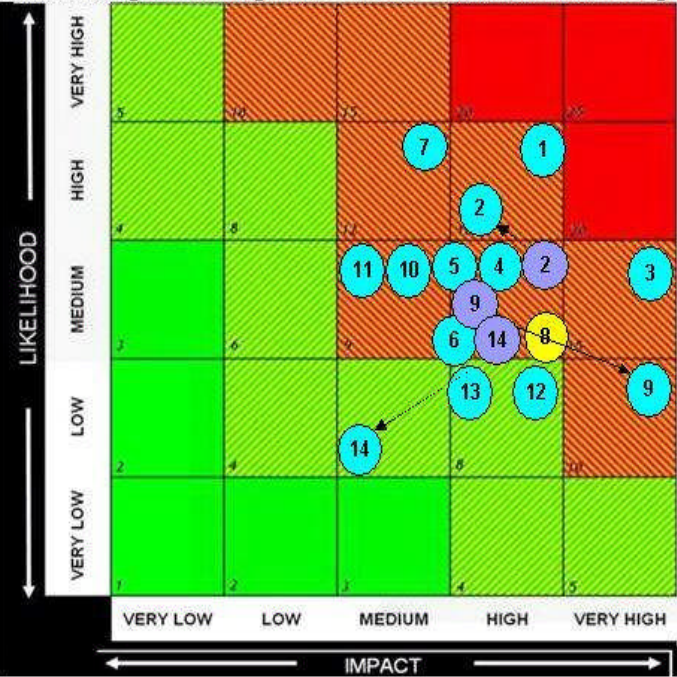


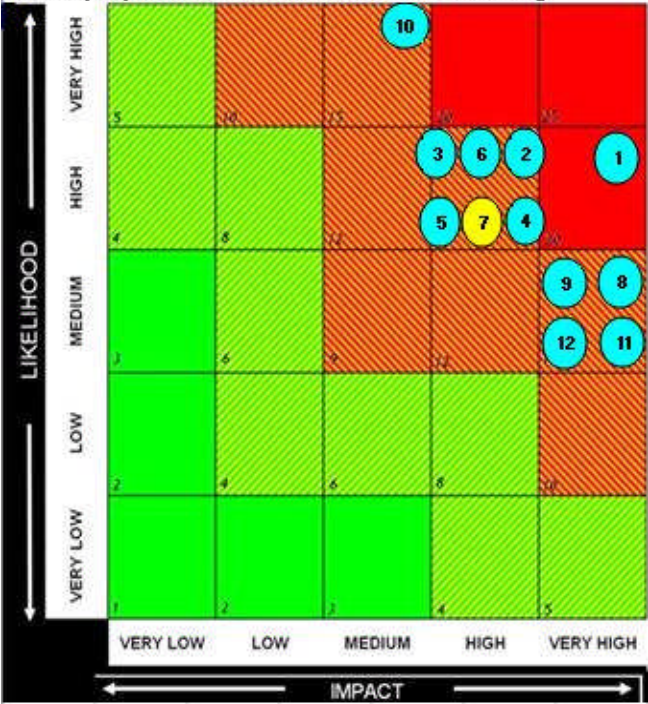
CBC Strategic Risk Register Matrix - Residual Risk Rating



Key		
#	Reference	Nature of Risk
1	STR0016	Core infrastructure failure of Datacentre Environment, SAN and/or CBC Network.
2	STR0003	Growth: managing the delivery of planned growth targets.
3	STR0019	Failure to deliver effective and cohesive Health and Social Care to local residents.
4	STR0006	Health & Safety: a risk that failure of Members, managers and employees to recognise their responsibilities to fully comply with health and safety legislation.
5	STR0007	Failure in competition process: inappropriate contract arrangements which fail to deliver service requirements.
6	STR0013	Information Management: a risk of failure to implement information governance arrangements.
7	STR0010	A failure to work to access sufficient resources to respond quickly enough to rapid changes or a failure to implement new child protection procedures, and update guidance and share good practice.
8	STR0020	Failure to improve adult protection safeguarding practices
9	STR0001	Budget Control Failure: financial pressures due to cuts to Central Government and CBC identifying savings.
10	STR0005	The implications of failing to act on the waste agenda.
11	STR0008	Significant loss or ICT failure of core business systems including but not limited to: SAP, ECM, CCMS, SWIFT, Tribal, Accolaid, Open Revenues, QL Housing.
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	STR0017	Failure to effectively manage the transfer of responsibilities for Public Health Services to the Council.
14	STR0018	Lack of application of robust project assurance and robust management arrangements for commissioned projects.

Strategic Risk Tracker												
Reference	Nature of Risk	2011/12					2012/13					
		Feb	June	Aug	Nov	Mar	June	Aug	Nov	Mar		
STR0016	Core infrastructure failure of Datacentre Environment, SAN and/or CBC Network.					16	16	16	16	16		
STR0003	Growth: managing the delivery of planned growth targets.	12	12	12	12	12	12	12	12	12	16	
STR0019	Failure to deliver effective and cohesive Health and Social Care to local residents.									15	15	15
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	8	12	12	12	12	12	
STR0007	Failure in competition process: inappropriate contract arrangements which fail to deliver service requirements.	8	8	8	12	12	12	12	12	12	12	
STR0013	Information Management: a risk of failure to implement information governance arrangements.	6	6	6	6	12	12	12	12	12	12	
STR0010	A failure to work to access sufficient resources to respond quickly enough to rapid changes or a failure to implement new child protection procedures, and update guidance and share good practice.	8	8	9	9	9	9	9	9	12	12	
STR0020	Failure to improve adult protection safeguarding practices											12
STR0001	Budget Control Failure: financial pressures due to cuts to Central Government and CBC identifying savings.	20	16	16	16	12	12	12	12	12	10	
STR0005	The implications of failing to act on the waste agenda.	12	9	9	9	9	9	9	9	9	9	
STR0008	Significant loss or ICT failure of core business systems including but not limited to: SAP, ECM, CCMS, SWIFT, Tribal, Accolaid, Open Revenues, QL Housing.	8	8	9	9	9	9	9	9	9	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	8	8	8	8	8	
STR0017	Failure to effectively manage the transfer of responsibilities for Public Health Services to the Council.						8	8	8	8	8	
STR0018	Lack of application of robust project assurance and robust management arrangements for commissioned projects.						12	12	12	12	6	

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	RES050009	Insufficient staff resources/capacity to deliver ICT services due to unconstrained project resource demands.
7	RES050008	Insufficient staff resources/capacity to respond to ICT incidents, changes and planned project work due to financial pressures facing the team, having to achieve "more for less".
8	RES0018	Failure to meet legal requirements: Ability to respond to changes in legislation affecting finances i.e. NNDR, CT, Public Health.
9	RES020006	Insufficient capacity to deliver an effective procurement service.
10	RES030017	Failure to improve/manage performance due to welfare reform - Revenues and Benefits.
11	RES020005	Failure to obtain value for money through inadequate compliance with procurement processes and procedures or deliberate avoidance/ fraudulent behaviours.
12	RES020009	Failure of key supplier as the company pulls out of agreement without prior notice or becomes insolvent and ceases trading.

Key

- New Risk
- Current Position
- Previous Position

Top Operational Risk Tracker												
Reference	Nature of Risk	2011/12					2012/13					
		Feb	June	Aug	Nov	Mar	June	Aug	Nov	Mar		
RES060008	Loss of revenue/income generation affecting the Asset Disposals Programme i.e. cautious buyers, prolonged completion periods, and a depressed market nationally.					20	20	20	20	20		
SCH0004	Insufficient staff resources resulting in under or mis-direction of investment in the transformation of adult social care services.					16	16	16	16	16	16	
SCH0007	Partnerships: failure to establish a common vision with health and the delivery of joint commissioning strategies.					16	16	16	16	16	16	
SCH0008	Insufficient capacity, expertise and competency to deliver Adult Social Care and Housing agenda.					16	16	16	16	16	16	
SCH0005	Failure to develop a social care market to deliver positive outcomes and choices for people.					16	16	16	16	16	16	
RES050009	Insufficient staff resources/capacity to deliver ICT services due to unconstrained project resource demands.						16	16	16	16	16	
RES050008	Insufficient staff resources/capacity to respond to ICT incidents, changes and planned project work due to financial pressures facing the team, having to achieve "more for less".										16	
RES0018	Failure to meet legal requirements: Ability to respond to changes in legislation affecting finances i.e. NNDR, CT, Public Health.					15	15	15	15	15	15	
RES020006	Insufficient capacity to deliver an effective procurement service.					15	15	15	15	15	15	
RES030017	Failure to improve/manage performance due to Welfare Reform - Revenues and Benefits.					15	15	15	15	15	15	
RES020005	Failure to obtain value for money through inadequate compliance with procurement processes and procedures or deliberate avoidance/ fraudulent behaviours.						15	15	15	15	15	
RES020009	Failure of key supplier as the company pulls out of agreement without prior notice or becomes insolvent and ceases trading.								15	15	15	

Overview of Risk Position - March 2013

The risks with the highest residual score are STR0016- Core Infrastructure failure and STR0003 - Failure to deliver the planned growth targets.

The following risks have been rescored:

STR0001 - Budget Control Failure

STR0003 - Growth

STR0018 - Project Management

Revisions to the descriptions or mitigating actions have been made for the following risks:

STR0003 - Growth

STR0005 - Waste

STR0008 - ICT application failure

STR0010 - Protecting Children

STR0013 - Information Management

STR0016 - ICT Core Infrastructure failure

STR0018 - Project Management

The following strategic risks have been removed:

STR0002 - Failure to improve Adult Social Care Performance

STR0011 - Shared Services

STR0015 - Localism

The following strategic risk has been added:

STR0020 - Failure to improve adult safeguarding practices

The most noteworthy operational risks facing CBC are highlighted. There has been no change to the risk scores since last reported. An additional risk has been added - RES050008 - Insufficient ICT staff resources. The highest operational risk relates to the potential loss of revenue/income generation within the Assets Disposal Programme (RES060008).

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