

Appendix C - Corporate risk and issues log (risk scores >9) @ 20/01/20

ID	Risk Description	Impact Description	Impact	Likelihood	Risk Score	Responsibility	Measures and Assurance	Mitigating Actions planned	Post Mitigation Impact	Post Mitigation Likelihood	Post Mitigation Risk Score
35	Significant unbudgeted expenditure arising from severe weather conditions.	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 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.	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. Capital bid w for 19/20 for outstanding works to Mill Field.	2	2	4
52	Failure to establish cost effective waste and recycling service in Allerdale, delivering to the needs of the local community.	The new business delivery model that has been commissioned has resulted in significant service failings. There is a necessity to revisit the business delivery model and resource requirements to enable these key services to be delivered. Failure to identify and deliver a new model will have a significant impact on the business of the Council.	4	4	16	Seekings, Andrew	Members will be provided with all options prior to making a decision on the proposed new business delivery model. This will be developed fully through the preparation of a detailed costed business case.	Full options appraisal is being developed for the Council to consider and agree, following which a detailed business case will be developed to establish the operating model and costs of the new model.	4	1	4
54	Cyber Security - Failure to maintain secure information systems and networks against cyber attacks.	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	4	16	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. ICT Policies replaced and deployed, GDPR security and data management training provided. PSN Health check and remedial actions undertaken Malware solutions updated to protect against latest vulnerabilities Identity and Access Management Tools being implemented to secure access to cloud based applications	Mitigation Plans 1. Cloud Migration continues 2. Review to be undertaken of Backup Solutions 3. Further Awareness and education program being rolled out to all of our people through new ways of working sessions 4. Identity and Access Management Solutions to be implemented to protect access to cloud based systems 5. New means to connect to applications reducing requirements for specific device configurations in test currently 6. Cyber security training workshops to be delivered 7. Business Continuity exercise around cyber security	4	2	8
59	Failure to implement the Arcus platform across Planning, Building Control, EH, Licensing. 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 to go live with the system in any area.	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	Rollout of building control, planning & land charges, as well as phase 2 reg services by contract end Nov 2019	Contractual challenge sent to Arcus Global, shadow project established to investigate procurement of alternative system Additional project management resource assigned (Ian Davidson) to focus delivery			0
4	Failure to continue providing value for money for expenditure	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	Seekings, Andrew	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 outputs 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	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.	3	3	9
6	Failure to achieve necessary cultural and organisational change.	Do not achieve the vision to deliver the best public services possible. Staff not understanding their roles and responsibilities within the operating model. Don't retain and develop skilled staff, resources don't meet business objectives. Key roles become difficult to fill. Resource cannot deliver plans.	4	3	12	Eccles, Kelly	HR business partner approach. New behaviours framework released in 19/20. Organisational Development Strategy agreed to drive the actions to improve the culture.	Deliver Organisational Development Strategy actions to develop the organisations culture to meet the strategic objectives. Embedding of the What Great Looks Like behaviours into all appropriate organisational policies and procedures including recruitment and selection, appraisal, performance. Clear Performance Management so employees know what is expected of them. All HoFs to have succession plan so we are growing own talent. Leadership training including mentoring and coaching support	3	2	6

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14	Business continuity plans do not meet business needs	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	Management i.Standing item on SMT agenda ii.Heads of Service tasked with ensuring that their department's plans are brought up to date, and regularly monitored. iii.Named member(s) of staff from each department identified as being responsible for collecting and updating information to the Business Continuity site. iv.Regular meetings scheduled with Emergency Planning officer to co-ordinate responses & requirements. Operational i.All staff and members have access to the plans from a link on the Intranet Homepage (Resources – Corporate - Business Continuity). ii.Standing item on all team meetings agendas. iii.Team meetings to be revisited by lead officer to emphasise the need for all members of staff to be aware of the Business Continuity Plan, and how it affects their role. Teams visited to date, Financial Services, Asset Management, Place Development & Housing management team, Legal & Licensing, Electoral Services, Assurance & Audit, Democratic Services, HR, Food Safety & Occupational Health, Environmental Protection	3	3	9
38	Failure to demonstrate and achieve informed decision making	Financial, operational and reputational risk More opportunity for challenge (legal/ombudsman/political/public/media) Failure to deliver open, transparent and accountable process in accordance with Good Governance	4	3	12	Sewell, Sharon	Review of Constitution and scheme of delegation Process for Open and Transparent reporting Programme/Project Management approach for transformational and key projects	Further embedding of decision making framework and the transparency agenda. Embed the programmes and projects office decision making framework following the creation of the programme office. Training and Development is in progress with members and key officers associated with key decisions	4	1	4
48	Inability to deliver the council plan due to the consequences of Brexit	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. Internal working group has been established including representatives from across the Council	Key Officers must remain part of discussions with stakeholders The situation will be monitored through the Strategy, Policy and Performance team 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.	4	3	12
53	Move to 75% retention of business rates (prev 100%) - and the delay from 2019/20 to 2020/21 - depending on new parliament	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 Consultation out Dec 18 as part of provisional settlement 19/20	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. - Unsuccessful in the 2018/19 pilot application but have resubmitted our bid for a 75% pilot in 19/20 NOT awarded PILOT - but new Cumbria Wide pool agreed for 2018/19 75% retention confirmed as part of local government settlement	3	3	9
55	Information is not managed in line with policy, procedure and regulatory requirements. Failure to deliver the requirements of the Data Protection Regulations.	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	1. Compliance monitoring to be undertaken 2. Further targeted training for Tier 3 Managers 3. Mandatory e learning in data protection - by April 2020 4. Ensure all new relevant contracts are GDPR compliant 5. Tighten up data sharing arrangements 6. Routine review of policies and procedures - by Sept 2020	4	2	8
56	Potential Local Government Reorganisation in Cumbria could create uncertainty around the future and affect the ability of the Council to deliver the Council plan	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.	1. Participate in wider discussions around Local Government reorganisation in Cumbria 2 Ongoing monitoring of the wider policy context by the Strategy, Policy and Performance team.			0
58	Mental Health and Wellbeing of our Workforce deteriorates	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	Review of health provider provision Visit local businesses to understand how sickness is managed elsewhere Complete pulse surveys to identify causes Provide managers additional training use of alternative therapies	4	1	4

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13	Business rates collected fall below baseline funding	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. 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. 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. Monitoring currently in place is reviewed and changes/enhancements are discussed between relevant parties and where necessary actioned. 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.	1. Working with Revs and Bens Shared Service to develop more enhanced monitoring e.g. top 20 rates payers, those in appeal etc. 2. Update of discretionary rate relief planned 3. Set up Business Rates Working Group	3	2	6
18	Failure to align adequate people resources to council strategic priorities.	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.	•Review OD strategy - complete, action plan to be agreed •Review WGLL with managers group - complete •Performance against strategic priorities monitored on a regular basis at SMT - ongoing Strengths assessment approach to recruitment and retention	3	2	6
22	Increased number of families in poverty	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	1. Set up Delivery Board to oversee delivery by 30/4/18 - COMPLETE 2. Develop delivery plan for the Tackling Poverty Strategy Action Plan 2018-20 by 30/6/18 - COMPLETE. 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 2019. 5. Review delivery through quarterly Delivery Board.	3	3	9
32	Failure to engage community in the planning process.	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. Worded 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. The Planning and Building Control Manager has met with Town and Parish Councils to better understand their concerns and explain the role of the planning system.	Consider development in the following areas 1. Community email/newsletter that people sign up to get more information. 2. publicise the decision highlighting the process/grounds for objections. 3. more social media communication. 4. give public facing staff a route to feedback from conversations within the community - concepts to be developed .	2	2	4