

# Place and Sustainability Risk Register H&T

Risk		Adverse Weather											
Likelihood	5												
	4												
	3				X								
	2												
	1												
		1	2	3	4	5							
		<b>Consequence</b>											
		<b>Risk Owners</b>		David Allatt; Emma Fitch; Peter Gell; Frank Jordan		<b>Current Score</b>		12		<b>Last Review</b>			
						<b>Target Score</b>				<b>Next Review</b>		28/07/2024	
						<b>Previous Score</b>							
						<b>Triggers</b>				<b>Likelihood Factors (Vulnerability)</b>			
						1. Adverse weather conditions either result in damage to maintained highway network and infrastructure, and private property.				Recent years have shown an increased frequency of extreme rainfall and storm events. Winters have been relatively mild.		1. Excessive heat, wet, cold or windy weather results in damage to structures and highway network resulting in significant demand and associated cost for remedial works. 2. Weather extremes also give rise to events such as flooding requiring support for communities to help address the immediate issues but also the longer term flood prevention work. 3. Adverse weather can impact on public transport and traffic flows creating increased congestion	

Controls	Adequacy	Critical Success
1. Contingency plans are in place for foreseeable adverse weather events helping ensure their effective handling.	Good	
2. DMT work collaboratively to add resilience for such events and to develop future capacity.	Good	
3. Action plan for development of Highways Emergency weather Response to be developed further based on learning from recent events.	Good	
4. Support packages developed for communities to help address the immediate issues but also the longer term flood prevention work.	Good	
5. Effective maintenance in place for winter maintenance, drainage and water management.	Good	

Action Plans	Responsibility	Target Date



Risk		Asset Management System							
Likelihood	5	Orange	Orange	Orange	Red	Red	<b>Risk Owners</b> David Allatt <b>Current Score</b> 8 <b>Target Score</b> <b>Previous Score</b>	<b>Last Review</b> <b>Next Review</b> 23/09/2024	
	4	Green	Orange	Orange	Red	Red			
	3	Green	Orange	Orange	Orange	Orange			
	2	Green	Green	Orange	X	Orange	<b>Triggers</b> 1. Unsuccessful procurement/implementation of new asset management system.	<b>Likelihood Factors (Vulnerability)</b> 1. Managed through the change programme. 2. Timescales were compressed through failed initial procurement. 3. Procurement is currently on track with regular reporting - a contract is now in place with the supplier (Symology) for the new system (Aurora)	<b>Potential Consequences</b> 1. Current system expires April 2025, and has significant stability issues. 2. Reputational damage. 3. Compromised maintenance offering.
	1	Green	Green	Green	Green	Orange			
		1	2	3	4	5			
		<b>Consequence</b>							

Controls	Adequacy	Critical Success
Change Programme Risk managed through the change programme.	Good	
Close working with supplier Accelerated and coordinated programme of migration to new system.	Good	Communication, risk management and escalation as appropriate, training and support.

Action Plans	Responsibility	Target Date

**Risk Path:** Place & Sustainability New/Cambridgeshire County Council CRR/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

Risk		Capital Maintenance Programme											
Likelihood	5						Risk Owners	David Allatt	Current Score	9	Last Review	Next Review	23/09/2024
	4												
	3			X									
	2						Triggers	<ul style="list-style-type: none"> <li>1. Failure to approve, commission works, and spend.</li> <li>2. Insufficient internal resource and market capacity to deliver.</li> <li>3. Roadspace availability</li> <li>4. Inclement weather as bulk of delivery is Q3 / Q4</li> <li>5. Unknown issues arising whilst on site i.e poorer ground conditions than assumed from testing.</li> <li>6. Third party consents</li> </ul>	Likelihood Factors (Vulnerability)	<ul style="list-style-type: none"> <li>1. Medium - managed through early engagement with stakeholders and varied improvements to how we communicate and publicise our work.</li> <li>2. Medium - managed through prog board, other projects brought into programme if slippage is identified early enough. Challenges around those schemes which are forecast as being on track until Q4 then slip.</li> <li>3. Investment will help mitigate and improve network</li> </ul>	Potential Consequences	<ul style="list-style-type: none"> <li>1. Reputational damage.</li> <li>2. Financial risk of slippage.</li> <li>3. Unmitigated network deterioration.</li> <li>4. Programme changes</li> <li>5. Backend loaded delivery programmes</li> <li>6. Cost increases on more complex projects</li> </ul>	
	1												
		1	2	3	4	5							
Consequence													

Controls	Adequacy	Critical Success
Change Programme Continued dialogue with supply chain	Good	
Monthly Programme Board Monthly Capital Maintenance Programme board focused on financial and risk to ensure accurate reporting to CCC Capital Programme Board and to ensure timely delivery.	Good	Attendance, accurate reporting, effective escalation of red risks where necessary, effective corrective action.

Action Plans	Responsibility	Target Date
Programme Board AP's Monthly Action Plans driven through programme board and SRO.		31/03/2025

Risk		Claims & Disputes							
Likelihood	5						<b>Risk Owners</b> David Allatt; Emma Fitch; Peter Gell; Frank Jordan	<b>Current Score</b> 9 <b>Target Score</b> <b>Previous Score</b>	<b>Last Review</b> <b>Next Review</b> 28/07/2024
	4								
	3			X					
	2						<b>Triggers</b> 1. Failure in service delivery and or dissatisfaction with services (e.g., failure to fulfil statutory duty re highway maintenance) 2. Contractual dispute relating to County projects - e.g. post completion defects 3. Dispute relating to financial recovery from third parties (e.g., S106)	<b>Likelihood Factors (Vulnerability)</b>	<b>Potential Consequences</b> 1. Compensation claim made against the council. Criminal action undertaken by a regulator for breaches i.e. health and safety. 2. Judicial Review instigated to challenge council actions. 3. Lost income
	1								
		1	2	3	4	5			
		<b>Consequence</b>							

Controls	Adequacy	Critical Success
1. Effective planning and advice taken in governance and decision making. DMT to plan effectively on any claims/disputes during weekly DMT meetings.	Good	Wicked issues being identified Effective risk escalation protocol
2. Effective record keeping and management of all decisions. A decision tracker is being developed with post decision implementation also being captured. All minutes of wicked issues are captured by EA.	Good	Completion of decision tracker Review if meeting minutes Continuous lessons learned log
3. Effective forward planning of key decisions for the Directorate Monitoring and reporting arrangements identify issues early on to allow interventions to mitigate risk. Monthly Finance and Performance meetings are scheduled for financial monitoring and performance, encompassing risk escalation and management from service to DMT.	Good	Risks being escalated from project teams/Heads of service Feedback provided to teams following DMT forward planning and response to risk.
4. Robust service delivery arrangements provide safeguards at the outset. Wicked issues identified at weekly DMT meetings	Good	Wicked issues being escalated
Dispute management	Good	Legal advice, effective decision

Action Plans	Responsibility	Target Date
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Coordinated, informed, structured approach to managing disputes.		making, effective negotiation where appropriate,
Working closely with insurance service Implement best practice claim management approach	Good	Clear customer information re claim, quality and responsiveness of local highway maintenance, timely response to claims lodged.

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Risk		Financial (P&S Budget)					Risk Owners		Current Score		Last Review	
Likelihood	5						David Allatt; Emma Fitch; Peter Gell; Frank Jordan	15		25/07/2024		
	4							Target Score		Next Review		
	3					X		Previous Score		Potential Consequences		
	2							Triggers		Likelihood Factors (Vulnerability)		1. The Council is unable to achieve required savings and or income and consequently fails to meet statutory responsibilities or budget targets. 2. Need for reactive in-year savings. 4. Adverse effect on delivery of outcomes for communities. 5. Cost of schemes increases leading to insufficient budgets for scheme delivery.
	1							Likelihood Factors (Vulnerability)		Potential Consequences		
		1	2	3	4	5		Triggers		Likelihood Factors (Vulnerability)		
Consequence						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences		
Consequence						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences		
Consequence						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences		

Controls	Adequacy	Critical Success
Capital Programme Monitoring to ensure adequate inflation is included in early project costings and business cases.	Good	Obtain funding agreements before commencing work and prioritise funded work.
Embedded risk and performance management. Rigorous risk and performance management discipline embedded in all transformation programmes/projects, with an escalation process to DMT/ Programme or Project Boards.	Good	Project Boards provide transparency to relationships, and transparency for performance. Issues are escalated for prompt resolution.
Review of savings and capital forecasts. DMT to regularly review the savings tracker and finance and performance report, ensuring that capital and revenue forecasts are kept up to date.	Good	The delivery of a balanced budget which demonstrates value for money.
Robust service and business planning.	Good	The delivery of a balanced budget which demonstrates value for money.
Strong contract management.	Good	Focus on enhancing commercial

Action Plans	Responsibility	Target Date
Budget Monitoring Continually review project budgets against cost pressures. Issues to be raised as early as possible. Opportunities to raise revenue income to always be considered.		14/02/2025
Continual review of project budgets against cost pressures.		14/02/2025
Service planning priorities to feed into appraisal goals.		14/02/2025

Recruit adequate commercial resources within CCC team to effectively carry out assurance. Work with supply chain to understand resource planning across their contracts regionally and contingency planning. Develop and improve contract management and compliance through introduction of contract management software. Review Professional Services contract competitiveness through

astuteness will deliver the most benefit.



Risk		Health & Safety							
Likelihood	5						<b>Risk Owners</b> David Allatt <b>Current Score</b> 16 <b>Target Score</b> <b>Previous Score</b>	<b>Last Review</b> <b>Next Review</b> 28/07/2024	
	4			X					
	3								
	2						<b>Triggers</b> 1. Health and Safety (H&S) failings in respect result in injury and or death to staff and/or persons the council has responsibility for in the provision of its services and duties.	<b>Likelihood Factors (Vulnerability)</b> The Council is currently being prosecuted by the Health and Safety Executive relating to the Guided Busway, under the Health and Safety at Work Act.	<b>Potential Consequences</b> 1. Failings lead to injury and or/death of staff of persons the council has responsibility for. 2. The council consequently has to report incidents to the Health and Safety Executive, and could face both criminal and civil legal action and reputational damage. 3. The impact on injured parties, friends, family and colleagues can be significant. 4. Punitive action from regulator including financial
	1								
		1	2	3	4	5			
<b>Consequence</b>									

Controls	Adequacy	Critical Success
1. H&S risk assessments in place, and an assurance audit being undertaken.	Good	
2. H&S on the agenda at team meetings.	Good	
3. Data monitored through scorecard including near misses.	Good	
4. Staff required to complete essential learning on H&S.	Good	
Additional H&S resources Additional resource - specifically in the busway service to focus on H&S / safe system approach	Good	Availability of candidates.
Busway Safety inspections and maintenance regime. Road Safety measures included in directorate performance scorecard. Undertake review and audits of incidents on the highway and busway. Testing of maintenance and management regimes to ensure they meet stated service standards.	Good	Lessons learned from Audits are implemented Testing of regimes completed and feedback acted upon Wicked issues escalated to DMT

Action Plans	Responsibility	Target Date
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Risk		P&S Major Organisational change										
Likelihood	5						Risk Owners	Frank Jordan	Current Score	12	Last Review	02/12/2024
	4								Target Score	6	Next Review	
	3				X				Previous Score			
	2			T			Triggers	Likelihood Factors (Vulnerability)		Potential Consequences		
	1						Restructuring of the senior management team and a service wide review of teams and roles.	The new structure has been implemented and there has been a loss of some staff as part of the process.	<ul style="list-style-type: none"> <li>1. Increase stress, anxiety and uncertainty for colleagues</li> <li>2. Risk of challenge and liabilities for the council if change is not managed in accordance with policies, procedures and employment</li> <li>3. Teams are facing increased pressure due to heavier workloads.</li> <li>4. Unable to recruit and retain staff with the right skills, experience, and qualifications to undertake service responsibilities, projects and statutory duties.</li> <li>5. Failure to deliver statutory duties, reduced ability to meet the policy objectives for the council as outlined in the strategic framework and ambitions. Reduced ability to provide timely and appropriate technical advice in relation to decisions made by the council or external bodies, reduced ability to deliver requirements of partners in the delivery of projects. Failure to keep abreast of new legislative requirements.</li> </ul>			
		1	2	3	4	5						
		<b>Consequence</b>										

Controls	Adequacy	Critical Success
Clear communication protocol ED and HR to communicate restructure plans in a clear and timely manner. Opportunity for staff to raise queries and concerns.	Good	HR sending out feedback regularly Availability and visibility of ED to staff
Collaboration Adopt a holistic approach to staffing structures, working in collaboration with Service Directors and Heads of Service.	Good	Communication between ED and service staff Review of all budgets and teams to see where efficiencies can be made
Consultation with staff and unions Establishment of a consultation period with defined start and end date. Collaboration with unions to increase support for staff.	Good	Unions attending meetings with ED and HR Communication of consultation to staff
Employee support	Good	Information to be given to employees by HR

Action Plans	Responsibility	Target Date

Work with HR to ensure employees affected have opportunities to access interview/redundancy support and health and wellbeing support.		employees by HR
Enhancing Recruitment and HR Policies Highlighting the Culture, Values and Behaviours of the County Council. Highlighting the benefits offered by the council including salary, flexibility, wellbeing support. Embedding a positive workplace culture for all staff which is based on effective engagement	Good	Increased staff retention post restructure Ability to fill roles vacant following the implementation of the new structure
Transparency of decision making Transparency of decision making as part of the consultation, with clear feedback being given. Responses to feedback on restructures	Good	Timely communication

Risk		Partnerships (Service Provision)											
Likelihood	5												
	4												
	3												
	2				X								
	1												
		1	2	3	4	5							
		<b>Consequence</b>											
		<b>Risk Owners</b>		David Allatt; Emma Fitch; Peter Gell; Frank Jordan		<b>Current Score</b>		8		<b>Last Review</b>			
						<b>Target Score</b>				<b>Next Review</b>		28/07/2024	
						<b>Previous Score</b>				<b>Potential Consequences</b>		1. Failure of partnerships has the potential to result in a number of negative outcomes such as: service reduction, or removal, cost inflation, failure to meet statutory duties, and reputational damage, and an inability to deliver on the councils visions.	
				<b>Triggers</b>		1. A key partnership agreement and/or arrangement fails having a direct impact on the councils ability to effectively provide services and or deliver on future commitments.		<b>Likelihood Factors (Vulnerability)</b>					

Controls	Adequacy	Critical Success
1. Contracts and agreements are entered into compliance with corporate governance and/or procurement/financial rules as appropriate.	Good	
2. Default situations and mitigations considered when forming contracts and arrangements.	Good	
3. Identified officers have responsibility for monitoring, addressing, and flagging partnership performance issues.	Good	
4. Mapping of key partnership for the directorate undertaken with actions around lead officers, objectives and management arrangements.	Good	

Action Plans	Responsibility	Target Date

Risk		Procurement & Contracts (Compliance)							
Likelihood	5						<b>Risk Owners</b> David Allatt; Emma Fitch; Peter Gell; Frank Jordan	<b>Current Score</b> 6 <b>Target Score</b> <b>Previous Score</b>	<b>Last Review</b> <b>Next Review</b> 28/07/2024
	4								
	3								
	2			X			<b>Triggers</b> 1. Failure to effectively procure the necessary contracts to meet service needs. Failure to procure contracts compliantly.	<b>Likelihood Factors (Vulnerability)</b>	<b>Potential Consequences</b> 1. Inability of projects to deliver their objectives, and meet time and financial constraints due to failure of contractual arrangements. 2. Contracts failure to meet corporate and legislative procurement rules and requirements. 3. Disruption or unable to provide service delivery due to lack of third-party contracted providers. 4. Contracts do not provide best value due to a lack of a robust procurement exercise. 5. Reputational damage to services. 6. Inability to change contract terms which are damaging. 7. Unable to achieve value for money
	1								
		1	2	3	4	5			
		<b>Consequence</b>							

Controls	Adequacy	Critical Success
1. Contract risk management is understood and practiced, and a contracts risk register in place.	Good	
2. Commercial management is controlled and assured through the lifecycle of commissions.	Good	
3. Quality control is constantly tested across a sample of contract outcomes.	Good	
4. Procurements follow the corporate procurement policy and checks ensure compliance.	Good	
5. All staff engaged in contract work undergo mandatory training.	Good	

Action Plans	Responsibility	Target Date
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Risk		Project Delivery (P&S Capital Programme)														
Likelihood	5						Risk Owners	David Allatt	Current Score	12	Last Review	25/07/2024				
	4												Target Score		Next Review	
	3				X											
	2															
	1															
			1	2	3	4	5	Consequence								

Controls	Adequacy	Critical Success
DMT oversight of capital programme board.  A robust protocol has been established to ensure DMT and finance colleagues are completing a quality assurance process on the business cases presented at capital programme board.	Good	Business cases competed in time and saved in relevant area DMT using finance and performance meetings and DMT weekly meetings to quality assure business cases.
Full compliance of project management principles across Project Delivery.	Good	
Project and Programme Boards in place.	Good	
Projects are managed and provide accurate cost reporting and early escalations (when required), using appropriate systems.	Good	
Robust project and programme risk management in place.	Good	

Action Plans	Responsibility	Target Date
Development of Digital by Default practices.  Accurate reports in live time can be run to provide programme, risk, cost and resource information- and performance managed and reported via KPIs. Continuous development of Digital by Default practices, and compliance checks.		25/04/2025



Risk		Road Safety														
Likelihood	5						Risk Owners	David Allatt	Current Score	12	Last Review	Next Review	28/07/2024			
	4													Triggers	Likelihood Factors (Vulnerability)	Potential Consequences
	3				X											
	2															
	1															
		1	2	3	4	5	Consequence									

Controls	Adequacy	Critical Success
1. Member of the Cambridge and Peterborough Road Safety Partnership.	Good	
3. Road Safety Strategy and robust monitoring of the strategy.	Good	

Action Plans	Responsibility	Target Date

Risk		Statutory Highways Duty to Maintain the Highway											
Likelihood	5						Risk Owners	David Allatt	Current Score	15	Last Review	Next Review	28/07/2024
	4												
	3					X							
	2						Triggers	1. Failure of service to maintain the highways infrastructure in a safe and functional manner as described in the Highways Act due to aging assets and insufficient funding.	Likelihood Factors (Vulnerability)	Potential Consequences	1. Death or injury to the travelling public; increase in successful third party claims as a result of poorly maintained highways infrastructure. 2. Resultant reputational damage for the Service, Department and Council. Resultant financial implications of claims pay outs, increased insurance premiums, requirement to meet directives and requirements of coroners inquests.		
	1												
		1	2	3	4	5							
Consequence													

Controls	Adequacy	Critical Success
1. Operate to and within Highways Operational Standards.	Good	
2. Operate robust recorded processes for all safety maintenance.	Good	
3. Review intervention levels regularly.	Good	
4. Monitor network decline and make the case for adequate funding.	Good	
New Asset Management System and Inspection protocols Enhanced system of recording and responding to network issues. New IT Asset Management system, and revised approach to network defect inspection,.	Good	

Action Plans	Responsibility	Target Date
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