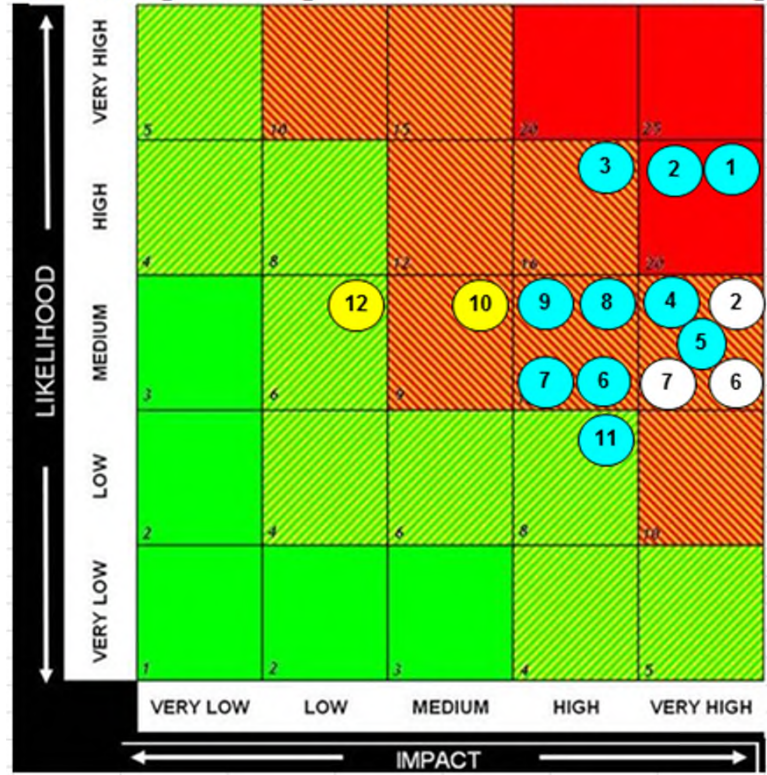


CBC Strategic Risk Register Matrix - Residual Risk Rating



Key
 New Risk (Yellow circle)
 Current Position (Blue circle)
 Previous Position (White circle)

Key		2012/13				2013/14		2014/15	
#	Reference	Nature of Risk	June	Aug	Nov	Mar	Dec	Mar	Sept
1	STR0024	Assets Disposal Programme - Failure to achieve capital receipts.						20	20
2	STR0019	Failure to deliver effective and cohesive Health and Social Care to local residents.		15	15	15	15	15	20
3	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	16	16
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.	12	12	12	12	12	15	15
5	STR0010	Failure to respond to caseloads and implement child protection procedures due to shortages of professional/skilled workforce.	9	9	12	12	12	15	15
6	STR0008	Failure or disruption to key elements of core infrastructure (data centre, environment and networks) leading to no functionality for more than 24 hours.					16	15	12
7	STR0013	Information Management: a lack of consistent information management and data accuracy across the organisation leading to non compliance with the Data Protection Act and a breach of	12	12	12	12	15	15	12
8	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	12	12
9	STR0022	Failure to adhere to Procurement Rules.					12	12	12
10	STR0026	Deprivation of liberty safeguards: a failure to ensure that vulnerable peoples' liberty is not inappropriately denied.							9
11	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
12	STR0025	Failure of effective transfer of BUPA managed care homes to the Council - including the transfer of staff.							6

Overview of Risk Position - August 2014

The risks with the highest residual score are:
 STR0024 - Assets Disposal Programme
 STR0019 - Failure to deliver effective and cohesive Health and Social Care to residents

The following risks have been rescored:
 STR0008 - ICT Failure
 STR0013 - Information Management
 STR0019 - Failure to deliver effective and cohesive Health and Social Care to residents

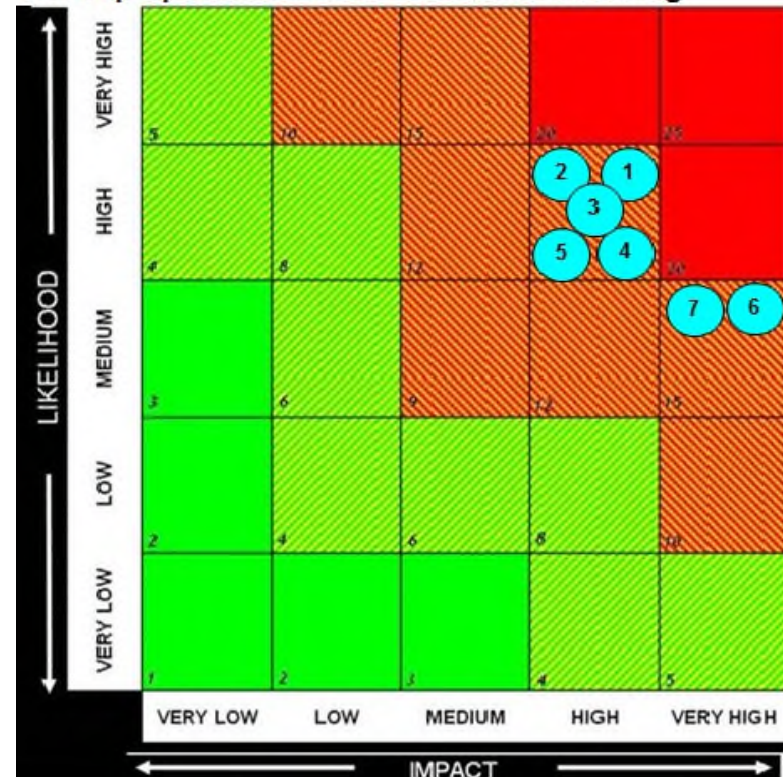
The following risk has been removed:
 STR0020 - Failure to improve Adult Social Care safeguarding practices

The following risks have been added:
 STR0025 - BUPA Home Transfer
 STR0026 - Deprivation of Liberty Safeguarding judgement

Revisions to the descriptions or mitigating actions have been made to the following risks:
 STR0001 - Significant reduction or redirection of funding
 STR0003 - Growth
 STR0009 - Partnerships
 STR0010 - Protecting Children

The matrix also highlights the most noteworthy operational risks facing CBC.

CBC Top Operational Risks - Residual Risk Rating



Key		2012/13				2013/14		2014/15	
#	Reference	Nature of Risk	June	Aug	Nov	Mar	Dec	Mar	Sept
1	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	16
2	SCH0007	Partnerships: failure to establish a common vision with health and the delivery of joint commissioning strategies.	16	16	16	16	16	16	16
3	SCH0008	Insufficient capacity, expertise and competency to deliver Adult Social Care and Housing agenda.	16	16	16	16	16	16	16
4	SCH0005	Failure to develop a social care market to deliver positive outcomes and choices for people.	16	16	16	16	16	16	16
5	CHS0005	Failure to retain and recruit staff within the area of Children's Services.						16	16
6	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	15
7	LEG0001	Failure to provide effective legal support in respect of vulnerable children owing to lack of specialist staff.					15	15	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