

Priority Link	Risk Description	Service Area	Impact Description	Impact	Likelihood	Risk Score	Responsibility	Measures and Assurance	Measures and Assurance Assignment	Mitigating Actions planned	Mitigation Date	Reported To and Frequency
Economic Growth	Potential risk to the delivery of major schemes due to reduced levels of public regeneration funding	Economic Growth	Inability to progress major regeneration schemes resulting in failure to safeguard or create employment opportunities	4	3	12	Hardy, Nik;	Ongoing dialogue with relevant funding bodies and stakeholders.	Hardy, Nik;	1. Continuation of dialogue with key stakeholders and funding bodies. 2. Identification of other possible means to delivery. 3. Applying for Business Rates pilot. 4. Potential private sector funding. 5. LEP growth Deal. 6. Alternative delivery model designed for private sector investment.	29/06/2018	SMT monthly
Performance	Significant unbudgeted expenditure arising from severe weather conditions.	Corporate	Further deterioration of sea defences and impact on low lying coastal properties and land. Landslips occurring following severe weather Cost of business disruption e.g. NNDR collection Increase cost of business as usual services and customers as resource is used to support	4	4	16	Nicholson, Catherine;	Extent of damage identified and external funding opportunities being explored Report produced identifying issues and options and circulated to Director Following Storm Desmond and flooding in December 2015 the Bellwin scheme has been activated for Cumbria. This scheme will provide additional financial support associated with response works undertaken between the start of the incident and up to 1 month after the end of the official response stage. A finance sub-group with members from all Cumbrian Authorities has been set up in response to recent storms and flooding, this allows the sharing of knowledge and best practice. This group will also be responsible for identifying additional funding for the recovery phase (works required to land/property, loss of income from taxation and business interruption). Where works are required to be undertaken, these are recorded and costs estimated to ensure that financing can be identified, either from external sources identified by the finance sub-group or from Allerdale BC's budget and internal resources. Bellwin now submitted and awaiting settlement. no queries to date. Major incident budget created for 16/17	Nicholson, Catherine;	Funding opportunities to support the repair/replacement of damaged sea defences still being explored. Awaiting confirmation from Environment Agency. STILL OUTSTANDING Action has been taken to address highest risk area (Well Lane, Maryport). Topographic survey and initial appraisal have been undertaken. Inspection has revealed further structural inspections will be required and additional works will be required additional to the original anticipated costs. Consultants are acting in connection with the identified additional works. Provision for this additional cost is being made in 2016/17 budget. UPDATE MAY 17: Well Lane now complete. No further work required at this stage. Possible retentions for 6-12 month period. Finance Sub-group set up (following Storm Desmond) to identify additional funding for recovery phase - NOW DISBANDED	01/09/2017	SMT monthly
Performance	Inability to deliver the council plan due to the consequences of Brexit	Corporate	strategic priorities are not met improvements are not made lives in allerdale are not improved cannot deliver value for money reduced growth	4	3	12	Hardy, Nik;	Scenario planning session completed with Assurance, Risk and Audit Manager. Staff briefing sessions held on 12th and 15th July 2016 and a further session held in August 2017	Frost, Ian;Hardy, Nik;	Key Officers must remain part of discussions with stakeholders The situation will be monitored through the creation of the Strategy, Policy and Performance team - regular topic specific meetings have/ are being held Information updates from professional bodies should be shared with SMT on a regular basis Identify strategy setting groups and ensure we are part of these discussions. Involve more people in the information updates.	09/03/2018	Monthly at SMT
Performance	Failure to align adequate people resources to council strategic priorities.	OD and Transformation	Strategic Priorities and associated outcomes are not delivered Transformation programme is not delivered. Services fail to grow or be as efficient as required.	3	3	9	Seekings, Andrew;	Current performance management framework ensures that key issues and challenges facing the Council drives Council Plan and service plan priorities. Project approach is taken to delivering Council Plan and regular monitoring of budgets and performance is in place. Deployment of appropriate people resources is considered as part of programme/project set up New performance/behaviours framework in place	Seekings, Andrew;	•Review OD strategy Resource allocation considered as part of project management •Review WGLL with managers group. •Performance against strategic priorities monitored on a regular basis at SMT.	30/09/2018	SMT monthly Executive quarterly
Strengthening our economy	Information is not managed in line with policy, procedure and regulatory requirements. Failure to deliver the requirements of the Data Protection Regulations.	OD and Transformation	1. Breach of GDPR & financial implications. 2. Reputation, trust & confidence. 3. Fines. 4. Commercial sensitive information. 5. Damage to relationship with partners we work with possibly won't work with us again. 6. Potential loss of staff through dismissal. 7. ICO investigation. 8. Loss/misuse of personal data. 9. Loss of business time. 10. Could be put into special measures. 11. Substantial fine 12. Potential fraud.	4	3	12	Hardy, Nik;	1. GDPR framework and internal policies. 2. Process & procedures. 3. Review what we have and why we hold it. 4. Audit process. 5. Retention policy. 6. ICT policies. 7. Data sharing protocol. 8. Project group established.	Hardy, Nik;	Project Running: 1. Education/training. 2. Awareness. 3. Reviews. 4. Monitoring. 5. E-Learning. 6. Team meetings. 7. Regular updates. 8. Procedures in place to ensure policies adhered to. 9. Review what we hold. 10. Learn from others. 11. Reminders for staff about managing data. 12. Managers consistency. 13. Highlighting consequences (to staff and also those whose data is stolen etc). 14. Campaign. 15. Repetative testing. 16. Acknowledgement of understanding.	31/05/2018	SMT Monthly Programme Board
Strengthening our economy	Failure to engage community in the planning process.	Development Services	Delays and costs associated with objections and challenges to planning applications and site allocations. Impact on delivery of the Council's growth ambitions for housing and employment land. Adverse impact on the Council's reputation. Impact on Council Tax, NNDR and New Homes Bonus received.	3	3	9	Kerrigan, Kevin;	Improved community consultation and engagement. Member engagement in development of Local Plan through Planning Policy Working Group. Training for Development Panel members - including applications review workshops. Appropriate level of detail in Development Panel reports. Regular planning case management meetings Wording of planning application correspondence reviewed. Appeal decision reviews circulated to members. Moved to 4 week cycle for Development Panel with morning sessions focussed on member training, application review workshops and the introduction of pre-application engagement with developers on major schemes.	Kerrigan, Kevin;	Increased engagement with Town and Parish Council's to assist in explaining the planning system and the reasons for decisions. 1. Community email/newsletter that people sign up to to get more information. 2. publicise the decision making process/grounds for objectives. 3. more social media communication. 4. give public facing staff a route to feedback from conversations within the community - concepts to be developed following appointment to new post of Planning Implementation Manager.	30/03/2018	SMT monthly

Sustainable business	Failure to establish cost effective waste and recycling, street cleansing and grounds maintenance services in Allerdale, delivering to the needs of the local community	Community Services	The contracting arrangements currently in place providing for waste and recycling (including recycling reprocessing), street cleansing and grounds maintenance terminate on 31 March 2019. A new business delivery model will need to be commissioned to enable these key services to be delivered with an affordability saving of £1m from the current cost. Failure to commission these services, on time and cost, will have a significant negative impact on the business of the Council.	4	4	16 Holmes, Charles;	The delivery model selected is the procurement of a performance based services contracting arrangement. A competitive dialogue process has been selected which enables detailed dialogue with companies tendering for the services and provides an opportunity to achieve the affordability criteria and the service delivery requirements Costs (legal, technical and financial) of procurement have been identified and resources allocated with external support procured through the BLOOM framework. The project management arrangements include a detailed risk register outlining the individual project risks associated with the delivery of the project. These are reviewed weekly at the Project Team Meetings and Fortnightly at the Project Board meetings.	Banks, Neil;	Competitive Dialogue will be undertaken prior to the submission of refined and then detailed solutions. This phase will further develop the services to be delivered through the services agreement; the projected contract cost through the pricing schedule and the contractor performance through the performance management framework.	08/10/2018	Risk reported to weekly community services business delivery model project group and monthly meetings of the project board.
Sustainable business	Failure to continue providing value for money for expenditure	OD and Transformation	Inability to fulfil statutory obligations. Cease discretionary services. Cannot succeed as a council. Unable to achieve plans, loss of key staff and/or services, further use of reserves. Waste due to inefficient processes.	4	3	12 Frost, Ian;	5 Year sustainability plan agreed by Executive. Reserves above minimum level. Star Chamber approach adopted to improve accountability and responsibility for budget management. Tailor made financial workshops for budget holders quarterly. Budget timetable and reporting managed effectively. Forecasting out puts examined and challenged at SMT regularly. Increasing demand for monthly performance indicator information at SMT monthly to drive efficiency and effectiveness. Sector advisors – treasury guidance. Reducing spend programme – monitored. The Commercial and Commissioning Boards should drive cost and time performance information relating to value for money and productivity. This should include detailed business cases and options appraisals to support informed decision making. Council plan projects and new areas of business activity should be subject to a structured options appraisal using the programme office methodology to encourage innovation and the consideration of alternative business and delivery models. Projects should include clear measurable, agreed outputs to demonstrate the value added by the expenditure. Risk information in the Corporate Risks and Issues Log should be refreshed on an ongoing basis as changes occur to ensure it reflects current risk management activities. A risk evaluation of the high risks (red) should be completed by the Senior Management Team monthly. Minimum reserve position and self sufficiency targets monitored and reviewed by S151 Officer on risk basis	Frost, Ian;	SMT are developing an Organisational Development Plan to support the drive for efficiency and growth. Value for Money will be a key driver for these plans. 1. Transformation Board manages the budget. 2. In service review. 3. Improvement Workshops - SMT to pilot. 4. Elaine to design - commissioning/procurement training.	01/09/2017	SMT monthly Executive quarterly
Sustainable business	Business continuity plans do not meet business needs	Corporate	The Council does not comply with its duties as a Category 1 Responder under CCA. Priority services are not maintained. Resulting in bad publicity and loss of confidence in management, delayed income collection, increased unbudgeted expenditure costs.	4	3	12 Nicholson, Catherine;	16/02/2017 – Cloud based Business continuity software has been implemented, accessible from any internet capable device, relevant staff have received training on its use. Departmental plans combined into central Business Continuity plan containing sections for dealing with Initial Incident actions, Communications, Recovery and Restoration phases, together with managing impact on the Council. Solway House agreed as alternative location for DDR set up site, control centre and priority services. ICT infrastructure and data links in place to allow restoration of required servers and access to data backups located at Carlisle. Telephony system transferred to BT OnePhone fully mobile based system removing requirement for server access via Allerdale House. Contact Centre transferred to a 'cloud' based solution allowing access via any internet capable device, regardless of location. Property Services have provided a plan identifying space within building for incident response team and priority services. Business Interruption insurance in place and Insurance cover in respect of council assets, reinstatement of data, additional increased cost of working. Business interruption insurance relating to specified supplier investigated and amendments to cover made. Business recovery plan template has been updated to capture additional information about resource requirements for priority services, details of staff to be relocated to Solway House and other potential locations and has been circulated to Heads of Service	Nicholson, Catherine;	1. Apply likely costings for budget 2. Head of Service table top exercise held on 14/02/17 supervised by Egton consultant. Number of actions raised to amend and update plan. Further exercise to be completed 3. Rolling program of full Departmental exercises 4. Update Audit Committee 5. Learn lessons from partner organisations	31/12/2017	SMT monthly Executive quarterly
Sustainable business	Move to 100% retention of business rates - and the delay from 2019/20 to 2020/21 - depending on new parliament	Corporate	Impact on the medium term financial plan. Potential loss of growth depending on re-sets Difficulty in planning for growth and retaining income	3	4	12 Nicholson, Catherine;	Whole scheme has now been delayed due to the snap general election. Awaiting Queens Speech - new legislation		Continued membership of Cumbria NNDR group LG futures events for updates Consultations and DCLG statements Pilot potential will be reported to Executive Council in January 2018.	09/05/2017	SMT monthly
Sustainable business	Failure to manage and maintain a secure information systems network	Corporate	Service outage, loss of data, business disruption, reduced trust from stakeholders, cyber crime, information lost or stolen, regulatory fines, regulatory investigation, failure to provide customer service, loss of income.	4	3	12 Wood, Paul;	Independent penetration testing completed annually by a third party to identify and report vulnerabilities in the system. Cloud based systems are in place for office 365, my allerdale, telephony. Daily off site back ups. Regular back up reliability testing. Revised ICT policies to improve end user awareness. Public Services Network compliance gained March 2017. Horizon scanning and lessons learnt from events.	Hollins, Keith;#536	NOT awarded PILOT - but new Cumbria Wide pool agreed for 2018/19 1. Gradually move all systems to cloud based products. 2. Implementation of Cloud based strategy 3. Regular scheduled back up testing 4. Awareness and education of all end users - (ICT business partner role) by 31/3/18	22/09/2018	SMT Monthly

Sustainable business	Business rates collected fall below baseline funding	Corporate	Less cash income and more reliance on reserves. Unable to balance budget. Further service cuts.	3	3	9 Nicholson, Catherine;	<p>In house Revs and Bens team monitor collection rates and report back to Head of Finance to provide early warning. Existing award of business rate reliefs policy in place but based on system before localisation of NNDR. Application to pool business rates has been accepted again for 2016/17. Cumbria wide group established with Cumbria County Council taking the lead role on the pool with specialist advice.</p> <p>Regular meetings are held between all members of the pool to discuss the business rates income projections and to highlight any significant issues that are relevant to the pool and/or individual authorities.</p> <p>Monitoring currently in place is reviewed and changes/enhancements are discussed between relevant parties and where necessary actioned.</p> <p>The Allerdale sub-group has been set up and has now had a number of meetings to discuss potential growth, decline and any other relevant topics, members include revenues, planning, finance, economic growth and membership is reviewed to make sure it remains fit for purpose.</p>	Nicholson, Catherine;	<ol style="list-style-type: none"> 1. Working with Revs and Bens Shared Service to develop more enhanced monitoring eg top 20 rates payers, those in appeal etc. 2. Update of discretionary rate relief planned 3. Set up Business Rates Working Group 	01/09/2017 SMT monthly Executive quarterly Finance sub group
Tackling inequality	Increased number of families in poverty	Corporate	Quality of life reduced, decreased customer satisfaction, reduced life expectancy.	3	3	9 Seekings, Andrew;	<ol style="list-style-type: none"> 1. Development and delivery of the Tackling Poverty Strategy. 2. Local poverty statistics monitored annually through the key issues paper 	Seekings, Andrew;	<ol style="list-style-type: none"> 1. Set up Delivery Board to oversee delivery by 30/4/18. 2. Develop delivery plan for the Tackling Poverty Strategy Action Plan 2018-20 by 30/6/18. 3. Deliver Tackling Poverty Strategy Action Plan Delivery Plan by March 2020. 4. Further develop activity to ensure that tackling inequality and poverty is considered across the organisation in business planning and decision making through awareness raising and develop better use of impact assessments by Sept 2018. 5. Review delivery through quarterly Delivery 	30/03/2020 SMT monthly