X	T	1. Maximisation of developer contributions through Section 106 negotiations. Policy is to deal with strategic development sites through s106, not including CIL	Good				
	2	Green	Green	Orange	Orange	Orange					2. Section 106 deferrals policy is in place.	Good
	1	Green	Green	Green	Green	Orange	3. Capital Programme Board	Good	Regular reporting			
		1	2	3	4	5					4. Prudential borrowing strategy	Good
	Consequence					5. Review, scrutiny and challenge of design and build costs to ensure maximum value for money	Good					

Controls	Adequacy	Critical Success	Assurance
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	Agreed and adopted by the Council	
3. Capital Programme Board	Good	Regular reporting	
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. Maximise annual maintenance block funding from Central Government, maintaining band 3 of the incentive fund.	Good		

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

**Risk Category:**

**Linked Objective(s):**

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Risk		08. Failure to Deliver Key Council Services					
Likelihood	5	Orange	Orange	Orange	Red	Red	<b>Risk Owners</b> Charlotte Black; Steve Cox <b>Current Score</b> 10 <b>Target Score</b> 15 <b>Previous Score</b> 10 <b>Last Review</b> 02/09/2022 <b>Next Review</b> 01/12/2022
	4	Green	Orange	Orange	Red	Red	
	3	Green	Orange	Orange	Orange	T	
	2	Green	Green	Orange	Orange	X	<b>Triggers</b> 01. Placement sufficiency – schools, independent sector CIC and adult placements 02. Workforce sufficiency – council and independent sector and partners 03. Skills sufficiency 04. Lack of Business Continuity Plans for Key Services 05. Poor Contract Management 06. Poor Project Management 07. Poor Governance around Partnership working 08. Capacity issues 09. Poor Demand Management 10. Poor escalation process for concerns 11. Insufficient budget setting and management 12. Non-compliance with Corporate policies and procedures
	1	Green	Green	Green	Green	Orange	
		1	2	3	4	5	
<b>Consequence</b>							<b>Likelihood Factors (Vulnerability)</b> 01. Failure of Key Supplier 02. Change in government funding 03. Pandemic 04. Long-term Brexit implications 05. Local Elections 06. Increased Demand on key services 07. Industrial Emissions Directive and the Best Available Techniques conclusions (BATc)
							<b>Potential Consequences</b> 01. Children and adults inappropriately placed leading to increased risk of harm, poor health and social outcomes 02. Children and adults do not receive services they need to reduce the risk of harm, reach their educational and independence potential

Controls	Adequacy	Critical Success	Assurance
01. Market sustainability Since April 22, the market sustainability and inflation plan has been approved. Officers are mindful of ensuring financial control, especially in light of uplifts and cost of living costs. These are both being monitored through existing contract arrangements and senior management financial monitoring. This is also fed into business planning cycles, to ensure that we have appropriate levels of inflation and demand investment incorporated into budgets to manage uplifts with providers. A wider Fair Cost of Care Review is being undertaken with the market, in line with national requirements, which will inform our future strategy to market sustainability	Good		
02. Two frameworks have been developed outlining, short, medium and longer-term plans for ensuring future sufficiency for those Children with SEND needs and also for Early Years and Childcare sufficiency which was agreed by CYP Committee on 1 March 2022. Further action plans are now in development.	Good		
03. All P&C service have adequate Business Continuity Plans in place which are reviewed regularly in light of national covid changes	Good		

04. Family safeguarding model is shown to be more effective in working with families with complex needs and continuing to work closely with key placement providers is ongoing	Reasonable		
05. Recruitment and retention of skilled staff is good in some areas and less so in others. Recruitment campaigns and agency staff are proving to be beneficial currently	Reasonable	An independent sector workforce which can expand in line with the demographic and complex needs growth of Cambridgeshire.	Workforce strategy which reflects the needs of the local workforce pressures, creates a pipeline for recruitment, establishes a standardised approach to recruitment and starts across the care sector. Supported by public sector partners and tackling the skills agenda in line with the Combined Authority.

<b>Action Plans</b>	<b>Assurance</b>	<b>Responsibility</b>	<b>Target Date</b>
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**Risk Path:** Cambridgeshire County Council CRR/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

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Risk		09. The Council is a victim of Cyber crime						
Likelihood	5			X				
	4							
	3					T		
	2							
	1							
		1	2	3	4	5		
						Consequence		
Risk Owners		Sue Grace			Current Score	15	Last Review	02/09/2022
					Target Score	15	Next Review	01/12/2022
					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				01. Increasing malicious attempts from various sources 02. Malicious Emails to staff increasing		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. The consequence is that if there is an incident which requires DR to be invoked it will be testing the solution during a live event.		

Controls	Adequacy	Critical Success	Assurance
01. Educate users as to the likelihood of Phishing and actions to be taken when encountered. 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. Multifactor authentication is used to reduce the likelihood of successfully exploiting Phished credentials.	Good		

02. Identify and patch vulnerabilities in a timely manner, which should be with 14 days for vulnerabilities rated critical or high on the CVSS scoring system. Firewall, Email, Website access and end-device technical controls will be used to eliminate or reduce the risk on known\unknown vulnerabilities from being exploited. NCSC Early Warning, WARP and other third-part intelligence source will be used to identify vulnerabilities as soon as possible.	Good		
03. If DR is invoked systems will be available however performance in that environment has not been tested to ensure all functionality is available. DR test is to be planned in for 2022/23 as the impact of the SAN project will change the configuration and infrastructure and how the environment will work.	Good		
04. Robust policies and procedures	Good		
05. Staff training on the correct handling of private data, and to use technical controls available to the Council to limit the likelihood of this happening.	Good		
06. Use multiple layer of anti-malware protection on Firewalls, email and end-points to prevent malware with frequent signature updates.	Good		
07. Use technical controls to limit access to the Council VOIP system to the UK only. Normal usage is monitored by the provider and Council staff so that any deviation from normal use patterns can be identified and alerted upon.	Good		
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		

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

**Risk Category:**

**Linked Objective(s):**

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<b>Risk</b>	<b>10. The Council fails to comply with Information Governance legislation and industry standards</b>													
<b>Likelihood</b>	5						<b>Risk Owners</b>	Fiona McMillan	<b>Current Score</b>	12	<b>Last Review</b>	02/09/2022		
	4								<b>Target Score</b>	15	<b>Next Review</b>	01/12/2022		
	3				X	T	<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>			
	2						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. This will include records management, contractual obligations, case management, training and awareness						Data subjects suffer loss, detriment and distress as result of poor management of data	
	1													
		1	2	3	4	5								
	<b>Consequence</b>													

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>	<b>Assurance</b>
01. Mandatory data protection and security training for all staff	Good		
02. Use of data protection impact assessments in all projects and procurements	Good		
03. Regular communications to all staff and at key locations (e.g. printers)	Good		
04. Joint 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		
05. A comprehensive set of information and security policies	Good		
06. Established procedure for notifying, handling and managing data breaches	Good		
07. data breaches, training feedback and performance indicators reported to info management board and CL	Good		
08. CLT provided with annual assurance on penetration testing around cyber security A review of the records retention schedule and asset register is underway with CCC.	Good		

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

**Risk Category:**

**Linked Objective(s):**

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Risk		11. Failure of key partnerships or contracts						
Likelihood	5	Orange	Orange	Orange	Red	Red		
	4	Green	Orange	Orange	Red	Red		
	3	Green	Orange	Orange	X	T		
	2	Green	Green	Orange	Orange	Orange		
	1	Green	Green	Green	Green	Orange		
		1	2	3	4	5		
<b>Consequence</b>								
<b>Risk Owners</b>		Tom Kelly			<b>Current Score</b>	12	<b>Last Review</b>	16/08/2022
					<b>Target Score</b>	15	<b>Next Review</b>	01/12/2022
					<b>Previous Score</b>	12		
<b>Triggers</b>					<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
<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 partnerships.</p> <p>05. Lack of robust, formally agreed contracts or equivalent to set scope, deliverables and governance arrangements for all key partnerships and contracts.</p> <p>06. Failure to compliantly procure key contracts leads to legal challenge.</p> <p>07. Contracts and partnerships lack clear corporate owners; or contract/partnership owners have a conflict of interest between their CCC role and external interests.</p> <p>08. Contracts or partnership agreements 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 or partners and/or internal fraud or corruption in collusion with suppliers or partners.</p> <p>11. Relationship breakdown with key partners/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 or local partnership organisations</p> <p>14. This Land unable to adhere to business plan:  - timescales and programme slippage, assumptions about further land acquisition &amp; promotion  - assumptions and expectations, housing downturn/economics/inflation reduce profitability</p>					<p>1. This Land - arms length/commercial risk. Planning delays to date. Loan to value depleting but improved cashflows</p> <p>2. Uncertainty and major change programmes underway at partner Councils, restricted budgets across sector.</p> <p>3. Significant economic and inflationary volatility.</p> <p>4. Industrial Emissions Directive and the Best Available Techniques conclusions (BATc)</p>		<p>1. Financial impact of credit loss or default on monies owed</p> <p>2. Revenue impact of increased costs or reduced income returns</p> <p>3. Interruption to outcomes and service delivery</p> <p>4. Construction quality and health &amp; safety matters</p> <p>5. Reputational harms</p> <p>6. Failure to fulfil statutory duties.</p>	

Controls	Adequacy	Critical Success	Assurance
01. Contract Procedure Rules and associated guidance and training.	Good		
02. Partnerships Advice & Guidance Document.	Poor		

03. Grants to Voluntary Organisations Policy.	Good		
04. Contracts Register.	Good		
05. Procurement Governance Board.	Reasonable		
06. Head of Diligence & Best Value role.	Reasonable		
07. Business Continuity Planning processes.	Poor		
08. Corporate due diligence processes.	Good		
09. Declarations of Interest processes within the Codes of Conduct for officers and members	Reasonable		
10. Corporate process for identifying key partnerships and contracts.	Reasonable		
11. Budget monitoring and forecasting processes.	Good		

Action Plans	Assurance	Responsibility	Target Date
01. Implementation of This Land Ltd action plan in response to AY Report		Tom Kelly	01/12/2022
02. Review and update Partnerships Advice & Guidance document linking in to the Appointments to Outside Bodies Process.		Paul Fox	30/11/2022
03. Develop and implement Contract Management toolkit and guidance.			30/11/2022
04. Implementation of mandatory Procurement eLearning module for budget managers and contract managers.		Clare Ellis	30/09/2022
05. Update guidance for Members to clarify how interests should be declared when Members are involved in procurements.		Fiona McMillan	30/11/2022
06. Procurement Guide Update Procurement Guide to provide more detailed information on how to ensure that the form of contract drives desired deliverables/outcomes through appropriate penalties/rewards.		Clare Ellis	01/10/2022



<p>07. Procurement Governance Board</p> <p>Review the possibility of adding the following areas to the remit of the Procurement Governance Board:</p> <ul style="list-style-type: none"> <li>-Monitoring and enforcing compliance</li> <li>-Monitoring security of critical supplies</li> <li>-Contract management</li> <li>-Ensuring diverse supply chains</li> </ul>		Tom Kelly	01/10/2022
<p>08. Business Continuity Plan templates</p> <p>Amend Business Continuity Plan templates to ensure all BCPs require services to identify critical contracts/partnerships and include or link to planning for the risk of supplier failure or collapse.</p>			30/11/2022
<p>09. Implement the new Sustainable Procurement Strategy</p>		Clare Ellis	01/11/2022

**Risk Path:** Cambridgeshire County Council CRR/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

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