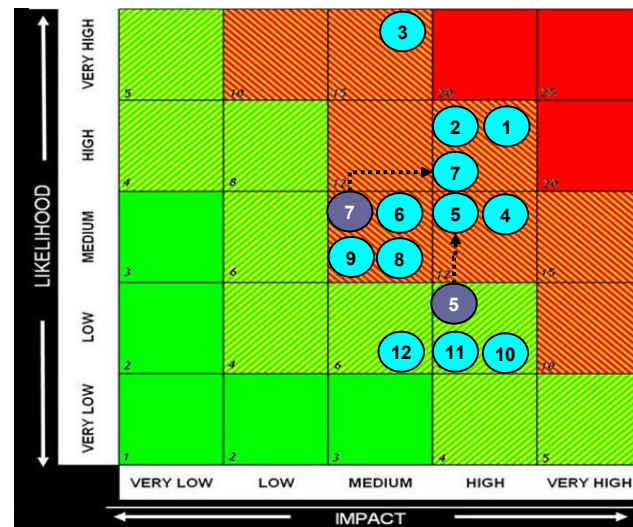


CBC Strategic Risk Register Matrix - Residual Risk Rating

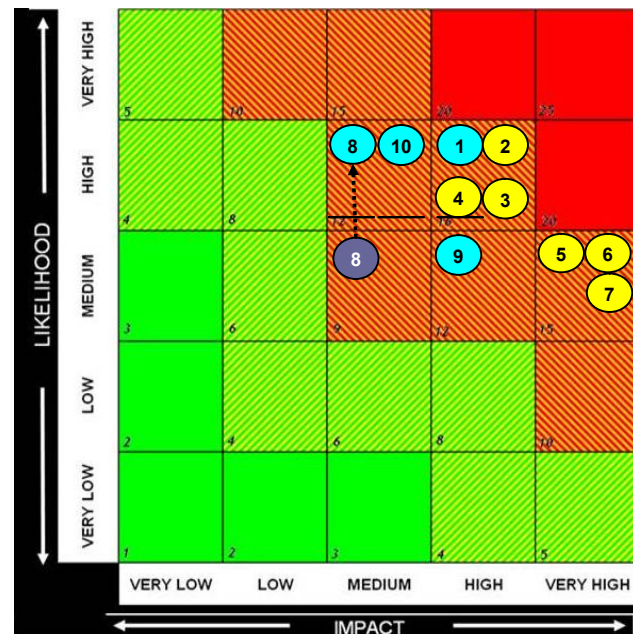


Key		
#	Reference	Nature of Risk
1	STR0001	Financial Pressures
2	STR0004	Staffing Issues
3	STR0002	Adult Social Care
4	STR0003	Growth
5	STR0007	Contracts - Failure in Competition process
6	STR0005	Waste
7	STR0006	Health and Safety
8	STR0008	ICT Failure
9	STR0010	Protecting Children
10	STR0009	Partnerships
11	STR0011	Shared Services
12	STR0013	Data 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	16					
STR0004	Staffing Issues	12	16	16	16					
STR0006	Health & Safety	9	9	9	16					
STR0002	Adult Social Care	15	15	15	15					
STR0007	Contracts - Failure in Competition process	8	8	8	12					
STR0003	Growth	12	12	12	12					
STR0005	Waste	12	9	9	9					
STR0008	ICT Failure	8	8	9	9					
STR0010	Protecting Children	8	8	9	9					
STR0009	Partnerships	8	8	8	8					
STR0011	Shared Services	8	8	8	8					
STR0013	Data Management	6	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	SCHH0008	Insufficient capacity, expertise and competency to deliver Adult Social Care and Housing agenda
3	SCHH0004	Failure to manage resources/capacity
4	SCHH0007	Health and Joint Commissioning partnership risks
5	RES0006	Insufficient capacity, expertise and competency to deliver Procurement agenda
6	RES0017	Welfare Reform
7	RES0018	Failure to address the financial implications of changes in legislation and need to "do more for less"
8	CHS0001	ICT change in Children's Services
9	CHS0004	Children's Services Business Continuity
10	CHS0005	CS - Failure to retain & recruit staff

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	16					
SCHH0008	Insufficient capacity, expertise and competency to deliver Adult Social Care and Housing agenda				16					
SCHH0004	Failure to manage resources/capacity				16					
SCHH0007	Health and Joint Commissioning partnership risks				16					
RES0006	Insufficient capacity, expertise and competency to deliver Procurement agenda				15					
RES0017	Welfare Reform				15					
RES0018	Failure to address the financial implications of changes in legislation and need to "do more for less"				15					
CHS0001	ICT change in Children's Services	12	12	9	12					
CHS0004	Children's Services Business Continuity				12	12				
CHS0005	CS - Failure to retain & recruit staff				12	12				

Overview of Risk Position - November 2011

The three risks with the highest residual exposure are financial pressures (STR0001) staffing (STR0004) and Health and Safety (STR0006). The Health and Safety risk has been reviewed and the risk score increased to 16. Risk STR0007 (Contracts) has also changed in score. As a result of reviewing the risk of failure of the whole competition process the residual risk exposure has increased to 12. The following risks have also been reviewed and refreshed: Adult Social Care (STR0002) Staffing (STR0004) Growth Agenda (STR0003) In each case the residual score remains the same, although there are changes in places to the risk descriptions, inherent risks, consequences and mitigating actions.

The matrix to the left highlights the most noteworthy operational risks facing CBC. The highest rated risk on the Directorates' risk registers remains the Payroll contract. Six new risks appear in the top operational risk tracker. These relate to insufficient capacity, expertise and competency to deliver the Adult Social Care and Housing agenda (SCHH0008), Failure to manage resources (SCHH0004), Health and Joint Commissioning Partnership risks (SCHH0007), insufficient capacity, expertise and competency to deliver Procurement agenda (RES0006), delivering the Welfare Reform Agenda within Revenue and Benefits (RES0017) and the failure to address the financial implications of changes in legislation and the need to do "more for less" (RES0018).

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