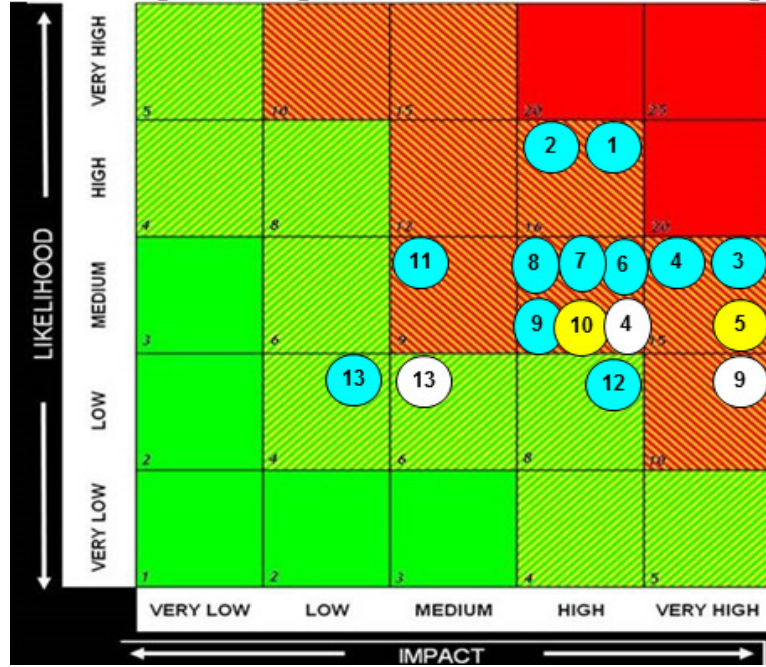


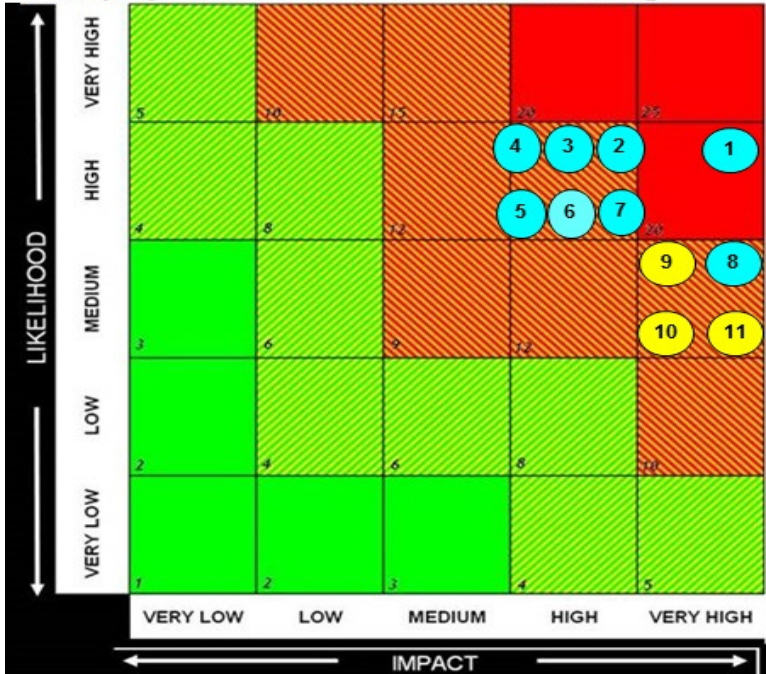
### CBC Strategic Risk Register Matrix - Residual Risk Rating



Key		
#	Reference	Nature of Risk
1	STR0003	Growth: a risk that failure to adopt a 'sound' Development Strategy and subsequently deliver the levels of housing, jobs or infrastructure proposed for growth and regeneration of the area in a planned way.
2	STR0008	Failure or disruption to key parts of the Council's ICT systems.
3	STR0019	Failure to deliver effective and cohesive Health and Social Care to local residents.
4	STR0013	Information Management: a lack of consistent information management and data accuracy across the organisation and the risk of non-compliance with the Data Protection Act.
5	STR0023	Customer Contact Centre Service Management - risk of decrease in service provision and quality.
6	STR0006	Health & Safety: a risk that failure of members, managers and employees to recognise their responsibilities to fully comply with health and safety legislation.
7	STR0010	Failure to respond to increasing cases and implement child protection procedures due to insufficient resources and professional/ skilled workforce.
8	STR0020	Failure to improve adult protection safeguarding practices.
9	STR0001	Significant reduction in or redirection of funding due to Central Government cuts, or loss of grant or other funding e.g. Health funding, Schools' finance Regulations
10	STR0022	Procurement service fails to deliver best value through its strategic delivery processes.
11	STR0005	The implications of failing to act on the waste agenda.
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	STR0015	Localism: responding to the challenges of the Localism Act will require innovation in service delivery and a greater exposure to risk.

Strategic Risk Tracker		2012/13					2013/14	
Reference	Nature of Risk	June	Aug	Nov	Mar	Dec		
STR0003	Growth: a risk that failure to adopt a 'sound' Development Strategy and subsequently deliver the levels of housing, jobs or infrastructure proposed for growth and regeneration of the area in a planned way.	12	12	12	16	16		
STR0008	Failure or disruption to key parts of the Council's ICT systems.					16		
STR0019	Failure to deliver effective and cohesive Health and Social Care to local residents.		15	15	15	15		
STR0013	Information Management: a lack of consistent information management and data accuracy across the organisation and the risk of non-compliance with the Data Protection Act.	12	12	12	12	15		
STR0023	Customer Contact Centre Service Management - risk of decrease in service provision and quality.					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.	12	12	12	12	12		
STR0010	Failure to respond to increasing cases and implement child protection procedures due to insufficient resources and professional/ skilled workforce.	9	9	12	12	12		
STR0020	Failure to improve adult protection safeguarding practices.					12	12	
STR0001	Significant reduction in or redirection of funding due to Central Government cuts, or loss of grant or other funding e.g. Health funding, Schools' finance regulations.	12	12	12	10	12		
STR0022	Procurement service fails to deliver best value through its strategic delivery processes.					12		
STR0005	The implications of failing to act on the waste agenda.	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		
STR0015	Localism: responding to the challenges of the Localism Act will require innovation in service delivery and a greater exposure to risk.	9	9	9	6	4		

### 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. NDR, CT, Public Health.
9	CUST0002	Failure to retain and recruit staff to customer services.
10	CUST0003	Service disruption risks as a result of the relocation of the Contact Centre.
11	LEG0001	Failure to provide effective legal support in respect of vulnerable children owing to lack of specialist staff.

Top Operational Risk Tracker		2012/13					2013/14	
Reference	Nature of Risk	June	Aug	Nov	Mar	Dec		
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		
SCH0007	Partnerships: failure to establish a common vision with health and the delivery of joint commissioning strategies.	16	16	16	16	16		
SCH0008	Insufficient capacity, expertise and competency to deliver Adult Social Care and Housing agenda.	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		
ICT0002	Insufficient staff resources/capacity to deliver ICT services due to unconstrained project resource demands.	16	16	16	16	16		
ICT0001	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	16	
RES0018	Failure to meet legal requirements: Ability to respond to changes in legislation affecting finances i.e. NDR, CT, Public Health, Welfare Reform.	15	15	15	15	15		
CUST0002	Failure to retain and recruit staff to customer services.					15		
CUST0003	Service disruption risks as a result of the relocation of the Contact Centre.					15		
LEG0001	Failure to provide effective legal support in respect of vulnerable children owing to lack of specialist staff.					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)

#### Key

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

#### 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

#### Overview of Risk Position - November 2013

The risks with the highest residual score are:

- STR0003 - Failure to deliver the planned growth target, and
- STR0008 - Failure or disruption to key parts of the Council's IT systems.

The following risks have been rescored:

- STR0001 - Significant reduction or redirection in funding
- STR0013 - Information Management
- STR0015 - Localism

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

- STR0001 - Funding
- STR0003 - Growth
- STR0008/16 - ICT application failure
- STR0010 - Protecting Children
- STR0013 - Information Management
- STR0015 - Localism

The following strategic risks have been removed:

- STR0017 - Public Health transfer
- STR0018 - Project assurance/management arrangements

The following strategic risks have been added:

- STR0022 - Failure to deliver best value through Procurement, and
- STR0023 - Service disruption risks associated with relocation of Contact Centre.

The matrix above highlights the most noteworthy operational risks facing CBC. The highest operational risk relates to the potential loss of revenue/income within the Assets Disposal Programme.