PEOPLE & COMMUNITIES RISK REGISTER

To:	**Communities & Partnership Committee**
Meeting Date:	**4th July 2019**
From:	**Service Director, Community & Safety: Adrian Chapman**
Electoral division(s):	**All**
Forward Plan ref:	**N/A** *Key decision:* **No**

Purpose:	**To provide an annual update of the current People and Communities Risk Register.**
Recommendation:	**The Committee is asked to note and comment on the people and communities risk register.**

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1. BACKGROUND

1.1 Cambridgeshire County Council have a corporate risk register and this is reported to the Audit and Accounts Committee as part of Performance report and reviewed annually at the General Purposes Committee.

1.2 In addition to the Corporate Risk Register, People and Communities have their own risk register which highlights the key strategic risks across People and Communities and links to the corporate risk register.

2. MAIN ISSUES

2.1 The People and Communities Risk Register contains the main strategic risks from across the whole Directorate which are reported to each of the relevant Committee's (Children and Young People, Adults, and Communities & Partnership) on an annual basis and can be seen in **Appendix 1**. The areas of interest for Communities & Partnerships are likely to be:
1. Financial Pressures
2. Skills Shortages in People & Communities
3. Increase of homelessness in Cambridgeshire
4. Think Communities

2.2 This year Cultural and Community Services transferred into the People & Communities Directorate. These services have developed their own risk register (**Appendix 2**), and again would be of further interest to the Committee.

2.3 The People and Communities Risk Register is reviewed by Senior Officers on a monthly basis and there is also a mechanism which captures and monitors more operational risks across People and Communities.

3. ALIGNMENT WITH CORPORATE PRIORITIES

3.1 Developing the local economy for the benefit of all

There are no significant implications for this priority.

3.2 Helping people live healthy and independent lives

There are no significant implications for this priority.

3.3 Supporting and protecting vulnerable people

There are no significant implications for this priority.

4. SIGNIFICANT IMPLICATIONS

4.1 Resource Implications

There are no significant implications within this category.

4.2 Procurement/Contractual/Council Contract Procedure Rules Implications

There are no significant implications within this category.

4.3 Statutory, Legal and Risk Implications

There are no significant implications within this category.

4.4 Equality and Diversity Implications

There are no significant implications within this category.

4.5 Engagement and Communications Implications

There are no significant implications within this category.

4.6 Localism and Local Member Involvement

There are no significant implications within this category.

4.7 Public Health Implications

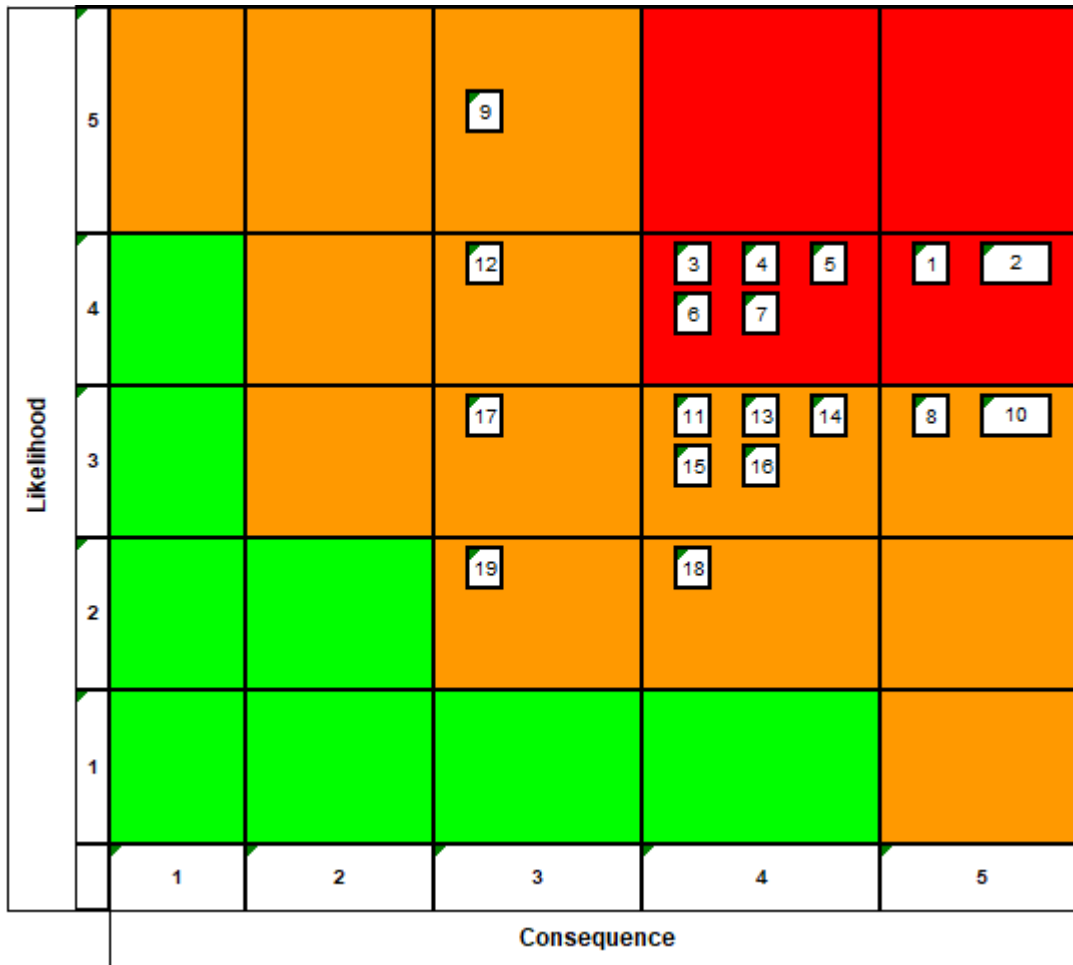There are no significant implications within this category.

This is a monitoring report and does not require relevant sign off

Source Documents	Location
Cambridgeshire County Council Corporate Risk Register	tom.barden@cambridgeshire.gov.uk

People & Communities Risk Register (June 2019)

The chart below shows the Residual Risk (the level of risk it is scored with mitigating actions and controls in place). The Risk Appetite is the level of risk the Council are prepared to tolerate or accept in the pursuit of its strategic objectives.

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
1	Financial Pressures in People & Communities	There is a risk that financial pressures among key partners - especially schools, primary health and voluntary sector High Needs Block - demand continuing to exceed funding	Early Help services are operating more effectively to meet demand Review of SEND Provision and government's funding is being reviewed Recruit alternatively qualified staff to support social workers, improved retention package Delivery of the demand management programmes	There is a risk that financial pressures among key partners - especially schools, primary health and voluntary sector - will reduce engagement in the provision of targeted early help services. High Needs Block - demand continuing to exceed funding	20	20
2	Failure of the Council's arrangements for safeguarding vulnerable children and adults	Children's Social Care: 1. Children's social care caseloads reach unsustainable levels as indicated by the unit case load tool 2. More than 25% of children whose referral to social care occurred within 12 months of a previous referral 3. Serious case review is triggered Adult Social Care (Inc. OPMH) 1. Care homes, supported living or home care agency suspended due to a SOVA (safeguarding of vulnerable adults) investigation 2. Serious case review is triggered 3. Outcomes of reported safeguarding concerns reveals negative practice	1. Multi-agency Safeguarding Boards and Executive Boards provides multi agency focus on safeguarding priorities and provides systematic review of safeguarding activity 2. Skilled and experienced safeguarding leads and their managers. 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.	1. Harm to child or an adult receiving services from the Council 2. Reputational damage to the Council	20	20

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
			5. Multi Agency Safeguarding Hub (MASH) for both Adults and Children supports timely, effective and comprehensive communication and decisions on how best to approach specific safeguarding situation between partners.			
			6. Robust process of internal Quality Assurance (QA framework) including case auditing and monitoring of performance			
			7. Whistleblowing policy, robust Local Authority Designated Officer (LADO) arrangements and complaints process inform practice			
			8. Regular monitoring of social care providers and information sharing meetings with other local organisations, including the Care Quality Commission			
			9. Joint protocols, practice standards and QA ensure appropriate joint management and case transfer between Children's Social Care and Enhanced and Preventative Services			
			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			

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
			11. Audits, reviews and training provided to school staff, governors and settings. All schools must have child protection training every 3 years. Education CP Service supports schools and settings with safeguarding responsibilities			
3	Insufficient capacity to manage organisational change	1. Staffing restructures result in loss of staff 2. Aging workforce and succession planning is challenging	1. Resource focussed appropriately where needed to deliver savings. 2. P&C Management Team review business plans and check that capacity is aligned correctly. 3. Programme and project boards provide governance arrangements and escalation processes for any issues 4. Commissioning work plans regularly reviewed by Management Team. 5. P&C Management Team monitors achievement of savings on a monthly basis - including ensuring capacity is provided	1. Low morale and demotivated staff delivering poorer outcomes. 2. Poorer services 3. Savings targets not delivered. 4. Transformative change not delivered 5. Inefficient services	16	16
4	Partnership agreements with NHS are not agreed between partners	1. S75 with CPFT for mental health SW is not signed off 2. S75 with CCG for pooled budget for LDP has not been agreed	1. Options and alternatives are being explored by Head of Mental Health and Assistant Director Commissioning BCF / iBCF (Better Care Fund) - programme of works is in development	1. Financial risk in terms of CPFT being signed up to delivering efficiencies and there is a governance risk with no up to date S 75 in place 2. Financial risk of dismantling pooled budget and cost with service impact. and a risk in terms of effective operating of the integrated LDP model if the pooled budget is discontinued	16	16
5	MOSAIC Finance Module - a risk to the transition process for AFM	MOSAIC system / modules are not working as they should Not enough capacity or resources not available to train staff adequately	Requesting space in Scott House for the team to co-locate Delay implementation to September	Some issues with the module means there is a risk to the transition process for AFM (adults finance system) and production of accurate invoices that services can understand	16	16

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
			Increase Adults Finance Team staffing on a temporary basis to become part of MOSAIC project team			
			Preparing a contingency plan			
			MOSAIC has its own Risk & Issue Log			
6	Financial pressures of key partners	"There is a risk that financial pressures on partners such as health and the police result in their re-prioritising the use of their resources or raising their gatekeeper thresholds.	Working with partners to agree priorities and engagement plans.	The consequences are increased pressures and demand on CCC services. Will have a negative impact on P&C's BCR."	16	16
7	Financial Pressures on service providers	"There is a risk that changes to legislation such as the sleep-in ruling, pension obligations and rises in minimum wage, combined with rates the Local Authority are able to afford will result in providers withdrawing from the market.	Working with Providers to develop action plans	The consequence is an increase in the rates being charged to the Council."	16	16
8	Overdue Debt	There is a risk that CCG will enter financial ""special measures"" due to missing its financial controls target. TCCG may not be able to reduce the debt owed to PCC.	SMT to agree policy. Needs to be raised at Health Executive	The consequence is financial pressure on CCC and an adverse effect on the future relationship with the CCG.	15	15
			Executive Director & Chief Finance Officer written to CCG Chief Exec and Finance Director requesting payment of Debt.			
			Monthly meetings between finance teams. Position monitored closely. Status reviewed monthly at joint commissioning board."			
9	Insufficient availability and capacity of services at affordable rates	1. Average number of ASC attributable bed-day delays per month is above national average (aged 18+) as identified by P&C performance dashboard 2. Delayed transfers of care from hospital attributable to adult social care as identified by P&C performance dashboard 3. Home care pending list 4. Gap in alternative to care	1. Data regularly updated and monitored to inform service priorities and planning 2. Maintain an effective range of preventative services across all age groups and service user groups including adults and OP	1. Client dissatisfaction and increased risk of harm and hospital admission 2. Increase in delayed discharges from hospital 3. Reputational damage to the Council 4. BREXIT may impact the workforce within the care & health industry Outcomes for children, families and adults are worse 5. Reduction in quality of	15	15

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
		services 5. The BREXIT negotiations may impact on the care industry in terms of the workforce 6. Provider organisation report not having capacity to deliver services when we need them 7. Length of time services users wait for appropriate services 8. Care home providers reduce the numbers of nursing beds (due to difficulty recruiting qualified nurses)	3. Community resilience strategy details CCC vision for resilient communities 4. Directorate and P&C Performance Board monitors performance of service provision 5. Coordinate procurement with the CCG to better control costs and ensure sufficient capacity in market 6. Take flexible approach to managing costs of care 7. Market shaping activity, including building and maintaining good relationships with providers, so we can support them if necessary 8. Capacity Overview Dashboard in place to capture market position 9. Residential and Nursing Care Project has been established as part of the wider Older People's Accommodation Programme looking to increase the number of affordable care homes beds at scale and pace. Development of a Home Care Action Plan Regular engage with commissioners and providers to put action plans in place to resolve workforce issues Robust Controlling and monitoring procedures Active involvement by commissioners in articulating strategic needs to the market Risk-based approach to in-contract financial	services 6. Reduced choice of provision close to people's local community 8. Inefficiencies and financial controls are minimized		

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
			monitoring			
10	Failure of information and data systems, particularly with the implementation of MOSAIC	1. Amount of time P&C Business Systems (Social Care, Ed Case Management) are working and available (uptime) is below Service Level Agreement (SLA) levels 2 System availability due to infrastructure issues (network, end-user devices, SAN etc.) is below SLA levels. 3 Amount of time data-sharing with partners is impossible as a result of system failure. 4. ONE - Quality of system and sustainability of demand of Service especially SEND 4. ERP- Reports from providers of late payments or no payments Reports from services that have processed and progressed payments, but still no further actions taken from ERP	1. Individual Services Business Continuity Plans. 2. LGSS IT Disaster Recovery Plan 3. LGSS IT service resilience measures (backup data centre, network re-routing). 4. Version upgrades to incorporate latest product functionality 5. Training for P&C Business systems prior to use 6. Information sharing agreement 7. Backup systems for mobile working 8. Backup systems for P&C Business Systems 9. Corporate (Information Governance Team) monitor data handling and security position and improvements 10. Robust MOSAIC programme has been established and a clear plan for implementation is in place	1. Inspection failure. 2. Increased risk of harm to children and adults. 3. Less than optimum efficiency. 4. Reliance by staff on IT support 5. Inability to share information and/or inappropriate sharing of information 6. Suppliers and providers not being paid and leading to no longer working until they are	15	15
11	Insufficient availability of affordable Looked After Children (LAC) placements	1. The number of children who are looked after is above the number identified in the LAC strategy action plan 2. % LAC placed out of county and more than 20 miles from home as identified in P&C performance dashboard 3. The unit cost of placements for children in care is above targets identified in the LAC strategy action plan	1. Regular monitoring of numbers, placements and length of time in placement by P&C management team and services to inform service priorities and planning 2. Maintain an effective range of preventative services across all age groups and service user groups	1. Client dissatisfaction and increased risk of harm 2. Reputational damage to the Council 3. Failure to meet statutory requirements 4. Regulatory criticism 5. Civil or criminal action against the council	12	12

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
			3. Looked After Children Strategy provides agreed outcomes and describes how CCC will support families to stay together and provide cost effective care when children cannot live safely with their families.			
			4. Community resilience strategy details CCC vision for resilient communities			
			5. P&C management team assess impacts and risks associated with managing down costs			
			6. Edge of care services work with families in crisis to enable children and young people to remain in their family unit			
			Virtual school working on key issues			
12	Failure to attract or retain a sufficient People and Communities workforce	1. Spend on agency staff within social care workforce is above target as identified by Strategic Recruitment and Workforce Development Board 2. High turnover of social care staff as identified by Strategic Recruitment and Workforce Development Board 3.High vacancy rates of identified key social care roles as identified by Strategic Recruitment and Workforce Development Board 4. Cost of living in Cambridge City is high leading to issues for recruitment and retention	1. Extensive range of qualifications and training available to staff to enhance capability and aid retention 2. Increased use of statistical data to shape activity relating to recruitment and retention 3. ASYE programme ensures new social workers continue to develop their skills, knowledge and confidence. 4. Frontline managers support their own professional development through planning regular visits with frontline services	1. Outcomes for children, families and adults are poorer 2. Reputational damage to the Council 3. Demotivated staff lacking the skills to deliver future challenges 4. Increased absence levels 5. Disproportionate level of agency staff	12	12

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
			5. Cross directorate Social Care Strategic Recruitment and Workforce Development Board and Social Work Recruitment and Retention Task and Finish Group proactively address the issue of social care recruitment and retention.			
			6. Improved benefits and recognition schemes in place Recruitment and retention programme has been agreed			
13	Meeting demand for school places and settings	Failure to provide our legal requirement for every child of statutory school age to access a place and within a 'reasonable' distance from their home (less than 2 miles for 4 to 8 year olds and up to 3 miles for 9 to 16 year olds) Cut in Government funding for school places 1.Demand on places outstrips sufficiency 2. Failure of not having early year's settings 3. funding is low in Cambridgeshire	1) The School Organisation plan and demographic forecasts are regularly updated and presented to the Council for publication. 2.) Sufficient resources identified in MTFP to support known requirements in the next 3 years if forecasts remain accurate 3) Quality of relationship with schools means schools have over admitted to support the Council with bulge years 4) On-going review of the Council's five year rolling programme of capital investment. Priority continues to be given to the identified basic need requirement for additional school places 5) Annual School Capacity Review to the Department for Education (DfE) completed in a way which aims to maximise the Council's basic need funding allocation.	1) Significant additional costs incurred in terms of transport. 2) Impact on schools in terms of attendance, less engagement from parents and increased churn of pupils when places become available nearer to home - all having a significant impact on outcomes. 3) Potential legal action from parents for failure to meet legal requirements	12	12

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
			2) Local and national lobbying (inc. EFA capital funding options, inc. Free Schools)			
			3) Continue to review options around reducing costs including modular technology, use of existing buildings and procurement savings			
			4) Plans for emergency places being developed including pulling forward schemes and additional mobiles			
14	Children and young people do not reach their potential (educational attainment)	1. The attainment gap between vulnerable groups of CYP and their peers of school age are below targets identified in P&C performance dashboard 2. End of key stage 2 and 4 attainment targets are below those identified in the P&C performance dashboard 3.Percentage of 16-19 years old who are NEET increases as identified in P&C performance board)	1. Good governance of Accelerating Achievement and School Improvement strategies and action plans, checking progress and challenging performance, involving executive and service management 2. Cambridgeshire School Improvement Board focused on securing improvements in educational outcomes in schools by ensuring all parts of the school system working together 3. Effective monitoring, challenge, intervention and support of school and setting 4. Develop all children's services to include educational achievement as a key outcome 5. 18-25 team supports care leavers to remain in education or helps them find employment or training	1. Schools Ofsted rating decline and this impacts on our ability to recruit and retain the best teachers 2. Life chances of children and young people reduce 3. An increase in forced academisation	12	12

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
			6. A joint approach to support and promote good mental health for CYP has been developed with and for schools and a programme is in place which is supported by Learning, E&P, Public Health and voluntary partners			
			7.Provides support and guidance to schools to support the stability of educational placements and transition to post 16 for LAC			
			8. Cambridgeshire School Improvement Board improves educational outcomes in schools by all parts of the school improvement system working together.			
			9. Residual Information, Advice and Guidance function overseen by the local authority focuses on the most vulnerable			
15	Think Communities - Failure to deliver a transformed community resilience service	There is a risk that failure to deliver a transformed community resilience service that directly impacts on demand management costs and service pressures.	Establishment and development of an integrated 'Think Communities' Strategy and plan Demand Management Hub work being developed	1. Increased cost pressures in both adult social care and children's services, and resultant increases in packages and interventions. 2. Reduction in positive outcomes for residents. 3. The consequences are increased pressures on costs and demands on social care, potential reduction or removal of the community resilience service.	12	16
16	Skills shortages in People & Communities	There is a risk that the progress that has been made in relation to the recruitment of qualified social workers,	Recruitment & Retention campaign are ongoing	The consequences are a lack of stability in case work and its management oversight (both of	12	16

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
		team managers and senior officers slows down and the authority experiences a severe skill shortages again. The east of England memorandum on agency social worker charge rates is vulnerable at present as a number of authorities are seeking permission to exceed payment rates. Failure of this would increase likelihood of higher turnover among our employed staff	A newly brought together team is focusing on activity on recruitment and recruitment campaigns	which are significant inspection risks) in addition to the higher costs associated with agency social worker use.		
17	Increase in Homelessness across Cambridgeshire	More individuals / families requesting support	Officer Task & Finish group has been developed as instructed by the Communities & Partnerships Committee Committee receives a regular update and report CCC Co-chairs the sub-region housing board		9	9
18	Failure to work within regulation and/or regulatory frameworks	1. Poor inspection and/or ombudsman results 2. Higher number of successful legal challenges to our actions/decisions 3. Low assurance from internal audit	1. LGSS legal team robust and up to date with appropriate legislation. 2. Service managers share information on changes in legislation by the Monitoring Officer, Government departments and professional bodies through Performance Boards 3. Inspection information and advice handbook available which is continually updated 4. Code of Corporate Governance 5. Community impact assessments required for key decisions 6. Programme Boards for legislative change (e.g. Care Act Programme Board) 7. Training for frontline staff on new legislation	1. Financial impact 2. Increase attention from regulators 3. Failure to meet needs of service users	8	8

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level	Risk Appetite
			8. Involvement in regional and national networks in children's and adults services to ensure consistent practice where appropriate			
			9. P&C have made arrangements for preparing within Inspections			
			10. Next Steps Board oversees preparation for Ofsted inspections of services for children in need of help and protection			
			Review the results of the Adults Service User survey			
19	Increased prevalence of adolescent young people entering the criminal justice system.	1. Existing preventative activity does not meet the needs and behaviours of young people. 2. High demand for some crime types resulting in reduced levels of intervention from some of our partners.	1.Continued development of the shared services Youth Offending Service with Peterborough, ensuring best practice is shared and resources are flexed where they are most needed.		6	6
			2.Development of the statutory youth justice board to ensure a system wide approach is taken to supporting adolescent young people.			
			3.Continued development of positive interventions, including National Citizen Service, to engage proactively with young people.			

Cultural and Communities Services Risk Register

Risk #	Risk	Triggers	Control	Consequences	Residual Risk Level
1	02. Achieving the new Libraries Transformation Vision	1. Unable to achieve the expectations of the new vision 2. Insufficient funding 3. Community capacity 4. Partners are not on board with the vision	1. Work is progressing on the vision for 2021 2. Initial vision statement has been produced and will be developed further 3. Monthly Programme Board 04. New Libraries Programme Board	1. Significant reputational damage 2. Political	12
2	05. Passenger Transport	1. Failure to provide public bus services that have been withdrawn by public transport companies 2. The Combined Authority bus review is not completed by April 2019 3. Community Transport Audit (HACT, FACT, ESACT) are not used to deliver mobility services 4. Funding is not available to replace commercial services that are deregistered.	Local transport plan - Section on Business Strategy Funding attached - budget monitoring procurement practices Quarterly meetings with main operators 5. Work with operators to receive information about their plans at an early stage. 6. Negotiate service provision for key journeys/ requirements. 7.£1.5 million available annually to provide these types of service and if there is a new requirement funding can be diverted away from existing services where the need is assessed as being lower.	1. Financial pressures on the Council to provide the services 2. Reputational damage 3. Political pressures from Members 4. Other Services other than (HACT, FACT, ESACT) are not able to deliver the services that are required 6. Court fines 7. Communities are left with no public transport.	9
3	01. Budget Risk	1. Income Generation from Libraries 2. Income Generation for registration - particularly on legislative change and home office 3. Coroners - new set of SLA's 4. Capital projects overrunning - particularly Sawston	01. Regular budget monitoring 02. Library Transformation Board meeting monthly 03. Close working with the Transformation Team 04. Extra borrowing for 2 years to help with delivering the plan 05. Fees and Charges Policy for Registration Service 06. PCH MF Centre 07. Coroners Service back up plan in place 08. Local contracts in place with regular suppliers 09. New discretionary fees for Registration Service	1. Cuts to Services 2. Pressures on other budgets 3. Reputational damage 4. Public campaigning 5. Public dissatisfaction 1. Impact on what we deliver and what we charge for services 2. Short timescales in implementing changes disrupt services 1. Budget overspends 2. Reputational damage	9

4	06. Successful delivery of The Library Presents programme (arts in libraries)	1. The aims set out in the Business Plan, and agreed by our external funder, Arts Council England, are not met.	1. Business Plan agreed, with targets for audience numbers, quality of programme, marketing in place, budget adhered to. 2. Quarterly Steering Group meetings and quarterly reports to Arts Council England 3. Regular reviews with staff team 4. Learning based on previous experience of this type of programme deployed 5. Access to Arts Council 'Relationship Manager on less formal basis encouraged	1. Lack of payment for costs of programme, including staff 2. Loss of good reputation as delivery partner 3. Jeopardising the following three years of the funding agreement	8
5	03. Shared Services fail to deliver outcomes	1. Lack of effective engagement with Peterborough City Council and their contractors 2. Failure to consult and engage staff / members / customers effectively 3. Insufficient capacity / expertise to identify and deal with all the issues and options 4. Contractual or technical / system barriers to sharing 5. Communication plan not rolled out 6. No shared understanding 7. Back office services are not ready 8. Business cases not ready 9. Governance Arrangements	Establish steering groups Procure external expertise Engage internal resources / support 1. Part of the Shared Services Programme	Lack of clarity of direction Organisational barriers Dead alleys. No clear agreed prioritisation with Peterborough Lack of effective engagement with partners Capacity issues. - particularly with smaller programmes.	4
6	04. Future Growth in Libraries	1. Insufficient funds received for new Libraries (from Section 106, CIL etc) 2. Insufficient model to bid for funds 3. Lack of project and contract management 4. Lack of partnership working	1. Library projects have own risk registers 2. Good project management with project plans 3. Community engagement - steering group with member participation 4. Comms plan in place 5. Financial plan in place 6. Working with the Transformation Team 7. Working with Strategic Assets Team 8. Oversight by the Assistant Director 9. Input from the legal team 10. Lessons learnt log	1. Judicial review 2. Reputational damage 3. New library projects are not completed eg Milton Road, Sawston Hub, and Clay Farm	4