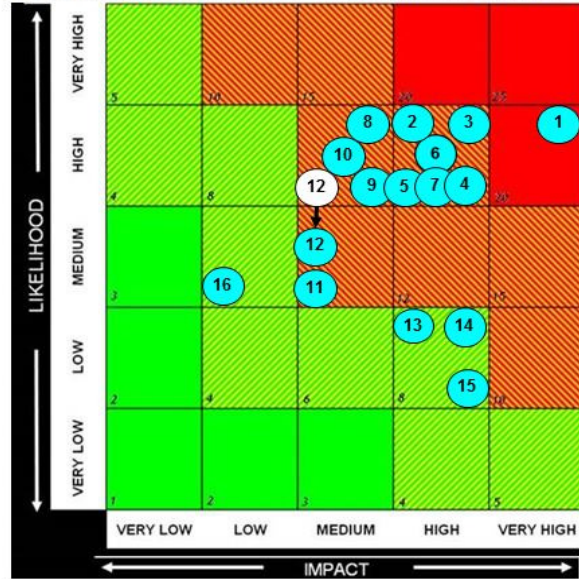


CBC Strategic Risk Register - Residual Risk Rating



| Key | | 2014/15 | | | 2015/16 | | | 2016/17 | | | | |
|-----|-----------|--|------|-----|---------|------|-----|---------|-----|-----|-----|-----|
| # | Reference | The | Sept | Dec | Mar | Sept | Dec | Mar | May | Aug | Dec | Mar |
| 1 | STR0019 | The risk to the Health and Social Care System and local residents brought about by significant changes in the National Health system. | 20 | 20 | 20 | 20 | 20 | 20 | 20 | 20 | 20 | 20 |
| 2 | 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 | 16 | 16 | 16 | 16 | 16 | 16 | 16 |
| 3 | STR0035 | Failure to deliver major transformation programme within Children's Services. | | | | | | | 16 | 16 | 16 | 16 |
| 4 | STR0036 | Failure to deliver social cohesion. | | | | | | | 16 | 16 | 16 | 16 |
| 5 | 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 | 16 | 16 | 16 | 16 | 16 | 16 | 16 | 16 | 16 |
| 6 | STR0027 | Failure to adopt a Local Plan and Community Infrastructure Levy (CIL) . | 20 | 16 | 16 | 16 | 16 | 16 | 16 | 16 | 16 | 16 |
| 7 | STR0032 | Unsustainable market for social care. | | | | | | | 12 | 16 | 16 | 16 |
| 8 | STR0039 | Failure to manage demand for rented and specialist accommodation as a consequence of constrained housing supply. | | | | | | | | 12 | 12 | 12 |
| 9 | STR0037 | Failure to support vulnerable people and families, which results in higher demand for more intensive services. | | | | | | | 9 | 12 | 12 | 12 |
| 10 | STR0040 | Political and economic uncertainty arising from UK leaving EU and other significant international events. | | | | | | | | | 12 | 12 |
| 11 | STR0031 | The capacity of the Council to deliver services in the light of further shifts in Government Policy. | | | | | | | 9 | 9 | 9 | 9 |
| 12 | STR0038 | Ineffective partnership response to Emergency Planning. | | | | | | | 12 | 12 | 12 | 9 |
| 13 | STR0008 | Failure or disruption to key elements of core infrastructure (data centre, environment and networks) leading to no functionality for more than 24 hours. | 12 | 12 | 12 | 8 | 8 | 8 | 8 | 8 | 8 | 8 |
| 14 | 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 | 8 | 8 | 8 | 8 | 8 | 8 | 8 |
| 15 | STR0034 | Failure to deliver the Organisational Development Plan. | | | | | | | 8 | 8 | 8 | 8 |
| 16 | STR0033 | The impact of cyber crime. | | | | | | | 6 | 6 | 6 | 6 |

Overview of Risk Position - March 2017

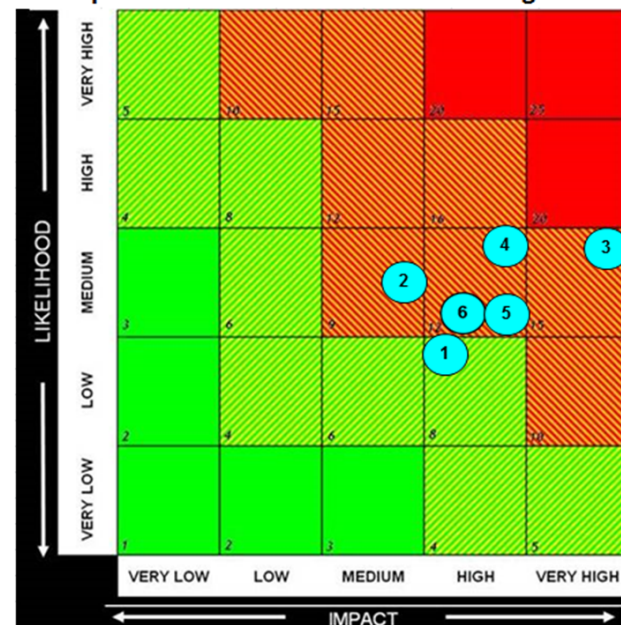
The risk with the highest residual risk score remains: STR0019 - The risk to the Health and Social Care System and local residents brought about by significant changes in the National Health system.

STR0038 - The risk of an ineffective response to emergency planning has been rescored.

Revisions to the descriptions or mitigating actions/further actions have been made to the following risks:
 STR0027 - Failure to adopt a Local Plan and CIL
 STR0032 - Unsustainable market for social care
 STR0035 - Failure to deliver major transformation programme within Children's Services
 STR0036 - Failure to deliver social cohesion

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

CBC Operational Risks - Residual Risk Rating



| Key | | 2014/15 | | | 2015/16 | | | 2016/17 | | | | |
|-----|------------|---|------|-----|---------|------|-----|---------|-----|-----|-----|-----|
| # | Reference | Nature of Risk | Sept | Dec | Mar | Sept | Dec | Mar | May | Aug | Dec | Mar |
| 1 | CHS0005 | Failure to retain and recruit staff within Children's Services. | 16 | 16 | 16 | 16 | 16 | 16 | 16 | 8 | 8 | 8 |
| 2 | CHS0023 | Failure to manage and secure information leading to security alert and privacy breach. | | | | 15 | 15 | 15 | 15 | 9 | 9 | 9 |
| 3 | SUC030007 | Traffic accidents causing damage to network | 12 | 12 | 12 | 15 | 15 | 15 | 15 | 15 | 15 | 15 |
| 4 | 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 | 12 | 12 | 12 | 12 |
| 5 | SCH0008 | Insufficient capacity, expertise and competency to deliver Adult Social Care and Housing agenda. | 16 | 16 | 16 | 16 | 16 | 16 | 12 | 12 | 12 | 12 |
| 6 | COMS040008 | Assets - Non realisation of capital receipts. | 20 | 12 | 12 | 12 | 12 | 12 | 12 | 12 | 12 | 12 |

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

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 |

APPENDIX A