

Risk		01. ASC - Council's arrangements for safeguarding vulnerable adults fail													
Likelihood	5														
	4														
	3														
	2														
	1														
		1	2	3	4	5									
		Consequence					Risk Owners			Current Score		15	Last Review		05/08/2022
										Target Score		15	Next Review		03/11/2022
										Previous Score		15			
							Triggers			Likelihood Factors (Vulnerability)			Potential Consequences		
							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		

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						Risk Owners	Charlotte Black	Current Score	15	Last Review	05/08/2022
	4								Target Score	15	Next Review	03/11/2022
	3						Triggers	Likelihood Factors (Vulnerability)		Potential Consequences		
	2											
	1											
		1	2	3	4	5						
	Consequence											
							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				1. Harm to child or you person awaiting or receiving services from the Council 2. Reputational damage to the Council	
						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						

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 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  COVID RELATED: 2) * Business cases to increase social work capacity being applied for (Social work agreed) & new recruitment campaign launched	Good		
Governance 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.  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	Good		
Quality Assurance and Practice 3. Comprehensive and robust safeguarding training, ongoing development policies and opportunities for staff, and regular supervisions monitor and instil safeguarding procedures and practice.  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  5. Robust process of internal Quality Assurance (QA framework) including case auditing and monitoring of performance  6. Whistleblowing policy, robust Local Authority Designated Officer (LADO) arrangements and complaints process inform practice.  7. Regular monitoring of social care providers and information sharing meetings with other local organisations, including the Care Quality Commission	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		03. The Council does not have enough budget to deliver agreed short and medium term corporate objectives									
Likelihood	5										
	4										
	3										
	2										
	1										
		1	2	3	4	5					
		Consequence									

Risk		04. A serious incident occurs, preventing services from operating and /or requiring a major/critical incident response.																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																									
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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 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):

Risk		05. The Council does not deliver its statutory or legislative obligations																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																														
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Risk		06. The Council's human resources are not able to meet business need																		
Likelihood	5											Risk Owners	Janet Atkin	Current Score	15	Last Review	02/09/2022			
	4													Target Score	15	Next Review	01/12/2022			
	3										X/T			Previous Score	15					
	2																			
	1																			
		1	2	3	4	5														
	Consequence																			
												Triggers			Likelihood Factors (Vulnerability)			Potential Consequences		
												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.		

Controls	Adequacy	Critical Success	Assurance
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 Janet Atkin - 2/9/22	Janet Atkin	14/06/2022
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):





Risk		08. Failure to Deliver Key Council Services										
Likelihood	5						Risk Owners	Charlotte Black; Steve Cox	Current Score	10	Last Review	02/09/2022
	4								Target Score	15	Next Review	01/12/2022
	3						Triggers	Likelihood Factors (Vulnerability)		Potential Consequences		
	2											
	1											
		1	2	3	4	5						
	Consequence											

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.

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		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, 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. 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):

Risk		10. The Council fails to comply with Information Governance legislation and industry standards											
Likelihood	5						Risk Owners	Fiona McMillan		Current Score	12	Last Review	02/09/2022
	4									Target Score	15	Next Review	01/12/2022
	3									Previous Score	12		
	2						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences		
	1						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	2	3	4	5							
	Consequence												

Controls	Adequacy	Critical Success	Assurance
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):

Risk		11. Failure of key partnerships or contracts									
Likelihood	5										
	4										
	3										
	2										
	1										
		1	2	3	4	5					
		Consequence									