

Risk Description	Priority Link	Impact Description	Impact	Likelihood	Risk Score	Responsibility	Measures and Assurance	Measures and Assurance	Post Mitigation	Post Mitigation	Post Mitigation
Business rates collected fall below baseline funding	Sustainable business	Less cash income and more reliance on reserves. Unable to balance budget. Further service cuts.	3	3	9	Nicholson, Catherine;	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. A Regular meetings are held between all members of the pool to discuss the business rates income projections.	Nicholson, Catherine;	3	2	6
Failure to align adequate people resources to council strategic priorities.	Performance	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	Review of performance management framework ensures that key issues and challenges facing the Council drives Council Plan and service plan priorities. Agreed Programmes and project approach is taken to delivering Council Plan and regular monitoring of budgets and performance is in place.	Seekings, Andrew;	3	2	6
Increased number of families in poverty	Tackling inequality	Quality of life reduced, decreased customer satisfaction, reduced life expectancy.	3	3	9	Seekings, Andrew;	1. Development and delivery of the Tackling Poverty Strategy. 2. Local poverty statistics monitored annually through the key issues paper	Seekings, Andrew;	3	3	9
Failure to engage community in the planning process.	Strengthening our economy	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 Appropriate level of detail in Development Panel reports. Regular planning case management meetings Appeal decision reviews circulated to members. engagement with developers on major schemes.	Kerrigan, Kevin;	2	2	4
Failure to continue providing value for money for expenditure	Sustainable business	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. . 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. Minimum reserve position and self sufficiency targets monitored and reviewed by S151 Officer on risk basis	Frost, Ian;	3	3	9

Business continuity plans do not meet business needs	Sustainable business	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	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. Business interruption insurance relating to specified supplier investigated and amendments to cover made.	Nicholson, Catherine;	3	3	9
Inability to deliver the council plan due to the consequences of Brexit	Performance	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.  Ongoing monitoring of policy developments by the Policy Team and discussion at policy team management meetings.	Frost, Ian; Hardy, Nik;	4	3	12
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;			0
Failure to establish cost effective waste and recycling, street cleansing and grounds maintenance services in Allerdale, delivering to the needs of the local community by 1 April 2019.	Sustainable business	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 has been commissioned to enable these key services to be delivered. Failure to commission these services, on time and cost, will have a significant negative impact on the business of the Council.	4	3	12	Holmes, Charles;	The delivery model selected is the procurement of a performance based services contracting arrangement.  Following an OJEU tendering process the Executive agreed to award contracts. Mobilisation plans are currently being delivered to enable services to be delivered meeting the needs of the community by April 2019.	Fisher, Joanne;	4	1	4
Move to 75% retention of business rates (prev 100%) - and the delay from 2019/20 to 2020/21 - depending on new parliament	Sustainable business	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;	Continued membership of Cumbria NNDR group LG futures events for updates Consultations and DCLG statements Unsuccessful in the 2018/19 pilot application but have resubmitted our bid for a 75% pilot in 19/20 75% retention confirmed as part of local government settlement.	Nicholson, Catherine;	3	3	9
Failure to manage and maintain a secure information systems network	Sustainable business	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;	Measures Annual Independent penetration and internal vulnerability health check. Systems migrated to the cloud - office 365, Service Desk, Parking, Telephony, Contact Centre, Customer Platform, Council Spatial Systems and Website. Suite of security controls applied to manage associated risks.	Hollins, Keith;	4	2	8

Information is not managed in line with policy, procedure and regulatory requirements. Failure to deliver the requirements of the Data Protection Regulations.	Performance	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.◦SMT support 2.◦Data Protection communication plan adopted 3.◦Updated Information Governance policies & procedures 4.◦Corporate information audit carried out 5.◦DPIA procedure adopted 6.◦DPO/SIRO appointed 7.◦Lawful basis for processing personal data identified 8.◦Reviewed how we seek, record & manage consent 9.◦Reviewed legacy contracts 10.◦Reviewed & updated Privacy Notices 11.◦Devised process to ensure Rights of Individuals' are maintained 12.◦Data breach management process observed by all staff 13.◦Mandatory data protection and GDPR e-learning for all staff	Hardy, Nik;	4	2	8
Potential Local Government Reorganisation in Cumbria could create uncertainty around the future and affect the ability of the Council to deliver the Council plan	Sustainable business	The Council could face an uncertain future that may affect the ability of the Council to deliver against existing ambitions. This may be because of political, and financial uncertainty.	4	3	12 Hardy, Nik;	Participation in any discussions around the future of Local Government in Cumbria.  Ongoing monitoring of the wider policy context around Local Government reorganisation.	Hardy, Nik;			0
Mental Health and Wellbeing of our Workforce deteriorates	Sustainable business	Reduced levels of Customer Service Reduced productivity Staffing costs increase Cannot deliver organisational objectives	4	3	12 Seekings, Andrew;	Occupational Health Provider and Counselling Service in place Wellbeing / mindfulness sessions ran weekly Absence management process in place and reviewed	Eccles, Kelly;	4	1	4
Significant unbudgeted expenditure arising from severe weather conditions.	Performance	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	Nicholson, Catherine;	2	2	4
Failure to implement the Arcus platform across Planning, Building Control, EH, Licesning. There have been ongoing issues with the company implementing the system due to lack of resource, this has resulted in failure to meet any deadlines in fgo live with the system in any area.	Sustainable business	Currently running on legacy systems which are maintained on a pay as you go rather than contractual support arrangement.  Failure to achieve savings detailed in the business case, loss of confidence with staff, increased costs and a drain on resources.	4	4	16 Wood, Paul;	Contractual challenge sent to Arcus Global, shadow project established to investigate procurement of alternative system and abort the Arcus rollout	Wood, Paul;			0