CS&T RISK REGISTER - APPENDIX 1

Details of Risk			Residual Risk			Actions				
Risk No.	Risk Description	Key Controls	Probability	Impact	Residual Score	Description	Action Owner	Target Date	Revised Target Date	Action Status
1	Non compliance with legislative and regulatory requirements	LGSS legal team robust and up to date with appropriate legislation. Monitoring Officer role Code of Corporate Governance Community Impact Assessments required for key decisions Communications to staff on key legislation Approach to undertaking robust consultation and completing community impact assessments agreed by SMT. SMT Report Template updated to ensure that responsibilities under Equalities Act 2010 are identified and represented properly in Council decision making	2	4	8					

Details of Risk		Key Controls	Residual Risk			Actions				
Risk No.	Risk Description		Probability	Impact	Residual Score	Description	Action Owner	Target Date	Revised Target Date	Action Status
2	Information Management	Governance: Senior Information Responsible Officer (SIRO), Chief Information Officer (CIO), Corporate Information Management Team encompassing Information Management, Information Governance, Records Management, policies confirming responsibilities (see below) Data protection registration requirements Policies: Data Protection, Freedom of Information, Information Security Incidents, Mobile Devices, Code of conduct, Retention schedules, IT security related policies (computer use, email) Procedures: FOI, Subject Access Request Handling, Records Management, service level operational procedures Tools: Encrypted laptops and USB sticks, secure email and file transfer solutions, asset registers (USB sticks, encrypted laptops) Training and awareness: Data Protection, information security, information sharing, Freedom of Information and Environmental Information Requests Advice: Information Management advice service (IM, IG, RM, security), Information Management addressed via the Gateway project assessment process. Information Management Strategy Establishment of a information governance structure, with clearly defined roles and responsibilities and escalation routes (including system ownership). Information Audit has identified critical information assets and information flows and correlate with business continuity plans, system owners responsibilities and accountabilities. Cambridgeshire Information Sharing Framework finalised and launched. Implementation of an information governance awareness and prevention programme. Audit / QA check of IG accountabilities across teams.	3	3	9	1. Roll out of Electronic Document Records Management (EDRM) to manage the information lifecycle (including information standards).	CIM	Dec-14		G

Risk No.	Risk Description	Key Controls	Probability	Impact	Residual Score	Description	Action Owner	Target Date	Revised Target Date	Action Status
	Details of Risk		**Residual Risk**			**Actions**				
3	Workforce Reduction & Skills Retention	Comprehensive Redundancy policies covering each aspect of the redundancy process – fully updated in April 2011	3	3	9	1. All restructures to be produced with HR involvement using standard consultation documentation.	All HoS			
		Employee guidance pack available for employees which gives comprehensive information on the redundancy process, prior consideration and sources of support				2. Project Plans to be kept under review.	All HoS			
		Fixed Term contracts used				3. Additional income sought to help budget levels to aid recruitment / maintenance of posts.	All HoS			
4	Business Planning 2015/16	Robust leadership with clear vision and priorities set.	2	5	10	1. All budget proposals to be made in time for inclusion in Business Plan / Budget approval by Cabinet and Council.	All HoS	Sep-14		
		Clear communication of requirements of business planning process				2 Regular business planning discussions at CS&T management team	CD CST			
		Strong engagement with Lead Members				3 Regular engagement with Group Leaders and GPC Members	CD CST			
5	Business Plan 2014/15	Robust service planning.	1	5	5	1. Budget monitoring and service revision to ensure delivery of Business Plan.	All HoS			
		Performance Management.								
		Integrated Resources and Performance Reports / Budget Monitoring.								

Details of Risk			Residual Risk			Actions				
Risk No.	Risk Description	Key Controls	Probability	Impact	Residual Score	Description	Action Owner	Target Date	Revised Target Date	Action Status
6	Communication	Liaison with directorates that identifies key communication issues for public	3	2	6	1. Communications review and restructure	HoC&CE	Jan-14	Completed	G
		Communications embedded into Spokes meetings process				2. Review approach to communications under new Committee System and agreement of medis protocol	HoC&CE	May-14	Completed	G
		24hr on call service, and monitoring of social media interaction				3. Input to training for Chairmen/women on communications and media handling	HoC&CE/DS	Jun-14		G
		Liaison with contact centre to identify and respond to trends in customer contact								
		Communication changes to service provision that directly impacts communities								
						4. New Communications and Engagement Strategy	HoC&CE	Sep-14		G
7	Business Disruption	Business Continuity arrangements including Plans (ongoing updating and reviews)	2	4	8	1. Review and update service BCPs and identify issues for inclusion in the Directorate BCP.	HoS	Feb-14		
		Corporate communication channels				2. Services to review their key activities, priorities and resources required to deliver them.	HoS	Mar-14		
		Multi-agency collaboration through the Cambridgeshire & Peterborough Local Resilience Forum (CPLRF)				3. Services to review IT systems identified as priority systems in BCP preparation.	HoS	Aug-14		
		Exemptions agreed with the Unions								
		Additional specific preparations put in place ahead of the Tour de France - Monday 7th July				4. Adjustments to staffing and systems identification of key personnel and their location for the day. Detailed staff planning to ensure sufficient and appropriate staff in position.	HoS	Jun-14		

RISK R

VERSION NUMBER		VERSION DATE		AGREED BY	
1		Jun-12		SMT	

REGISTER VERSION HISTORY

FURTHER DETAILS
First version in new format

RISK SCORING MATRIX

VERY HIGH (V)	5	10	15	20	25
HIGH (H)	4	8	12	16	20
MEDIUM (M)	3	6	9	12	15
LOW (L)	2	4	6	8	10
NEGLIGIBLE	1	2	3	4	5
IMPACT / **LIKELIHOOD**	**VERY RARE**	**UNLIKELY**	**POSSIBLE**	**LIKELY**	**VERY LIKELY**

Red scores - excess of Council's risk appetite – action needed to redress, quarterly monitoring
Amber scores – likely to cause the Council some difficulties – quarterly monitoring
Green scores – monitor as necessary

Descriptors to assist in the scoring of risk impact are detailed below

Likelihood scoring is left to the discretion of managers as it is very subjective

IMPACT DESCRIPTORS
The following descriptors are designed to assist the scoring of the impact of a risk:

	Negligible (1)	Low (2)	Medium (3)	High (4)	Very High (5)
Legal and Regulatory	Minor civil litigation or regulatory criticism	Minor regulatory enforcement	Major civil litigation and/or local public enquiry	Major civil litigation setting precedent and/or national public enquiry	Section 151 or government intervention or criminal charges
Financial	<£0.5m	<£1.0m	<£5m	<£10m	>£10m
Service provision	(a) Insignificant disruption to service delivery	(a)Minor disruption to service delivery	(a) Moderate direct effect on service delivery	(a) Major disruption to service delivery	(a) Critical long term disruption to service delivery
People and Safeguarding	No injuries	Low level of minor injuries	Significant level of minor injuries and/or instances of mistreatment or abuse of an individual for whom the Council has a responsibility	Serious injury and/or serious mistreatment or abuse of an individual for whom the Council has a responsibility	Death of an employee or individual for whom the Council has a responsibility or serious mistreatment or abuse resulting in criminal charges
Reputation	No reputational impact	Minimal negative local media reporting	Significant negative front page reports/editorial comment in the	Sustained negative coverage in local media or negative	Significant and sustained local opposition to the Council's policies

			comment in the local media	negative reporting in the national media	policies