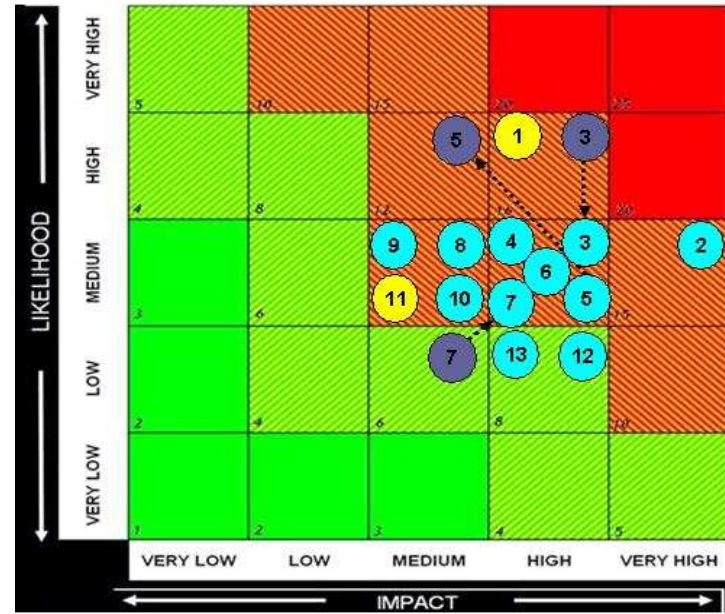


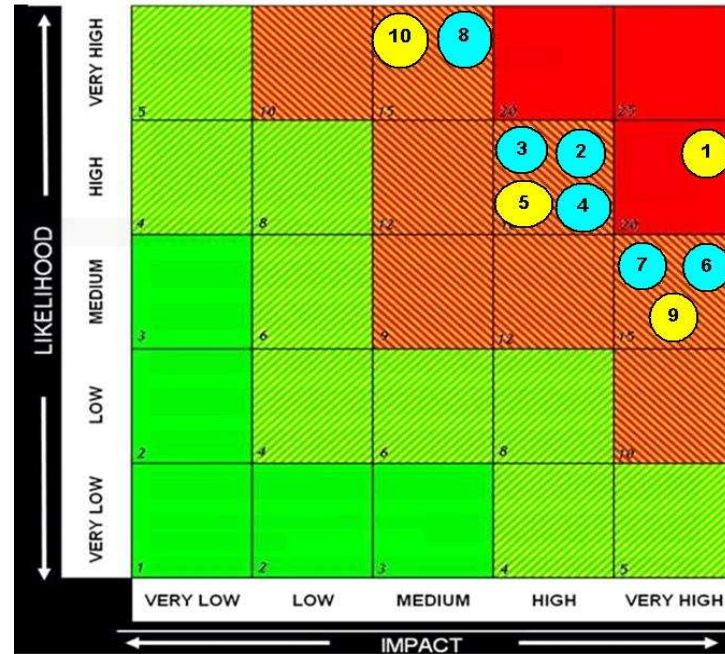
**CBC Strategic Risk Register Matrix - Residual Risk Rating**



Key		
#	Reference	Nature of Risk
1	STR0016	SAN (Storage Area Network) replication environment disconnects.
2	STR0002	Failure to improve Adult Social Care performance and failure to improve safeguarding practice.
3	STR0001	Budget Control Failure: financial pressures due to cuts to Central Government and CBC identifying savings.
4	STR0003	Growth: managing the delivery of planned growth targets.
5	STR0006	Health & Safety: a risk that failure of Members, managers and employees to recognise their responsibilities to fully comply with health and safety legislation.
6	STR0007	Failure in competition process: inappropriate contract arrangements which fail to deliver service requirements.
7	STR0013	Data Management: a risk of failure to implement information governance arrangements.
8	STR0005	The implications of failing to act on the waste agenda.
9	STR0008	Systematic failure of ICT applications.
10	STR0010	A failure to improve service provision within Children's Services or a failure to implement new child protection procedures, update guidance and share good practice.
11	STR0015	Localism: responding to the challenges of the Localism Act will require innovation in service delivery and a greater exposure to risk.
12	STR0009	Failure of partnerships As a result of conflicting priorities there is a risk that the Council is unable to develop and manage effective partnerships and influence the activities of the partnerships.
13	STR0011	Shared Services: a risk that the planned benefits of shared services do not materialise.

Strategic Risk Tracker											
Reference	Nature of Risk	2011/12					2012/13				
		Feb	June	Aug	Nov	Mar	May	Aug	Nov	Aug	
STR0016	SAN (Storage Area Network) replication environment disconnects.					16					
STR0002	Failure to improve Adult Social Care performance and failure to improve safeguarding practice.	15	15	15	15	15					
STR0001	Budget Control Failure: financial pressures due to cuts to Central Government and CBC identifying savings.	20	16	16	16	12					
STR0003	Growth: managing the delivery of planned growth targets.	12	12	12	12	12					
STR0006	Health & Safety: a risk that failure of Members, managers and employees to recognise their responsibilities to fully comply with health and safety legislation.	9	9	9	16	12					
STR0007	Failure in competition process: inappropriate contract arrangements which fail to deliver service requirements.	8	8	8	12	12					
STR0013	Data Management: a risk of failure to implement information governance arrangements.	6	6	6	6	12					
STR0005	The implications of failing to act on the waste agenda.	12	9	9	9	9					
STR0008	Systematic failure of ICT applications.	8	8	9	9	9					
STR0010	A failure to improve service provision within Children's Services or a failure to implement new child protection procedures, update guidance and share good practice.	8	8	9	9	9					
STR0015	Localism: responding to the challenges of the Localism Act will require innovation in service delivery and a greater exposure to risk.					9					
STR0009	Failure of partnerships As a result of conflicting priorities there is a risk that the Council is unable to develop and manage effective partnerships and influence the activities of the partnerships.	8	8	8	8	8					
STR0011	Shared Services: a risk that the planned benefits of shared services do not materialise.	8	8	8	8	8					

**CBC Top Operational Risks - Residual Risk Rating**



Key		
#	Reference	Nature of Risk
1	RES060008	Loss of revenue/income generation affecting the Asset Disposals Programme i.e. cautious buyers, prolonged completion periods, and a depressed market nationally .
2	SCH0004	Insufficient staff resources resulting in under or mis-direction of investment in the transformation of adult social care services.
3	SCH0007	Partnerships: failure to establish a common vision with health and the delivery of joint commissioning strategies.
4	SCH0008	Insufficient capacity, expertise and competency to deliver Adult Social Care and Housing agenda.
5	SCH0005	Failure to develop a social care market to deliver positive outcomes and choices for people.
6	RES0018	Failure to meet legal requirements: Ability to respond to changes in legislation affecting finances i.e. NNDR, CT, public health.
7	RES020006	Insufficient capacity to deliver an effective procurement service.
8	RES030017	Failure to improve/management performance due to welfare reform - Revenues and Benefits.
9	RES020005	Failure to obtain value for money through inadequate compliance with procurement processes and procedures or deliberate avoidance/ fraudulent behaviours.
10	RES030003	Insufficient staff resources/capacity due to unforeseen projects which become known at short notice and require diversion of resources - Revenues and Benefits.

Top Operational Risk Tracker											
Reference	Nature of Risk	2011/12					2012/13				
		Feb	June	Aug	Nov	Mar	May	Aug	Nov	Aug	
RES060008	Loss of revenue/income generation affecting the Asset Disposals Programme i.e. cautious buyers, prolonged completion periods, and a depressed market nationally .					20					
SCH0004	Insufficient staff resources resulting in under or mis-direction of investment in the transformation of adult social care services.					16	16				
SCH0007	Partnerships: failure to establish a common vision with health and the delivery of joint commissioning strategies.					16	16				
SCH0008	Insufficient capacity, expertise and competency to deliver Adult Social Care and Housing agenda.					16	16				
SCH0005	Failure to develop a social care market to deliver positive outcomes and choices for people.					16					
RES0018	Failure to meet legal requirements: Ability to respond to changes in legislation affecting finances i.e. NNDR, CT, public health.					15	15				
RES020006	Insufficient capacity to deliver an effective procurement service.					15	15				
RES030017	Failure to improve/management performance due to Welfare Reform - Revenues and Benefits.					15	15				
RES020005	Failure to obtain value for money through inadequate compliance with procurement processes and procedures or deliberate avoidance/ fraudulent behaviours.					15					
RES030003	Insufficient staff resources/capacity due to unforeseen projects which become known at short notice and require diversion of resources - Revenues and Benefits.					15					

**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

**Key**

- New Risk ●
- Current Position ●
- Previous Position ●

**Overview of Risk Position - March 2012**

The risk with the highest residual exposure is STR0016 - ICT Storage Area Network (SAN) replication..

The following risks have been refreshed:

- STR0001 - Financial Pressures
- STR0006 - Health and Safety
- STR0004 - Staffing (removed)
- STR0013 - Data Management

Two new strategic risks have been added:

- STR0015 - Responding to the challenges of the Localism Act.
- STR0016 - ICT Storage Area Network (SAN) replication.

The matrix above highlights the most noteworthy operational risks facing CBC. The highest rated operational risk relates to the potential loss of revenue/income generation within the Assets Disposals Programme. (RES060008). Four risks appear in the Top Ten Operational Risk tracker for the first time. These relate to the potential loss of revenue/income generation arising from the Assets Disposal Programme (RES060008), failure to develop a social care market to deliver positive outcomes and choices for people (SCH0005), failure to obtain value for money through inadequate compliance with procurement processes (RES020005), and insufficient staff/ capacity to deal with unforeseen projects within Revenues and Benefits (RES030003).