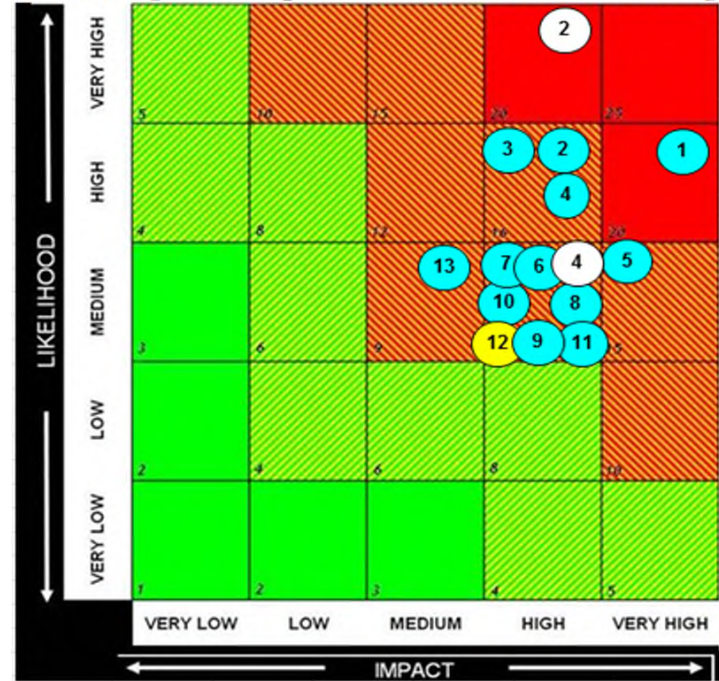


CBC Strategic Risk Register Matrix - Residual Risk Rating



#	Reference	Nature of Risk	Key									
			2012/13			2013/14			2014/15			
			June	Aug	Nov	Mar	Dec	Mar	Sept	Dec	Mar	
1	STR0019	Failure to deliver effective and cohesive Health and Social Care to local residents.		15	15	15	15	15	15	20	20	20
2	STR0027	Failure to adopt a Community Infrastructure Levy (CIL) .									20	16
3	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	16	16
4	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	12	16	16
5	STR0010	Failure to recruit and retain professional and qualified social workers and discharge the Council's statutory children's safeguarding responsibilities.	9	9	12	12	12	15	15	15	15	15
6	STR0024	Assets Disposal Programme - Failure to achieve capital receipts.								20	12	12
7	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	12	12	12
8	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	12	12
9	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 information security.	12	12	12	12	15	15	12	12	12	12
10	STR0001	Continuing 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	12	12	12
11	STR0022	Failure to adhere to Procurement Rules.						12	12	12	12	12
12	STR0028	Failure to deliver the requirements of the Care Act 2014										12
13	STR0026	Deprivation of liberty safeguards: a failure to ensure that vulnerable peoples' liberty is not								9	9	9

Overview of Risk Position - March 2015

The risk with the highest residual score is: STR0019 - Failure to deliver effective and cohesive Health and Social Care to residents

The following risks have been rescored: STR0027 - Failure to adopt a CIL levy
STR0003 - Growth

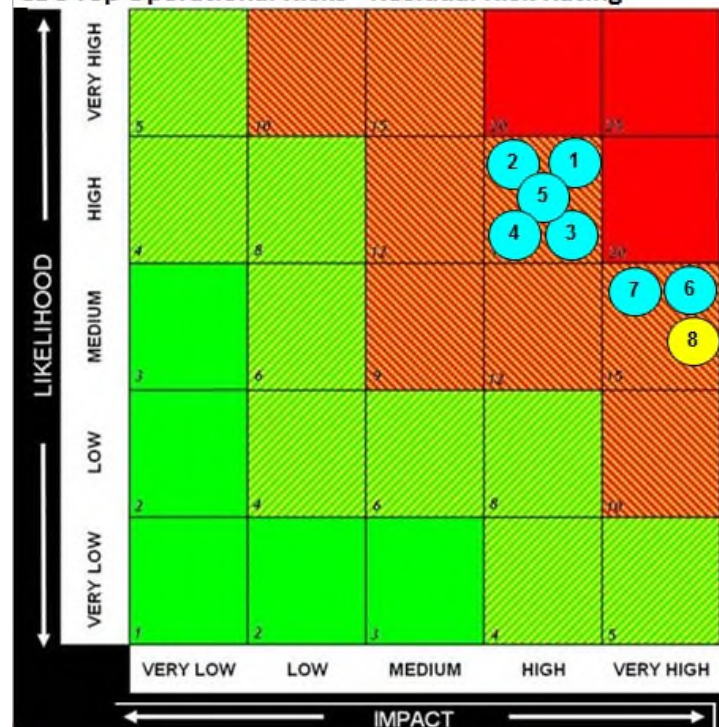
The following risk has been added: STR0028 - Failure to deliver the requirements of the Care Act 2014

The following risk has been removed: STR0025 - Transfer of BUPA managed care homes

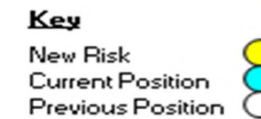
Revisions to the descriptions or mitigating actions have been made to the following risks: STR0001 - Continuing significant reduction or redirection of funding
STR0003 - Growth
STR0022 - Procurement
STR0024 - Asset Disposal programme

The matrix also highlights the most noteworthy operational risks facing CBC. The risk of failing to manage and secure information leading to security alert and privacy breaches within Children's Services has been added.

CBC Top Operational Risks - Residual Risk Rating



#	Reference	Nature of Risk	Key									
			2012/13			2013/14			2014/15			
			June	Aug	Nov	Mar	Dec	Mar	Sept	Dec	Mar	
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	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	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	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	16	16	16
5	CHS0005	Failure to retain and recruit staff within Children's Services.								16	16	16
6	RES0018	Failure to meet legal requirements: Ability to respond to changes in legislation affecting finances i.e. NDR, CT, Public Health.	15	15	15	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	15	15
8	CHS0023	Failure to manage and secure information leading to security alert and privacy breach.										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