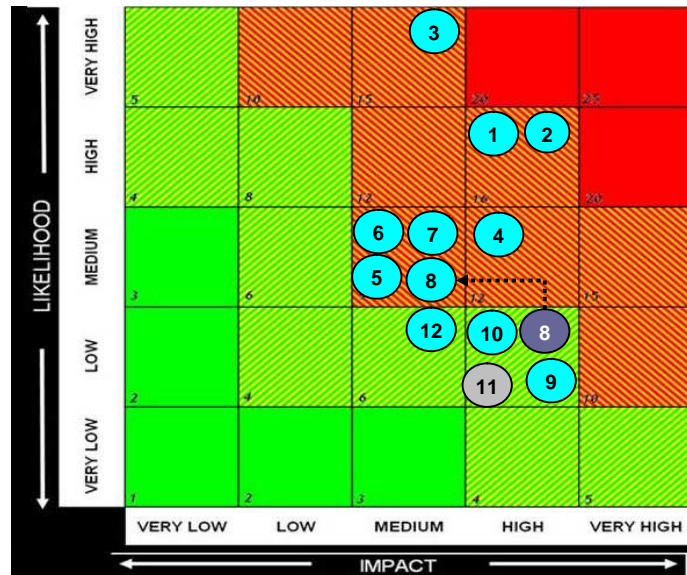


APPENDIX A

CBC Strategic Risk Register Matrix - Residual Risk Rating

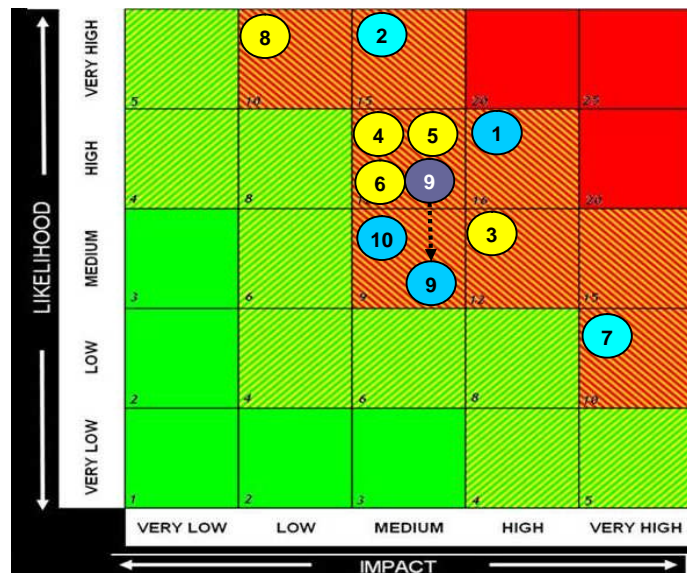


Key		
#	Reference	Nature of Risk
1	STR0001	Financial Pressures
2	STR0004	Staffing Issues
3	STR2002	Adult Social Care Service Effectiveness
4	STR0003	Growth Agenda
5	STR0006	Health and Safety
6	STR0005	Waste
7	STR0008	Failure of ICT Applications
8	STR0011	Shared Services
9	STR0010	Protecting Children
10	STR0009	Partnerships
11	STR0007	Contracts/ Commissioning
12	STR0013	Information Management

Strategic Risk Tracker										
Reference	Nature of Risk	2011/12				2012/13				
		Feb	June	Aug	Nov	Feb	May	Aug	Nov	Aug
STR0001	Financial Pressures	20	16	16						
STR0004	Staffing Issues	12	16	16						
STR2002	Adult Social Care Service Effectiveness	15	15	15						
STR0003	Growth Agenda	12	12	12						
STR0006	Health and Safety	9	9	9						
STR0005	Waste	12	9	9						
STR0008	Failure of ICT Applications	8	9	9						
STR0010	Protecting Children	8	8	9						
STR0011	Shared Services	8	8	8						
STR0009	Partnerships	8	8	8						
STR0007	Contracts/ Commissioning	8	8	8						
STR0012	Information Management	6	6	6						

Key:	New Risk	●
	Current Position	●
	Previous Position	●
	Accepted Level of Risk	●

CBC Top Operational Risks - Residual Risk Rating



Key		
#	Reference	Nature of Risk
1	CSS020002	Payroll contract
2	SUC03006	Highways - Approvals/budget allocations
3	CHS0004	Children's Services Business Continuity
4	CHS0005	CS - Failure to retain & recruit staff
5	SUC010002	Historical Planning Applications online
6	SUC020001	Library Service unable to operate
7	SUC030001	Highways winter maintenance
8	SUC010003	Key LDF documentation found unsound
9	CHS0001	ICT change in Children's Services
10	SUC040001	Waste data management

Top Operational Risk Tracker										
Reference	Nature of Risk	2011/12				2012/13				
		Feb	June	Aug	Nov	Feb	May	Aug	Nov	Aug
CSS020002	Payroll contract		16	16						
SUC03006	Highways - Approvals/budget allocations	15	15	15						
CHS0004	Children's Services Business Continuity			12						
CHS0005	CS - Failure to retain & recruit staff			12						
SUC010002	Historical Planning Applications online			12						
SUC020001	Library Service unable to operate			12						
SUC030001	Highways winter maintenance	10	10	10						
SUC010003	Key LDF documentation found unsound			10						
CHS0001	ICT change in Children's Services	12	12	9						
SUC040001	Waste data management	9	9	9						

Overview of Risk Position - August 2011

There has been little movement on the strategic risk register since it was last reviewed by CMT. The Transparency risk (STR0012) has been reviewed and retired as it is no longer considered strategic in nature. STR0010 (protecting children) has changed in score; as a result of changes to the linked operational risk the residual score has been amended from an 8 to a 9. The two risks with the highest residual exposure continue to be financial pressures (STR0001) and staffing (STR0004). The residual risk score on both of these remains at 16. The growth agenda risk (STR0003) has been reviewed. Although the residual risk score remains the same, the mitigating action "Endorse for development control' the submission version of the Core Strategy as an interim planning framework' has been added.

The matrix to the left highlights the most noteworthy operational risks facing CBC. The highest rated risk on the Directorate's registers relates to the payroll contract. There is a risk that, as a result of current systems and processes, the council fails to pay staff on time. This would result in low morale, reputational damage and additional costs. Five new risks appear in the top operational risk tracker. These relate to business continuity in Children's Services (CHS0004), Failure to retain and recruit staff in Children's Services (CHS0005), data protection of historical planning applications held online (SUC010002), the Library service (SUC02001) and a key LDF document being found unsound following public examination (SUC010003).

Assessing Impact

Impact Score	Impact Title	Example Description
5	Catastrophic	Total system dysfunction, total shutdown of operations, financial loss over £5m, key person resignation/removal, sustained adverse publicity in national media, fatality or permanent disability
4	Severe	All operational areas of a location compromised, other locations may be affected, financial loss up to £5m, sustained adverse publicity in national media, greater than 6 months absence for more than 5 people (single event)
3	Major	Disruption to a number of operational areas within a location and possible flow on to other locations, financial loss up to £1m, significant adverse publicity national media, greater than 20 days absence for more than 5 people (single event),
2	Reasonable	Some disruption manageable by altered operational routine, financial loss up to £250k, significant adverse publicity in local media, short term absence for up to 5 people (single event)
1	Low	Minimal interruption to service, financial loss up to £100k, Minor adverse publicity in local media, short term absence for up to 5 people (single event)

Assessing Likelihood

Scale	Description	Likelihood of Occurrence
5	Almost Certain	Likely to occur each year/over 60% chance of occurrence
4	Likely	Likely to occur every 3 years/up to a 60% chance of occurrence
3	Possible	Likely to occur every 5 years/up to a 40% chance of occurrence
2	Unlikely	Likely to occur every 10 years/up to a 20% chance of occurrence
1	Rare	Likely to occur every 10+ years/up to a 10% chance of occurrence