

# Cambridgeshire County Council CRR

17/10/2024

<b>Risk</b>		<b>01. ASC - There are reputational and legal impacts when the Council's arrangements for Safeguarding Adults with Care and Support needs fail.</b>				
<b>Likelihood</b>	5					
	4					
	3					X/RA
	2					
	1					
		1	2	3	4	5
		<b>Consequence</b>				
<b>Risk Owners</b>		Patrick Warren-Higgs			<b>Current Score</b>	15
					<b>Risk Appetite</b>	15
					<b>Previous Score</b>	15
		<b>Triggers</b>			<b>Likelihood Factors (Vulnerability)</b>	
		<p>1. Inability to recruit, train and retain the level of skills required across the workforce to support safeguarding activity.</p> <p>2. Governance arrangements for safeguarding are not robust or fail.</p> <p>3. There is non-compliance within safeguarding practice guidance or processes.</p> <p>4. Assurance measures fail or are not robust.</p> <p>6. Internal organisational change impacts system safety.</p> <p>7. External system/regulatory changes impact system safety.</p> <p>8. Major incident results in spike in demand for services and/or inability to access Council systems, records, or buildings.</p> <p>9. Commissioned Services fail placing increased demand on the system and safety is compromised</p>			<p>1. Vacancy rates - Vacancy rates in Safeguarding and Operational teams impacting on capacity to undertake safeguarding activity.</p> <p>2. Volume of safeguarding referrals - Increasing volume of safeguarding referrals, some of which are inappropriate, requiring triage and management</p> <p>3. Safeguarding Adults Board Internal Process Change - Partnership agencies may change systems or process which impacts adversely on ASC such as Right Care Right Person, impacting on increased activity within ASC and lack of available Police response to those living risky lives.</p>	
					<b>Potential Consequences</b>	
					<p>1. Negative consequences are experienced by those with care and support needs and unpaid carers.</p> <p>2. People lose trust in Council services and/or commissioned services.</p> <p>3. Council is deemed to have failed in statutory duties.</p> <p>4. CQC rating is impacted.</p> <p>5. Decrease in government funding.</p>	

Controls	Adequacy	Critical Success
<p>1) Adult Social Care Assurance.</p> <p>The organisation engages in the ongoing process of revising its practices and procedures to align with emerging local and national trends.</p> <p>This includes learning from local and national reviews such as Serious Case Reviews to continuously improve safeguarding measures.</p>	Good	<p>Regular reporting and providing practitioners with tools and support for following best practices are critical success factors. Regular reporting includes monthly highlight reports that are shared with the Head of Service, MASH governance reports that are submitted to the SAB Board, weekly summary information on the MASH status which are shared with the Head of Service, annual Safeguarding Adults statutory return. Annual self-assessments are submitted to the SAB Board which cover all safeguarding we have the</p>

Action Plans	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>		22/11/2024

		<p>all safeguarding. we have the thematic audit cycle completed by QSPT and reported to PGB, each team has service level improvement plans and we have monthly managerial audits with a quarterly report and action plan - all held by QSPT and team managers are accountable for these. These are reported to PGB.</p> <p>Adult Social Care Practice Update newsletter is circulated fortnightly and is sent out to all staff within the Adults, Health and Commissioning directorate, keeping staff up to date with relevant information to support them and those they work with.</p>
<p>2) Skilled ASC Workforce</p> <p>To ensure high quality safeguarding, staff receive comprehensive training, ongoing professional development opportunities, and regular supervisions that reinforce safeguarding procedures and best practices, enabling them to maintain professional registration.</p>	<p>Good</p>	<p>A dedicated safeguarding training resource, with robust training programmes, annually reviewed, available multi-agency policies, themed audits are undertaken, robust training programs available, and an adult practice governance board provide assurance and oversight.</p> <p>The CCC Safeguarding training strategy outlines the training offered along with safeguarding training that is essential to each role across adult social care. Work is being completed on monitoring training compliance rates, and teams are asked to complete a manual check of all MCA / Safeguarding training</p>
<p>3) Multi Agency Safeguarding</p> <p>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. Police, County Council, Health and other agencies who are key members of the Board and subgroups</p>	<p>Good</p>	<p>Regular reports are submitted to the SAB Board including MASH Governance reports, QEG reports including a data set submitted every 3 months) and annual self-assessments and shared working outcomes</p>

<p>4) Internal Quality Assurance Robust process of internal Quality Assurance (QA framework) including case auditing and monitoring of performance.</p>	<p>Good</p>	<p>Regular auditing and reporting. Ability to highlight good practice and areas for improvement, robust service level improvement plans developed as needed. Annual safeguarding thematic audit, monthly managerial audits and quarterly reports to PGB. Team level action plans held by managers and meet with PSW to discuss on a quarterly basis.</p>
<p>5) Commissioned Services Regular monitoring of social care providers and information sharing meetings with other local organisations, including the Care Quality Commission and ICB are in place. ASC have a structure in place to raise, discuss and address provider quality concerns across the health and social care system. If improvements are not made, escalation routes are in place and progress and risks are continually shared with the CQC regulator.</p>	<p>Good</p>	<p>Regular auditing and reporting. Ability to support providers at risk.</p>
<p>6) Coordinated work with system partners and agencies Coordinated work between multi-agency partners for both Adults and Children's. 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>Effective and safe implementation; we have a number of task and finish groups - for example transitional safeguarding, MCA we have regular system wide groups - QEG.</p>
<p>7) Information Sharing with regulatory bodies. Continue to work with the CQC to share information.</p>	<p>Good</p>	<p>Regular reporting.</p>
<p>8) Manage demand Managing increasing demand and acuity to ensure adults receive right support at the right time. Regular DMT's to discuss and escalate issues.</p>	<p>Good</p>	<p>Daily monitoring of referrals and waiting time is in place to reduce waiting times and review priority levels to provide proportionate and time critical responses to those at risk.</p>

**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							
	4							
	3					X/RA		
	2							
	1							
		1	2	3	4	5		
Consequence		Risk Owners		Current Score		Last Review		
		Martin Purbrick		15		12/09/2024		
				Risk Appetite		Next Review		
				15		11/12/2024		
		Previous Score		15				
		Triggers			Likelihood Factors (Vulnerability)		Potential Consequences	
		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. Major incident results in inability to access Council systems, records or buildings.			Each one below is linked to each of the triggers: 1. Children's social care caseloads are too high in some areas due to issues with recruitment and retention. (Low likelihood) 2. Difficulty procuring affordable capacity for children's placements and Home to School Transport. (Medium) 3. Lack of robust assessments (undertaken in a timely way) of risk in relation to children & the family circumstances. Although recently launched revised practice standards, guidance and the focus on six key areas ('Big 6') has meant a focus on areas for improvement. (Medium) 4. Recruitment and retention has improved for those in management roles and more work is underway for recruitment of permanent social workers (Medium) 5. Difficulty procuring capacity for children's placements, although now working more closely with provider market and better recruitment of in-house foster carer placement underway. (High) 6. In terms of a major incident, there are business continuity plans (BCP's) in place whereby child protection lists would be obtainable if required. (Low)		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.	

Controls	Adequacy	Critical Success
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. The partnership has now requested a Cambridgeshire specific partnership Board (instead of one board across both Peterborough & Cambridgeshire). Work has started in developing this (May 2024)	Reasonable	The LA improvement board started in October 2023 and continues to provide independent scrutiny.
2. Information-sharing and coordinated work between multi-agency partners, providers, and regulators.	Reasonable	A review by Essex sector led improvement (SLI) partner to identify key areas of strengths

Action Plans	Responsibility	Target Date
1. Corporate response to Ofsted focused visit. Updated self-assessment completed and action plan submitted around the 7 recommendations made by ofsted.  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.	Martin Purbrick	31/03/2025
1a. Workforce - building the right capacity within the workforce The action plan outlines activities within	Martin Purbrick	31/03/2025

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.		and development. Recommendations are being added to the improvement plan along with other key areas.
3. Comprehensive and up-to-date Safeguarding Policies, Procedures and Practice Standards. Continuous process of updating practice and procedures, linking to local and national trends, including learning from local and national reviews such as Child Safeguarding Practice Reviews (SPR's).	Good	Several practice and processes have recently been reviewed and revised to ensure they are robust and includes; Our Practice Standards, Guidance and Toolkit (Big 6); Our Threshold document; MASH Manual and Guidance etc.
4. Safeguarding Training & Development Comprehensive and robust safeguarding training, ongoing development opportunities for staff, and regular supervisions monitor and instil safeguarding procedures and practice.	Good	Effective training and development ensures all staff understand and can implement key safeguarding processes. Social care academy launched on 20th November with new ASYE and International workers starting in January 2024.
5. Quality Assurance Framework. Robust process of internal Quality Assurance (QA framework) including case auditing and monitoring of performance.	Good	Recently revised and implemented new practice governance ensuring performance information is more accessible and training has been provided to ensure performance is monitored more closely. In addition, an audit schedule has been reviewed, updated and is underway. 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.
6. Clear processes for reporting concerns.	Good	Effective processes for

Workforce and building the right capacity within the workforce to ensure consistency, quality and timeliness and developing the workforce framework		
1b. Placement Sufficiency - the residential strategy is within the approval process Placement Sufficiency - the residential strategy has been drafted and is going through the approval process. Additional work around emergency placements, increase of foster-carers is also underway	Ranjit Chambers	31/03/2025
1c. Assessments - additional capacity to improve the quality, consistency and timeliness of assessments	Raul Butron	31/03/2025
1e. Care leavers - Improving the pathway plan and better preparation for independent support Improving the pathway plan and completion rate, redeveloping the Local Offer and better preparation for independent support to young people from 14 years in care is being developed. In addition, building partner relationships to ensure Care Leavers are able to access support more easily.	Ranjit Chambers	31/03/2025
1f. Out of hours support - a review of the out of hours services will be completed	Raul Butron	31/12/2024
1g. Homelessness 16/17 year olds - review of this area is planned to ensure a more joined up approach	Raul Butron	31/03/2025
2. Recruitment of a permanent workforce Successful recruitment within management areas		30/09/2024

Whistleblowing policy, robust Local Authority Designated Officer (LADO) arrangements and complaints process inform practice.		reporting concerns ensure that the response to concerns is timely and effective, with the involvement of appropriate partners.
7. Strength based approaches review After a review of the family safeguarding approaches, Cambridgeshire is developing a systemic practice model using strength based approaches	Reasonable	
Full leadership team recruitment A permanent and stable leadership team is in place and established to provide crucial leadership across Children, Education and Families.	Good	Permanant team in place and established

with over 90% of permanent Directors, Heads of Services, Service Managers and Team Managers. Over 70% of Social Workers are now permanent.  As part of the children's improvement work, there is a focus on ensuring the recruitment and support of children's workforce.		
3. Children's Placement Sufficiency. Sufficiency Strategy due at CYP Committee in January 2025. Market engagement happened during January 2024 and Social Care & Commissioning working more closely together as a strong focus on recruiting in-house foster, showing early signs of success, however, there are still a number of children in unregistered placements  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	Martin Purbrick	31/03/2025
4. Review of key areas of Children's, Education and Families services Essex diagnostics throughout 2023 has now been completed. CCC was successful in receiving additional Sector Led Improvement partner work and additional support throughout 2024 is planned.  Essex is supporting Cambridgeshire with a sector led improvement review of key frontline services to help understand their strengths and key areas		30/09/2024

**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					
	4				X	
	3					RA
	2					
	1					
		1	2	3	4	5
<b>Consequence</b>						
<b>Risk Owners</b>		Michael Hudson			<b>Current Score</b> 16	
					<b>Risk Appetite</b> 15	
					<b>Previous Score</b> 12	
<b>Triggers</b>		<p>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.</p> <p>2. Policies, procedures or governance framework for budget setting and monitoring fail or are circumvented.</p> <p>3. Demand management, prevention or service reform activity is insufficient.</p> <p>4. Inflationary pressures and market failures / supply shortages lead to rising costs.</p> <p>5. Staff without appropriate skills, knowledge, experience. Greater staff turnover.</p> <p>6. The Council is a victim of major fraud, cyber crime or corruption.</p> <p>7. Failure to meet Safety Valve agreed trajectory - Council has to fund DSG High Needs deficit or jeopardises DfE funds.</p> <p>8. Lack of clarity regarding central government grant allocations.</p> <p>9. Commercial failure</p>			<b>Likelihood Factors (Vulnerability)</b>	
					<p>1. Increased demand for services remains a key risk in care, SEND and related transport services.</p> <p>2. Economic/market conditions - continued impact on supply of services by providers and impact on commercial factors remain due to higher interest rates.</p> <p>3. Changes to government funding; short term national planning - these are not a risk for the short term but the uncertainty of changes increases the likelihood of risk.</p> <p>4. Legislative and regulatory changes could impact but none noted at this stage.</p> <p>5. Partnership risks - additional costs or reduced funding in collaborations. Change programmes require additional short term risk.</p> <p>6. Waste management reforms; Industrial Emissions Directive.</p> <p>7. Home to School Transport and children's social care placements markets.</p> <p>8. Credit loss on long term debtors.</p>	
					<b>Potential Consequences</b>	
					<p>1. Council issues a s114 report or requires capitalisation direction.</p> <p>2. Breach of prudential code or capital strategy benchmark/indicators due to levels of borrowing.</p> <p>3. The Council does not deliver its statutory responsibilities.</p> <p>4. People do not receive the services to which they are entitled or require, and may be harmed as a result.</p> <p>5. Reputational damage.</p>	

Controls	Adequacy	Critical Success
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
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. There is a clear timetable that links the business and financial planning.
03. Integrated resources and performance reporting (accountable quarterly to SR&P)	Good	A high percentage of saving proposals delivered in previous

Action Plans	Responsibility	Target Date
01. Submission of credible revenue and capital plans into safety valve process to continue receipt of DfE payments. This will include: - Improved EHP reporting to monitor backlogs, reviews, etc for modelling and monitoring purposes. - Revised demand management projections.	Michael Hudson Martin Purbrick	30/10/2024
05. Programme and project delivery governance: Waste Management; Energy income mobilisation	Michael Hudson Frank Jordan	15/12/2024
06. Programme and project delivery MTFS 2025-29	Tom Kelly Joe Lacey-Holland	19/12/2024

reporting (accountable quarterly to Srvc Committee), tracking budget, savings, activity and performance.		proposals delivered in previous years. The focus on this tracking remains key to delivery as savings required becomes harder with the funding uncertainty
04. Operational division Finance Monitoring Reports (accountable monthly to Service Committees), tracking budget, savings, activity and performance	Good	Finance reports produced on time, high accuracy, ownership by budget manager to forecast accurately and take actions as a result. Training continues to be provided to the budget managers.
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	Realisation of procurement savings through competition. Basis for effective contract management and productivity. External Auditors have recognised the improvements in both procurement controls and operation.
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	Prudential Indicators met
09. Rigorous risk management discipline embedded in services and projects	Reasonable	Risk scoring
10. Adequate reserves	Good	Reserves held at recommended level as per section 25 statement
11. Integrated Financial Monitoring Report	Good	Received quarterly at SR&P and monthly at DMTs and CLT with action sought for overspends via these meetings.
12. Anti-fraud and corruption, whistle blowing, money laundering policies alongside fraud detection work by IA	Good	Organisational awareness campaigns

07. Review of Financial Regulations	Tom Kelly	02/03/2025
08. Ongoing review of Reserves	Michael Hudson	30/01/2025
09. Ongoing review of Commercial activities and risk	Michael Hudson	30/01/2025
Change Strategy development and feed into the MTFP.		13/02/2025
Lobby for clarification of the DSG deficit override position and at the same time for DfE to address the funding shortfall	Michael Hudson	15/12/2024



13. Internal control framework	Good	Organisational awareness campaigns
14. Contract Management	Reasonable	More work is required to increase the skills of contract managers and align responsibility and reporting with budget monitoring.
15. Publication of transparency data	Good	Organisational awareness campaigns
16. Statutory Officer meetings	Good	The Statutory officers regularly review the financial standing as part of their set agenda and consider any actions for discussions with CLT, this included for example need for Vacancy Panel.
17. Safety Valve	Poor	The year end 23/24 position was significantly worse than forecast and base budget. The previous plan of action is being revised as is the service system and further discussions with DfE being held.
18. Workforce Expenditure Panel	Good	Has introduced further level of control.
19. Shareholder sub-committee	Reasonable	Greater reporting of shareholder and commercial interests to be set up, although action around key risks being managed.

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

**Risk Category:**

**Linked Objective(s):**

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Risk		04. A serious incident occurs, preventing services from operating and /or requiring a major/critical incident response.						
Likelihood	5							
	4							
	3				X	RA		
	2							
	1							
			1	2	3	4	5	
		<b>Consequence</b>						
		<b>Risk Owners</b> Sue Grace		<b>Current Score</b> 12		<b>Last Review</b> 11/09/2024		
				<b>Risk Appetite</b> 15		<b>Next Review</b> 10/12/2024		
				<b>Previous Score</b> 12				
		<b>Triggers</b>			<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
		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. 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 10. An outbreak of infectious disease resulting in non BAU activity 11. A pandemic or localised outbreak resulting in non BAU activity			1. Ongoing risk of environment hazards such as flooding and severe weather 2. Pandemic 3. Cyber Attack / Cyber Crime (see Risk 09) 4. Possible power outages caused by gas shortages 5. Resource issues due to shared service 'decoupling'		1. Inability to deliver services to vulnerable people, resulting in harm to them 2. Inability to meet legislative and statutory requirements 3. Increase in service demand 4. Reputational damage	

Controls	Adequacy	Critical Success
1. Corporate and service Business Continuity Plans  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.
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.

Action Plans	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	01/10/2024
Corporate review of Business Continuity Plans. Emergency Planning Team supporting service Business Continuity leads to review Business Continuity Plans.	Stewart Thomas	31/12/2024
IT Disaster Recovery Exercise	Michael Hudson	31/10/2024
Lessons Learned Implementing lessons learned from recent critical incidents and CLT MAGIC training resulting in a strengthened and improved programme of training and exercising for BCP & EP across the organisation	Stewart Thomas	31/10/2024

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.
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.
5. Resilient Internet feed	Good	
6. Corporate Emergency Plan	Reasonable	
7. Internal Audit of Business Continuity In April 2024 an internal audit was completed of Business Continuity.	Good	
8. Improved resilience through a strengthened EP & BC team As of June 2024 the EP has been restructured and additional positions have been recruited for resulting in a strengthened team. This has subsequently improved resilience.	Good	

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

**Risk Category:**

**Linked Objective(s):**

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Risk		05. Serious failure of corporate governance									
Likelihood	5						Risk Owners Emma Duncan	Current Score	10	Last Review	12/09/2024
	4							Risk Appetite	15	Next Review	11/12/2024
	3							Previous Score	10		
	2					RA	Triggers		Likelihood Factors (Vulnerability)		Potential Consequences
	1					X	<ul style="list-style-type: none"> <li>1. Major business disruption.</li> <li>2. Lack of management oversight.</li> <li>3. Negative inspection judgement .</li> <li>4. Poor financial management.</li> <li>5. Insufficient finance.</li> <li>6. Personal Data is inappropriately accessed or shared.</li> <li>7. Lack of awareness of or preparedness for legislative changes.</li> <li>8. Lack of clear corporate policy framework.</li> <li>9. Officer non-compliance with policy framework.</li> </ul>		<ul style="list-style-type: none"> <li>1. Current local financial pressures.</li> <li>2. Ongoing national reduction in public sector funding.</li> <li>3. Changes to statutory/Legislative duties.</li> <li>4. Current major corporate restructures and service change.</li> <li>5. Increasing instances of Councils not able to meet expenditure commitments due to pressures in the local government sector.</li> </ul>		<ul style="list-style-type: none"> <li>1. Harm to people as a result of them not getting services they need or are entitled to.</li> <li>2. Criminal or civil action against the Council.</li> <li>3. Negative impact on Council's reputation.</li> <li>4. Lack of control over financial or operational delivery.</li> <li>5. S114 Report or Public Interest Report.</li> <li>6. S5 Report.</li> </ul>
			1	2	3	4	5				
		Consequence									

Controls	Adequacy	Critical Success
01. Monitoring Officer role.	Good	Lack of or reduced risk of successful legal challenge to decision making.
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.
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.
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

Action Plans	Responsibility	Target Date
01. Corporate Response to the Covid Public Inquiry.		31/03/2023
02. Implement Action Plan from Annual Governance Statement.	Emma Duncan	31/03/2025
03. Executive Director Assurances & audit action implementation CLT to address audit action implementation in a timely manner and introduce a process to present their directorate assurance statements at Audit and Accounts Committee on a rolling basis.		31/10/2024

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.
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.
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.

**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					
	4					
	3					X/RA
	2					
	1					
		1	2	3	4	5
		<b>Consequence</b>				
<b>Risk Owners</b>		Janet Atkin			<b>Current Score</b>	15
					<b>Risk Appetite</b>	15
					<b>Previous Score</b>	15
		<b>Triggers</b>			<b>Likelihood Factors (Vulnerability)</b>	
		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 working 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. High volume of organisational change leading to loss of experience and knowledge 11. Working days lost to strike action/ industrial action 12. Competitive local labour market impacting recruitment locally.			1. Cost of living continues to be high, 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 people want to work. 5. The extent and scale of change programmes being undertaken across the Council can heighten the likelihood of disruption and challenge with motivation and engagement. 6. Increasing demand in services. 7. Increased workplace expectations of employees.	
					<b>Potential Consequences</b>	
					1. The Council is unable to recruit & retain staff with the right skills and experience. 2. Failure to deliver effective services or meet commitments. 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.	

Controls	Adequacy	Critical Success
Employee engagement survey activity. Full independent employee engagement survey carried out in September 2023 and will be re-run every two to three years moving forward to be able to track employee engagement levels and respond to changes in a timely manner. Next date has been set for the end of 2025.	Good	Employee Engagement is demonstrated through employees seeing the value of and therefore contributing to these opportunities to shape the organisation as an employer.
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.
Report on quarterly basis to CLT and to management teams on workforce and performance. CLT received monthly reports on Health, Safety and Wellbeing.	Good	CLT and Directorate Management teams are able to identify and address any emerging or potential concerns.

Action Plans	Responsibility	Target Date
Agile and flexible workforce Future workforce changes delivered through change programmes need to deliver increased flexibility of the workforce and more multi skilled roles.		31/03/2025
Children's Workforce Improvement Programme. 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 and has now become part of the ongoing and independently chaired Children's Rapid Improvement Programme and incorporates the response to the Ofsted inspection.	Janet Atkin	31/03/2025
Employee Engagement Survey Follow up listening sessions have been carried	Janet Atkin	30/09/2025

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.		
Staff appraisal system linked to performance management Comprehensive framework is in place to provide a clear and structured means of ensuring that everyone has meaningful performance reviews and clear outcomes to work to, as well as a focus on wellbeing and career development.	Good	Staff performance is quantifiable across the Council services.
A Children's Workforce Board has been re-established under the leadership of the new DCS to focus on workforce challenges to oversee delivery against the Ofsted action plan. 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 and employee retention. It is responsible for maintaining clear oversight of the key challenges facing the service and ensuring that meaningful actions are set out and delivered against.	Good	Staffing levels become more stable to support service delivery.
Adult Social Care Strategic Workforce Plan A strategic workforce plan has been produced to capture the workforce challenges facing the service now and in the foreseeable future. This has a comprehensive action plan for services to work together to deliver the changes and innovations needed to address the areas of concern.	Good	Staffing levels become more stable to support service delivery and staff have the right skills as those requirements shift over time.
Agency Staff framework with Opus. The agency worker policy clearly stipulates that Opus Cambridgeshire should be the source of all agency workers unless they are unable to provide them in which case there is an option to source alternatively.	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.

out to gain deeper understanding of the employee engagement survey results so that a comprehensive set of actions can be captured under the People Strategy Action Plan. A further engagement survey will run in September 2025.		
Strategic Workforce Plan for Adult Services Development of a clear plan to address the workforce challenges faced by adult social care has been carried out, led by the Service Director for Adult Services with engagement from corporate teams such as HR and Finance.		31/07/2024
The values and behaviours framework has been reviewed in line with the new People Strategy.  The People Strategy was approved in 2023 and work is underway to develop an action plan for approval by Strategy, Resources and Performance Committee that incorporates the outputs from the recently held Directorate listening sessions.	Janet Atkin	31/07/2024
Work with the service directors to create a comprehensive L&D framework to support the wider People Strategy. Can only be completed once People strategy in place and agreed therefore target date to be aligned –June 2024	Janet Atkin	30/09/2024

<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>	<p>Good</p>	<p>Clear workforce plan in place for the Council.</p>
<p>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, and widely promoting initiatives such as the WeAreCams campaign to promote the Council as an employer of choice.</p>	<p>Good</p>	<p>The Council is able to recruit staff with the right skills and experience.</p>
<p>Effective Learning &amp; Development platform and work of the Learning &amp; Development team.</p> <p>Comprehensive learning offer that covers a wide range of topics and is delivered in a variety of ways to maximise accessibility for people as well as a well defined and well used apprenticeship programme that is being delivered across the Council in a diverse range of roles.</p>	<p>Good</p>	<p>Staff are able to access targeted learning and development opportunities and the Council can monitor training undertaken.</p>
<p>Employee Wellbeing offer</p> <p>Wellbeing is key to a healthy workforce as well as healthy levels of employee engagement. An Employee Engagement &amp; Wellbeing Advisor post is now in place to maintain the ongoing development of resources to support the workforce.</p>	<p>Good</p>	<p>Staff are supported to maintain wellbeing, reducing absence and supporting employee engagement and retention.</p>
<p>Grow our own strategy</p> <p>Organisation wide commitment to using the grow our own approach to recruitment and retention challenges using apprenticeship, graduate development schemes and work experience opportunities to attract candidates.</p>	<p>Good</p>	<p>Gold status in the 5% Club by May 2025 demonstrating that 5% of our workforce or more are in earn as you learn roles. Full use of our apprenticeship levy without returning funds.</p>
<p>Clear set of design principles established to</p>	<p>Reasonable</p>	<p>Organisational design principles</p>



<p>Reports to Staffing and Appeals Committee</p> <p>Reports have historically been 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. With effect from November 2024 it has been agreed with the Chair and Vice Chair that these reports will be considered bi-annually along with examples of how the workforce challenges are being addressed.</p>	<p>Good</p>	<p>Impact of workforce policies and engagement is measured and evaluated to inform future policy development.</p>
<p>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>	<p>Good</p>	<p>Services are supported in successful recruitment, engagement, development and retention of staff.</p>
<p>Use of Consultants Policy and Interim &amp; Agency Workers Policy.</p> <p>Clear policy is in place to guide managers through the process to ensure that Procurement Rules are adhered to and value for money is at the heart of decision making.</p>	<p>Reasonable</p>	<p>Hiring managers use appropriate and compliant routes to market to obtain interim, agency staff and consultants.</p>
<p>Well established consultative framework with trade unions.</p> <p>Meetings take place monthly, chaired by Service Director, HR.</p> <p>Chief Executive joins the meetings on a quarterly basis.</p>	<p>Good</p>	<p>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.</p>

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

**Risk Category:**

**Linked Objective(s):**

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Risk		07. Failure to Deliver Key Council Services											
Likelihood	5												
	4												
	3					RA							
	2					X							
	1												
		1	2	3	4	5							
<b>Consequence</b>		<b>Risk Owners</b>		Stephen Moir		<b>Current Score</b>		10		<b>Last Review</b>		13/09/2024	
						<b>Risk Appetite</b>		15		<b>Next Review</b>		09/01/2025	
						<b>Previous Score</b>		10					
						<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>			
						<p>01. This risk may be triggered by the realisation of any of the other risks on the Corporate Risk Register:</p> <ul style="list-style-type: none"> <li>- Failure of safeguarding arrangements (Risks 1 and 2)</li> <li>- Failure of financial management (Risk 3)</li> <li>- Impact of a major/critical incident (Risk 4), cyber attack (Risk 8) or climate change (Risk 12)</li> <li>- Failure of corporate governance (Risk 5), key contracts (Risk 10) or partnership and collaborative working (Risk 11)</li> <li>- Insufficient workforce (Risk 6)</li> <li>- Failure to comply with Information Governance legislation (Risk 9)</li> </ul> <p>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.</p> <p>03. Failure to identify changing policy or legislation, or an inability to respond to changes in policy or legislation.</p> <p>04. Failure to develop, effectively communicate and implement clear Council strategies and service plans, including the Business Plan.</p> <p>05. Insufficient corporate oversight of performance.</p> <p>06. Non-compliance with corporate policies and procedures.</p> <p>07. Failure of arrangements for health and safety.</p> <p>08. Major organizational change.</p>		<p>01. Changes to legislation or Government policy having an adverse impact upon Council services and funding.</p> <p>02. Local Government Financial reforms and funding reductions leading to direct upon Council budgets.</p> <p>03. High levels of growth in Cambridgeshire outstripping forecasts and creating increased demand for key services.</p> <p>04. Pandemic or other form of long running incident.</p> <p>05. Organisational changes impacting service delivery.</p> <p>06. Economic uncertainty due to national and international events</p> <p>07. Political changes arising from General or Local Elections impacting upon service priorities.</p> <p>08. Commissioned service providers unable to continue service (if not managed under Risk 10)</p>		<p>01. Harm or risk to vulnerable people.</p> <p>02. Financial penalties</p> <p>03. Reputational damage to the Council.</p> <p>04. Government or regulatory intervention/sanctions.</p> <p>05. Statutory penalties or prosecution.</p>			

Controls	Adequacy	Critical Success
1. Role of the Corporate Leadership Team for the operational delivery of services CLT have a leading role in ensuring that the Council delivers key services and legislative requirements. Individual Executive Directors have Service Plans setting out the required delivery from their teams for the year ahead.	Good	The Corporate Leadership Team has clear terms of reference and regular reviews service performance dashboards, financial reporting, workforce information, contract/commissioning and audit and risk matters.
2. Policy and Budget Framework	Reasonable	The Council's Strategic

Action Plans	Responsibility	Target Date
1. Redevelopment of the Council's Performance Framework. Framework - rescheduled for SRP Committee on 31/10/24	Sue Grace	31/10/2024
2. Preparation for Full Council Elections	Sue Grace Stephen Moir	31/12/2024

A clear, approved Policy and Budget Framework for the Council (including the Strategic Framework, Medium Term Financial Strategy, Capital Programme and Treasury Management Strategy).		Framework should set the high level Vision and Ambitions for the authority, from which individual service plans should be developed and delivered.
3. The role and responsibilities of Council and Committees for decision making and Full Council and through Council Committees there is robust overview, scrutiny and challenge in respect of the delivery of key services, performance reporting and the development and approval of policy and strategy for the Council.	Good	Council and Committees have cleared, defined constitutional roles and terms of reference, with clear schemes of delegation. Each Service/Policy Committee has a clear agenda and training plan. Committee governance and effectiveness is the subject of review during each Council term.
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	Councillors and the Corporate Leadership Team have a robust overview of service performance, delivery and risks to enable scrutiny, accountability and performance improvement activities.
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, from both a demographic, inflationary and needs basis, in the short and long term to inform business planning.
6. Policy Horizon Scanning The Council operates an approach to policy and horizon scanning, to understand and assess the potential implications arising from policy, legislation and regulation that may impact the authority as a consequence of any change to Government due to the General Election.	Reasonable	The Council is aware off and able to inform, influence and respond to likely changes in policy from a new Government.

**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		11/09/2024	
					Risk Appetite		15	Next Review		10/12/2024	
					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, reinstallation 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.			
		Consequence									

Controls	Adequacy	Critical Success
01. Phishing detection and prevention controls	Good	Phishing attempts are prevented or detected and dealt with. Additional software to be procured and paper going to A&P Committee July 2024. Annual Phishing exercise is planned.
02. Vulnerability detection and mitigation controls	Good	Vulnerabilities are identified internally and externally and

Action Plans	Responsibility	Target Date
02. Corporate IT Security KPIs and reporting to be developed – such as Cyber Security and IG e-learning training complet	Julian Patmore	31/12/2024
04. DR retesting to be scheduled	Tim Spiers	31/12/2024
08. To carry out member training	Julian Patmore	24/10/2025

		patched in a timely manner – 14 days for vulnerabilities rated high or critical on the CVSS scoring system.
03. Disaster Recovery Testing	Reasonable	DR actioned successfully in January and February, with Power Outage test successful June 2024, and further schedule of DR testing and reporting remainder of 2024
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.
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
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
07. Use technical controls to limit access to the Council VOIP system to the UK only.	Good	Legacy system now replaced with new VOIP and new call centre solution. Access to VOIP now controlled by conditional access policies and MFA.
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
09. Cyber Security Board and Technical Group	Good	Regular meeting and reporting on cyber security
10. Information Governance Management Board	Good	Regular meeting and reporting on cyber security arrangements and actions.

9. To take a snapshot of the Cyber Security Strategy Implementation Plan deliverability as at August 2024 (1 year after) and report to CLT / SR&P Committee	Tim Spiers	31/12/2024
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11. ITDS Recruitment Campaigns	Good	The service retains and develops workers with IT specialisms.
12. IT Business Continuity Planning processes	Reasonable	BCP in place for IT and service specific IT risks are considered in other service's BCP
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
14. Information Risk Owner role; Data Protection Officer role; Caldicott Guardians	Good	Defined responsible officers are in place
16. Communication strategy	Good	Ad-hoc communications and publicity work to raise awareness of IT security
17. Limitations to FOI requests	Good	Limitations on details the Council can release in FOI answers in relation to council system infrastructure
18. Cyber Security	Good	5 Year Cyber Strategy adopted in 2023 reflecting 10 Year Central Government Cyber Strategy and setting out high level improvement steps.
19. Cloud First	Good	Cyber Strategy includes the Cloud First principle.

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

**Risk Category:**

**Linked Objective(s):**

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Risk		09. The Council fails to comply with Information Governance legislation and industry standards						
Likelihood	5						<b>Risk Owners</b> Emma Duncan  <b>Current Score</b> 12 <b>Risk Appetite</b> 15 <b>Previous Score</b> 12  <b>Last Review</b> 06/09/2024 <b>Next Review</b> 05/12/2024	
	4							
	3				X	RA		
	2							
	1							
		1	2	3	4	5		
		<b>Consequence</b>						
		<b>Triggers</b> 1. High staff turnover and use of agency and interim staff. 2. Out of date IT systems or staff failure to install patches. 3. Cybercrime and phishing attacks. 4. Lack of training/awareness among staff. 5. Insufficient physical security of buildings. 6. Staff removing physical records from the office.			<b>Likelihood Factors (Vulnerability)</b> 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.		<b>Potential Consequences</b> 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.	

Controls	Adequacy	Critical Success
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.
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.
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.
04. Information Management Board, chaired by senior info risk owner (CLT member), with representative of all directorates along with DPO and both Caldicott Guardians.	Good	Board meetings to be held every quarter and led by CLT members.

Action Plans	Responsibility	Target Date
Annual review of advice sought and provided to develop staff guides such as when to share and how to share to ensure con review of what the service is asked about to look for common themes and produce guides/notes to support		30/11/2024
Completion of NHS DSP Toolkit 24-2025 Ensures areas of compliance considered and how met for Public Health and Adult	Ben Stevenson	30/06/2025
Continued Awareness and communications CambWeb pages updated and regular reviews , attendance DMTs and conversations to keep awareness levels up	Ben Stevenson	30/11/2024
Implement learning from incidents Ensure that processes are reviewed and trends analysed Breaches discussed at IM Board	Ben Stevenson	30/11/2024
Mandatory training	Ben Stevenson	30/11/2024

Board oversees IG and cyber security activity		
05. A comprehensive set of information and security policies.	Good	Policies reviewed and refreshed annually with redundant documents removed.
06. Established procedure for notifying, handling and managing data breaches	Good	Compliance with policy and clear reporting on breaches.
07. Subject Access Requests responded to within the statutory timeframe.	Good	Targeting compliance rate of 90% SARs completed within statutory timeframe.
8. FOI responses issued within the statutory timeframe.	Good	Targeting compliance rate of 90% FOIs completed within statutory timeframe.

Training to be delivered annually to all staff, relevant to services and councils Refresher training being developed for coming year		
Review of IG policies Annual review of policies and updating to ensure best practice shared	Ben Stevenson	30/11/2024

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

**Risk Category:**

**Linked Objective(s):**



Risk		10. Failure of key contracts.														
Likelihood	5															
	4															
	3				X	RA										
	2															
	1															
		1	2	3	4	5										
		<b>Consequence</b>														
		<b>Risk Owners</b>		Michael Hudson		<b>Current Score</b>		12		<b>Last Review</b>		11/09/2024				
						<b>Risk Appetite</b>		15		<b>Next Review</b>		10/12/2024				
						<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 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 and/or capacity.</p> <p>10. Third party fraud committed by or against suppliers and/or internal fraud or collusion 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 &amp; safety matters.</p> <p>05. Reputational damage.</p> <p>6. Failure to fulfil statutory duties.</p>				

Controls	Adequacy	Critical Success
01. Contract Procedure Rules and associated guidance and training.	Good	Clear set of regulations around contracting which are accessible and communicated to officers.
02. Contracts Register.	Good	The Council has a list of all contracts valued over £5,000, updated monthly and published

Action Plans	Responsibility	Target Date
Ensure compliance with Procurement Act 2023.	Clare Ellis	31/03/2025
Ensure compliance with Provider Selection Regime (PSR) for health care contracts		28/03/2025

		quarterly in line with the Transparency Code regulations.
03. Procurement Governance Board.	Good	Corporate oversight over the delivery of compliance with CPRs.
04. Business Continuity Planning processes.	Poor	This needs to be improved for 25/26 submissions so contract managers have thought about the risk and mitigations.
05. Head of Diligence & Best Value role.	Reasonable	Additional resource for deep dive scrutiny and challenge of contract management.
06. Corporate due diligence processes.	Good	Capability and capacity of suppliers is verified prior to entering into contracts valued over £100k, including checking e.g. insurance, accreditation, finance, health and safety etc.
07. Declarations of Interest processes within the Codes of Conduct for officers and members and within the Procurement Planning process.	Good	Responsible Officer and anyone involved in procurement evaluations has to sign a Declaration of Interest to ensure that any conflicts of interest are identified and managed/avoided.
08. Corporate process for identifying key contracts and the use of the procurement pipeline.	Reasonable	Major procurements are planned well in advance and the risk of contracts is
09. Budget monitoring and forecasting processes.	Reasonable	The risk of contract overspends is identified early and can be addressed effectively.
10. Contract Management Toolkit in place along with other supporting guidance. Contract management training is delivered to key contract managers via the Government Commercial Function.	Good	Officers know how to manage contracts effectively and use the Toolkit as part of their management processes.
Decision Making Framework for Joint Procurements A decision making framework has been agreed by CLT and will be used in all procurements valued over £100,000 where a joint procurement is being planned. This enables the risks of such a joint procurement to be identified and scored.	Good	The use of the decision making framework.

Ongoing review of the use of waivers, including targeted training for contract managers and reporting to Committee	Clare Ellis	31/12/2024
Review of CPRs	Clare Ellis	31/03/2025
Undertake training and guidance for contract managers for Business Continuity Plans to aid HoS and Eds sign off with gre	Clare Ellis	01/12/2025

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

**Risk Category:**

**Linked Objective(s):**

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Risk		11. Failure of collaborative working.						
Likelihood	5							
	4							
	3				X	RA		
	2							
	1							
		1	2	3	4	5		
		<b>Consequence</b>						
		<b>Risk Owners</b> Sue Grace		<b>Current Score</b> 12		<b>Last Review</b> 11/09/2024		
				<b>Risk Appetite</b> 15		<b>Next Review</b> 10/12/2024		
				<b>Previous Score</b> 12				
		<b>Triggers</b>			<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
		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 challenges and/or breakdown with key partners, potentially leading to a legal dispute and potential longer term impact on collaborative working. 07. Policy or leadership changes in central government or local partnership organisations. 08. Lack of transparency regarding the operation of key partnerships.			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.		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
0.6 Alignment of Partnership Guidance with the Constitution Ensure continued alignment between Partnership Guidance for Officers and the Council's Constitution with its conditions for Members' and partnerships/outside bodies	Good	Partnership Guidance for Officers is reviewed whenever the Constitution is reviewed
01. Partnerships Advice & Guidance Document.	Reasonable	Clear guidance is available to Council officers and members on operating effectively in partnerships.
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.

Action Plans	Responsibility	Target Date
02. Conduct a fact-finding exercise to review our key partnerships, engagements and collaborative work.  Pilot of self-assessment was completed by mid July 2024. The self-assessment process and forms were launched at ELT on 31/07/2024 with the aim of completing all self-assessments by end September 2024. A progress report will go to the Risk & Assurance Group in September 2024	Sue Grace	31/12/2024
03. Identify opportunities for collaborative working around shared ambitions with our key partners  Opportunities for collaborative working around shared ambitions with our key partners will be identified following the completion of the above steps.	Sue Grace	31/03/2025

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.
04. Council's Strategic Framework	Good	Clear statement of our Vision and Ambitions as a basis for our collaborative working.
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

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

**Risk Category:**

**Linked Objective(s):**

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Risk		NEW 12. Cambridgeshire County Council is not adequately prepared for the impacts of the changing climate														
Likelihood	5															
	4				X											
	3					RA										
	2				T											
	1															
		1	2	3	4	5										
		<b>Consequence</b>														
		<b>Risk Owners</b>		Frank Jordan		<b>Current Score</b>		16		<b>Last Review</b>		10/09/2024				
						<b>Target Score</b>		8		<b>Next Review</b>		11/12/2024				
						<b>Previous Score</b>		16								
		<b>Triggers</b>					<b>Likelihood Factors (Vulnerability)</b>					<b>Potential Consequences</b>				
		<p>1. Local government is not adequately funded to address the issues relating to climate change and to deliver climate mitigation, adaptation and/or natural capital enhancement at the pace and scale required</p> <p>2. Lack of a clear regulatory environment to enable actions to manage climate change to be enforced.</p> <p>3. Local strategic partnerships fail to align, deliver strategic coordinated action and clarify roles and responsibilities</p> <p>4. Key national and local partners make decisions that undermine action and progress to deliver climate mitigation and nature related action</p> <p>5. Internal skills, knowledge, resource and capacity do not keep pace with action delivery requirements</p> <p>6. Lack of awareness, skills, engagement and buy-in for climate and nature action within the Council at all levels and across all services</p> <p>7. Council's Budget Position does not enable key projects to reduce carbon, enhance nature or provide mitigation are able to be taken forward (Please Note Link Risk 3)</p> <p>8. Supply chain is insufficiently developed to deliver low carbon solutions, adaptation and/or biodiversity enhancements at required pace, scale and cost</p>					<p>1. Significant longer-term costs, impacts on assets and demand for services which impacts on the financial position of the County and the Council</p> <p>2. Increased cost to council services to manage climate impacts on service delivery – e.g. highways pot holes, increased number of service users from flooding, or school closures from overheating; increasingly complex needs etc</p> <p>3. Undermining of business continuity and deliverability of statutory functions and legislative requirements due to climate impacts impeding Officers and/or service users delivering or accessing services</p> <p>4. Significant reputational damage associated with lack of action by the Council to support its communities to cope with increased extreme weather events – e.g. flooding, overheating</p> <p>5. Significant political and reputational damage to the Council for not acting on the climate emergency that has been declared.</p> <p>6. Raised political tensions with partner local authorities where CCC does not deliver actions due to budget constraints which then undermines partnership collaborations.</p> <p>7. Potential for community and business legal challenges on the Council's failure to deliver the Council's duties</p>					<p>1. Increased demand on council services and budgets limits capacity for investment into carbon, adaptation and nature related projects</p> <p>2. Other priorities with short-term acute challenges are prioritised – financially and/or officer capacity/resource - ahead of carbon, adaptation and nature related projects</p> <p>3. national policy changes reduce the support for climate and/or nature action, undermining ability to prioritise projects, funding availability and/or ability for key partners to collaborate on coordinated action</p> <p>4. Carbon, climate resilience and nature enhancements are not sufficiently embedded into service planning.</p> <p>5. Inability to effectively quantify the cost impacts of the changing climate on council services and/or Cambridgeshire communities undermines ability to plan, fund and deliver resilience.</p> <p>6. Existing culture – internal and external – regarding views on climate and nature issues and its relevant importance reduces deliverability of actions</p> <p>7. Forecast annual Carbon reductions within the Council and County are not realised</p> <p>8. New technologies and innovations are technically complex and/or challenging to implement</p>				

Controls	Adequacy	Critical Success
Climate Change & Environment Programme  The programme is in place to manage and ensure delivery of the CCES and action plan ( relates to 01 above)	Good	"Governance established feeding directly into Change Programme Board and Corporate Leadership Team (CLT). Recruitment underway to increase capacity. Phase 2 and Phase 3 mobilisation programmes developed"
Climate Change & Environment Strategy	Good	CCES approved, Phase 1

Action Plans	Responsibility	Target Date
Annual review and update of the CCES Action Plan  Annual review and update of actions within the CCES Action Plan to monitor progress towards targets. Remedial actions to service plans to update relevance of new and emerging technology, knowledge and political (local/national) ambition	Sheryl French	31/10/2024
CCES Programme Closure Plan Development of CCES Programme Closure Plan,	Sheryl French	30/06/2026

Council's Climate Change and Environment Strategy and Action Plan are in place to guide decarbonisation and nature recovery priorities.		Enabling Net Zero Programme approved and mobilised. Flood management and biodiversity JTF funded project is funded and mobilised. Phase 2/3 Delivery of actions is funded and mobilised.
Community Flood Action Programme Programme in place to support communities to develop local flood action plans	Good	Growth in number of resilient communities and establishment of network of community flood action groups.
Economy and Climate Change Service The service supports, facilitates and delivers action across the Council including a watching brief on governmental policy, legislation and funding opportunities to enable pro-active responses to emerging changes.	Good	Phase 2 JTF funding bid secured to support delivery of the CCES. Implementation of Phase 2 projects is reported and on track, Increase external funding success for climate/ decarbonisation/nature."
Embedding into council decision making processes Integration of climate and nature into Council decision making frameworks and processes	Reasonable	Committee reports include climate/ nature impacts. Net Zero design guide to support project management framework. Capital Programme Board carbon reporting.
Emergency Planning measures for adverse weather e.g Flood Response CPLRF framework has a multi agency flood plan (MAFP) which outlines the multi-agency response to a flooding incident. The LRF has a severe weather plan which focuses on response and recovery encompasses heat and severe weather in general.	Good	Quality response to minimise risk of harm to people and damage to property. •Met Office Weather Warnings & UK Health Security Agency Heat Health/ Cold Health alerts are cascaded internally to CCC services by the CCC Emergency Planning Team when received.
Highways Impacts Programme Drainage systems management, Grip Cutting Programme, Peat Soil impacted roads action plan	Good	Cyclical gulley emptying is on track to complete the emptying of all known galleys within a two-year cycle. Assets have been plotted onto our Kaarbontech system. Drainage and Resilience Team have delivered programmed drainage repairs across the

embedding of the CCES Programme into "business as usual" and assurances for on-going monitoring of action delivery and targets		
Cleantech Sector Monitoring Collaboration and monitoring of the cleantech market to inform knowledge/skills/technology to support carbon emissions	Sheryl French	01/07/2025
Climate risk to council services Increase understanding of climate risk and its impacts on Council services including increased demand on services	Sheryl French	31/07/2025
Collaboration with Government On-going closer collaboration with government departments to share net zero and climate risk projects and programmes	Sheryl French	31/12/2024
Control effectiveness Undertake an assessment of the controls to understand the confidence in these controls to manage the corporate risk	Sheryl French	31/12/2024
Embedding climate and nature into council processes Further integration of climate and nature considerations into existing Council structures, frameworks and governance	Joe Lacey-Holland	30/12/2025
Engagement Development and commence delivery of an 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	Andrew Hadfield-Ames	31/12/2024
Funding & Resource Long-term Funding and Resource Plan is developed and approved (via business planning and other mechanisms, e.g. grant, changes to business case methodology etc) to support on-going delivery of CCES.	Frank Jordan	31/03/2026
Inclusion of biodiversity Further embedding of Biodiversity Strategy and nature into the Climate Change & Environment Programme	Emma Fitch	31/03/2025

Liaison with CPCA on their Climate Action Plan to access additional resources to support the Council to mitigate and adapt to climate CPCA Climate Action Plan review (2025) includes projects and funding to support Council climate ambitions.	Reasonable	CPCA Climate Action Plan review (2025) includes projects and funding to support Council climate ambitions. Devolution planning includes climate mitigation, adaptation measures and support for nature.
Performance Management Reporting to monthly change Programme Board by the Executive Director Place & Sustainability	Reasonable	Unlocking organisational barriers for implementation.
Performance Management Annual monitoring of action plan and target delivery established	Reasonable	Baseline assessments in place for carbon and biodiversity.
Strategic Partnerships and collaborations Continued involvement in various strategic partnerships/collaborative spaces to feedback information and establish collaborative working approaches e.g. Place Directors, Greater South East Net Zero Hub; Local Climate Change Officers Group, UK100, ADEPT, UKPN Innovation Teams, Biodiversity Officers group, Fenland SOIL.	Good	Sharing best practice for policy and delivery improvements and securing government and other project finance.

Internal Audit recommendations from 2023 review of the Climate Change and Environment Strategy Implementation of Internal Audit recommendations from 2023/2024 audit of the Climate Change and Environment Strategy	Sheryl French	01/07/2025
Local Resilience Forum, Emergency Planning Multi-agency plans for flooding and severe weather are reviewed on a three year basis.		19/12/2025
Net Zero KPIs Establishment of Net Zero/Climate KPIs and their quarterly reporting	Rachel Hallam	31/12/2024
Procurement Further integration of climate and environment (esp biodiversity) into procurement strategy and frameworks e.g. Climate Change Charter, implementation of the Social Value toolkit, training and support for commissioning officers, standard specification text etc.	Clare Ellis	31/12/2024
Public Health Public Health messaging to communities on climate related health impacts and how to manage these e.g. overheating	Val Thomas	31/12/2024

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