

Risk		01. Council's arrangements for safeguarding vulnerable children and adults fail									
Likelihood	5										
	4										
	3									X/T	
	2										
	1										
		1	2	3	4	5					
		Consequence									

07. 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.	Good		
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		
13. Move to non-caseloading team Managers has increased oversight and challenge. Skilled and experienced safeguarding leads and their managers	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. Implementation of Family Safeguarding and robust oversight & review of work coming through the system.	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/Cambridgeshire County Council

**Risk Category:**

**Linked Objective(s):**

Risk		02. The Council doesn't have enough budget to deliver agreed short and medium term corporate objectives										
Likelihood	5						Risk Owners	Director of Resources	Current Score	12	Last Review	08/03/2022
	4								Target Score	15	Next Review	14/06/2022
	3								Previous Score	20		
	2						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
	1						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		1. Increased demand to services		1. Council is issues a s114 notice	
		1	2	3	4	5	2. No clear policies, procedures or governance framework for budget setting and monitoring		2. Economic/market conditions and pandemic recovery		2. The Council does not deliver its statutory responsibilities	
							3. Non-compliance with corporate processes		3. Changes to government funding		3. People do not receive the services to which they are entitled or require, and may be harmed as a result	
							4. Poor demand management of services		4. Long-term Brexit implications		4. Reputational damage	
							5. inflexible budget		5. Legislative changes			
							6. staff without appropriate s/k/e					
							7. The Council is a victim of major fraud and corruption					
Consequence												

03. Integrated resources and performance reporting (accountable quarterly to S&R), tracking budget, savings, activity and performance	Good	Saving proposals delivered	
04. Operational division Finance and Performance Reports (accountable monthly to Service Committees), tracking budget, savings, activity and performance	Good	Saving proposals delivered	
05. Scheme of Financial Management, including Budget Control Report for the Council as a whole and operational divisions	Good	Clear budget process, effective engagement with it and compliance	
06. Procurement processes and controls ensure that best value is achieved through procurement	Good		
07. Regular meetings between Finance and budget holders at all levels of the organisation to track exceptions and identify remedial actions	Good	Meeting of financial targets and deadlines. Political engagement and approval	
08. Rigorous treasury management system plus tracking of national and international economic factors and Government policy	Good		
09. Rigorous risk management discipline embedded in services and projects	Good		
10. Adequate reserves	Good	Reserves held at recommended level as per section 25 statement (4%)	
11. Integrated Financial Monitoring Report	Good	Received quarterly at S&R	
12. Finance and performance Reports	Good	Received quarterly at Service Committees	
13. Financial Procedure rules	Good	Organisational awareness campaigns	
14. Anti-fraud and corruption policy	Good	Organisational awareness campaigns	
15. whistleblowing policy	Good	Organisational awareness campaigns	
16. Codes of Conduct	Good	Organisational awareness campaigns	
17. Internal control framework	Good	Organisational awareness campaigns	
18. Fraud detection work undertaken by IA, Counter Fraud	Good	Organisational awareness campaigns	
19. Awareness Campaigns	Good	Organisational awareness campaigns	

20. Anti money laundering policy	Good	Organisational awareness campaigns	
21. Publication of spend data	Good	Organisational awareness campaigns	

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

**Risk Category:**

**Linked Objective(s):**

Risk		03. A serious incident occurs, preventing services from operating and /or requiring a major/critical incident response.									
Likelihood	5						Risk Owners Director of Customer & Digital Services	Current Score 12 Target Score 15 Previous Score 12	Last Review 14/03/2022 Next Review 14/06/2022		
	4										
	3				X	T					
	2										
	1										
		1	2	3	4	5					
Consequence											
Triggers							Likelihood Factors (Vulnerability)			Potential Consequences	
1. Loss of large quantity of staff or key staff 2. Loss of key premises (including temporary denial of access) 3. Loss of IT, equipment or data 4. Loss of a key supplier 5. Loss of utilities or fuel 6. Status of IT Disaster Recovery 7. Decreasing resilience in CCC services due to ongoing financial constraints and cost reduction							1. Ongoing risk of environment hazards such as flooding and severe weather 2. Pandemic 3. Cyber Attack / Cyber Crime			1. Inability to deliver services to vulnerable people, resulting in harm to them 2. Inability to meet legislative and statutory requirements 3. Increase in service demand 4. Reputational damage	

			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"
5. IT disaster recovery arrangements	Reasonable	Up to date IT disaster recovery plans in place	Disaster Recovery tested thoroughly ahead of data centre move and then put into action 'live' during the data centre move in November 2021.
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 & 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
Fire Safety On-line training now in place. All staff required to complete this prior to returning to a workplace (post Covid). Staff followed up who have failed to complete it. Programme of training evacuations have/are taking place, particularly with return to workplaces.		Director of Resources	31/03/2022
Testing disaster recovery plans		Director of Customer & Digital Services	31/12/2022

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

**Risk Category:**

**Linked Objective(s):**

Risk		04. The Council does not deliver its statutory or legislative obligations											
Likelihood	5						Risk Owners	Monitoring Officer	Current Score	10	Last Review	11/03/2022	
	4								Target Score	15	Next Review	14/06/2022	
	3								Previous Score	8			
	2						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences		
	1						1. Major business disruption		1. Current local financial pressures		1. Harm to people as a result of them not getting		
							2. Lack of management oversight		2. Ongoing national reduction in public sector funding		2. Criminal or civil action against the Council		
							3. Negative inspection judgement		3. Changes to statutory/Legislative duties		3. Negative impact on Council's reputation		
							4. Poor financial management						
							5. Insufficient Finance						
							6. Personal Data is inappropriately accessed or shared.						
		1	2	3	4	5							
		Consequence											

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

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

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

**Risk Category:**

**Linked Objective(s):**

Risk		05. The Council's human resources are not able to meet business need										
Likelihood	5						Risk Owners	Head of HR Advisory	Current Score	15	Last Review	14/03/2022
	4								Target Score	15	Next Review	14/06/2022
	3								Previous Score	16		
	2						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
							1. Skills shortage in key areas including partners. 2. Talent management is inadequate. 3. failure to achieve a healthy organisational culture and		1. Cost of living in some areas of Cambridgeshire is particularly high 2. acute skills shortage in key areas including partners.		1. The Council is unable to recruit staff with the right skills and experience 2. Failure to deliver effective services	



1					
	1	2	3	4	5

Consequence

environment  
4. ineffective demand management strategies  
5. ineffective workforce planning

3. EU exit impact on employment market  
4. Impact of covid on the employment market  
5. Increase in demand for 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.
10. 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.
2. 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 Autumn 2022 and will have a clear focus on covid recovery as well as the shifting employment market and employment challenges that the Council faces, to establish clear plans for the workforce.
3. 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.
4. Appraisal system linked to performance management	Good		New Our Conversations process was embedded in 2021. Feedback on the first year is being gathered and focus groups will be held in the Spring to seek further views on it's application in practice so that any adaptations can be made in conjunction with CLT.
5. 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.
6. 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.

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. 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.
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.

Action Plans	Assurance	Responsibility	Target Date
Development of own learning platform		Head of HR Advisory	14/06/2022
New values and behaviours framework		Head of HR Advisory	14/06/2022
Work with the service directors to create a comprehensive L&D strategy to support the wider People Strategy.		Head of HR Advisory	14/06/2022

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

**Risk Category:**

**Linked Objective(s):**

Risk		06. Insufficient infrastructure to deliver the Council's services										
Likelihood	5						Risk Owners	Executive Director, Place and Economy	Current Score	12	Last Review	14/03/2022
	4								Target Score	15	Next Review	14/06/2022
	3								Previous Score	12		
	2						Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
	1						1. Insufficient funding to meet needs received from: •Growth funds •Section 106 •Community infrastructure levy •School infrastructure funding •Highways Active Travel funding 2. Partnerships do not deliver new infrastructure / services to meet needs of population 3. Infrastructure undermined due to inability to adequately		Willingness of stakeholders to embrace development Changes in grant funding Failure of a key supplier Reduced funding from devolution deals End of the Greater Cambridge City Deal programme Insufficient staffing resource and expertise to deliver key infrastructure		1. Impacts on transport, economic, environmental and social outcomes 2. Greater borrowing requirement to deliver infrastructure which is unsustainable financially 3. Increased pressure on already stretched maintenance budgets 4. Unsustainable or reduced growth 5. Growth that is not inclusive	
		1	2	3	4	5						
	Consequence											

maintain  
4. Infrastructure delivery planning not tied to business planning process

Controls	Adequacy	Critical Success	Assurance
1. Maximisation of developer contributions through Section 106 negotiations. Policy is to deal with strategic development sites through s106, not including CIL	Good		
2. Section 106 deferrals policy is in place.	Good	Agreed and adopted by the Council	
3. Capital Programme Board	Good	Regular reporting	
4. Prudential borrowing strategy	Good		
5. Review, scrutiny and challenge of design and build costs to ensure maximum value for money	Good		
6. Co-ordination of requirements across partner organisations to secure viable shared infrastructure	Good		
7. Annual school capacity return to Department for Education seeks to ensure maximum levels of funding for basic need	Good		
8. Maximise annual maintenance block funding from Central Government, maintaining band 3 of the incentive fund.	Good		

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

**Risk Category:**

**Linked Objective(s):**

Risk		07. Failure to Deliver Key Council Services									
Likelihood	5						Risk Owners Executive Director, People and Communities; Executive Director, Place and Economy	Current Score	10	Last Review	11/03/2022
	4							Target Score	15	Next Review	14/06/2022
	3							Previous Score	6		
	2										
								Triggers	Likelihood Factors (Vulnerability)		Potential Consequences
							01. Placement sufficiency – schools, independent sector CIC and adult placements 02. Workforce sufficiency – council and independent	01. Failure of Key Supplier 02. Change in government funding 03. Pandemic		01. Children and adults inappropriately placed leading to increased risk of harm, poor health and social outcomes	

1					
	1	2	3	4	5

Consequence

sector and partners  
 03. Skills sufficiency  
 04. Lack of Business Continuity Plans for Key Services  
 05. Poor Contract Management  
 06. Poor Project Management  
 07. Poor Governance around Partnership working  
 08. Capacity issues  
 09. Poor Demand Management  
 10. Poor escalation process for concerns  
 11. Insufficient budget setting and management  
 12. Non-compliance with Corporate policies and procedures

04. Long-term Brexit implications  
 05. Local Elections  
 06. Increased Demand on key services

02. Children and adults do not receive services they need to reduce the risk of harm, reach their educational and independence potential

Controls	Adequacy	Critical Success	Assurance
01. Following the end of Covid related funding for adults care, the LA are working with key partners to ensure the adult care provision can be extended and further capacity available where needed particularly for discharge from hospitals. A proposal for funding is being submitted to Adults Committee in March to gain agreement	Good	A market that reflects the needs of the population which it supports, in both quality and capacity, acknowledging the current workforce deficit. Contingency plans in place through the continued creation of good quality care capacity which can mitigate providers exiting the market and handing packages back. An integrated/aligned services which supports the timely discharge from hospital into appropriate community provision at an affordable price.	Weekly meeting to review concerns with the independent market from individual complaints to organisational safeguarding. Provider of concern process in place and managed via the Weekly Temperature check meeting above. Process due for review in April to ensure the readiness for the ASC Reform. Provider forums in place fortnightly by care sector to enable a regular discussion about external forces including COVID, Increase in Energy costs, increase in insurance costs etc. Contact meetings with providers undertaken on a monthly basis to ensure performance in line with key performance indicators. The development of a workforce strategy which will be system wide which creates a response to the the workforce deficit.
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/Cambridgeshire County Council

Risk Category:

Linked Objective(s):

Risk		08. Failure of key partnerships or contracts												
Likelihood	5						Risk Owners	Director of Resources	Current Score	12	Last Review	14/03/2022		
	4								Target Score	15	Next Review	12/06/2022		
	3						Triggers	Previous Score	12	Likelihood Factors (Vulnerability)	Potential Consequences			
	2											1. This Land unable to adhere to business plan: - timescales and programme slippage, assumptions about further land acquisition & promotion - assumptions and expectations, housing downturn/economics/inflation reduce profitability 2. Shared Service partners have divergent strategy or aims/priorities at odds with CCC 3. Large scale handback / collapse of major suppliers for economic/profitability reasons	This Land - arms length/commercial risk. Planning delays to date. Loan to value depleting but improved cashflows Uncertainty and major change programmes underway at partner Councils, restricted budgets across sector Significant economic and inflationary volatility	1. Financial impact of credit loss 2. Revenue impact of reduced income returns 3. Interruption to outcomes 4. Construction quality and health & safety matters 5. Reputational harms
	1													
		1	2	3	4	5								
Consequence														

Controls	Adequacy	Critical Success	Assurance
1. Monitoring surveyor overview of construction progress and compliance	Good	Favourable outcomes from follow up monitoring, assurance, validation check-ins	Favourable outcomes from follow up monitoring, assurance, validation check-ins
2. Validations and external appraisal to validate assumptions	Good	Favourable outcomes from follow up monitoring, assurance, validation check-ins	Favourable outcomes from follow up monitoring, assurance, validation check-ins
3. Construction contingency budget	Good	Contingency budget to be made site specific	Budget monitoring of contingency budget
4. Diversified approach across delivery, disposal, acquisitions, promotion	Reasonable		
5. Mortgages over properties/assets and work in progress	Reasonable	Floating charge also to be implemented	Some realisable collateral
6. Appointment of skilled and expert directors of This Land	Good		Board effectiveness review due at This Land
7. Partnership with other LAs - financial risk constrained by setup of section 113 or collaboration arrangements. Due Notice	Reasonable		
8. Commissioning/programme governance to identify alternative options	Reasonable		

Action Plans	Assurance	Responsibility	Target Date
Implementation of action plan in response to AY Report		Director Of Resources	01/07/2022

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

**Risk Category:**

**Linked Objective(s):**

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