

Eden District Council
Scrutiny Co-ordinating Board
25 May 2017

Annual Review of the Risk Register

Portfolio:	None
Report from:	Director of Finance
Wards:	All Wards
OPEN PUBLIC ITEM	

1 Purpose

- 1.1 The purpose of the report is for the Scrutiny Co-ordinating Board to undertake the annual review of the Council's Risk Register.

2 Recommendation

Members are asked to review the Risk Register.

3 Report Details

- 3.1 The Council has a well established risk management process in which Scrutiny plays a key part. The Risk Management Strategy was considered earlier on the agenda. As part of that Strategy a Risk Register has to be maintained and regularly reviewed by officers and Members.
- 3.2 The Risk Register is reviewed on a quarterly basis by both Management Team and the Executive. Such reviews are a vital element in the Council's active management of risk.
- 3.3 The latest version of the Risk Register is appended. It was amended for any feedback following review by Management Team on 2 May 2017 and from the subsequent circulation to the Executive. There is a short preamble at the start of the Risk Register which may be a useful introduction for Members.
- 3.4 It is important that Members are involved in the Risk Management process. Members are asked to review the Risk Register and comment on whether they think:
- The Risk Register is accurate;
 - The Risk Register is complete in relation to key corporate risks, that is, do any additional risks require adding?
 - Action plans to mitigate risks are being properly progressed.

4 Policy Framework

- 4.1 The Council has four corporate priorities which are:
- Decent Homes for All
 - Strong Economy, Rich Environment
 - Thriving Communities
 - Quality Council
- 4.2 This report meets the Quality Council corporate priority.

- 4.3 Whilst the Risk Register is not referred to as a separate element within the policy framework, it is included as an important element within the Council's Annual Governance Statement, which is part of that framework.

5 Consultation

- 5.1 There has been no consultation with Wards Councillors or Portfolio Holders.

6 Implications

6.1 Financial and Resources

- 6.1.1 Any decision to reduce or increase resources or alternatively increase income must be made within the context of the Council's stated priorities, as set out in its Council Plan 2015-2019 as agreed at Council on 17 September 2015.
- 6.1.2 There are no Financial and Resources implications

6.2 Legal

- 6.2.1 There are no Legal implications.

6.3 Human Resources

- 6.3.1 There are no Human Resources implications.

6.4 Statutory Considerations

Consideration:	Details of any implications and proposed measures to address:
Equality and Diversity	There are no implications
Health, Social Environmental and Economic Impact	There are no implications
Crime and Disorder	There are no implications
Children and Safeguarding	There are no implications

6.5 Risk Management

Risk	Consequence	Controls Required
Members become too involved in lower level details rather than a strategic overview approach	Members do not drive the strategic direction as regards risk management within the Local Authority	Members should bear in mind that the purpose of the Risk Register is to identify key corporate risks and to mitigate, as far as possible, those risks which are currently at an unacceptable level. The Risk Register encompasses all known risks to the Council and outlines steps taken to mitigate these

7 Other Options Considered

- 7.1 No other options have been considered.

8 Reasons for the Decision/Recommendation

- 8.1 Effective risk management is vital for a sound system of corporate governance. A Risk Register is important in setting out clearly the main steps that the Council takes.

Tracking Information

Governance Check	Date Considered
Chief Finance Officer (or Deputy)	21 April 2017
Monitoring Officer (or Deputy)	9 May 2017
Assistant Director	Not Applicable

Background Papers: **Risk Management Strategy**

Appendices: **Risk Register**

Contact Officer: **Clive Howey, Director of Finance, 01768 212213**

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Risk Register



- Date Produced/Updated: May 2017
- Next Update Due: August 2017
- Officer Responsible: Director of Finance

Eden's Risk Register

1. What is Risk?

Risk is the combination of the probability of an event happening and its consequences. For all types of organisations there is a potential for events and consequences to present both threats and opportunities. This Risk Register focuses on the main risks currently facing the Council.

2. Why Have a Risk Register?

Whilst we all manage risk in our daily lives, we nearly always do it in an informal way. In some cases this informal approach works well for a number of risks, for example, putting on our seatbelts when we drive to work. The danger for any organisation is that such an informal approach at work can lead to key risks being missed and the failure to implement, review and test controls on identified risks. It is therefore important that there is an up-to-date corporately agreed register of risk. This will help risk to be properly managed. Effective risk management is a central part of any organisation's strategic management.

3. What Risks are Included in the Risk Register?

It is possible to classify the risks that the Council faces into three broad categories as follows:

- **insurable risk, for example, damage to buildings, third party liability** – this is dealt with through the Council's Risk Management Group
- **disaster response** – the Council's disaster response is covered in a number of documents, that is, the IT Disaster Plan, the Business Continuity Plan and the Eden Emergency Response Plan
- **organisational risk** – this is the area of risk covered by the Risk Register

4. Review of the Risk Register

The Risk Register will be reviewed quarterly by the Management Team and the Executive and annually by the Scrutiny Co-ordinating Board and the Senior Managers' Group. These reviews will look at progress against identified actions and ensure that any new risks are included in the register, and any past risks deleted.

In undertaking any review, risks to the Council's corporate objectives should be explicitly considered. These are currently:

- **Housing** – people have access to housing throughout the district
- **Quality Environment** – the unique natural and built environment is enhanced, protected and kept sustainable
- **Economic Vitality** – grow the whole economy of Eden
- **Quality Council** – services delivered throughout the district are accessible, meet the needs of customers and are continuously seeking improvement

5. Identification of Risks

This Risk Register should include all key corporate risks. There may be other risks that managers wish to record, control and monitor. This should be done through a separate service Risk Register if the relevant manager thinks the value outweighs the costs.

The identification of risks to be included in the Risk Register comes primarily through the review process whereby Management Team and the Executive review the Risk Register quarterly and Section Heads and Scrutiny Co-ordinating Board review it annually. As the Council is small, it is felt that this regular scrutiny and monitoring by senior officers and Members should identify the majority of key risks.

Committee reports require consideration of the key risks involved in making any member decision. This is an additional way that key risks may be identified.

6. Management of Risks in the Register

The Risk Register follows the standard approach of assessing the likelihood of a risk occurring (score of 1 to 5) and what the impact would be if it occurred (score of 1 to 5). If, after assessing existing controls, the score of likelihood multiplied by impact exceeds 6, an action plan must be set out. Monitoring of action plan progress is one of the main functions of the quarterly Management Team review.

7. Update

After each review, be it quarterly or annually, the Director of Finance will update the Risk Register. This may involve deleting risks that were previously on the register, adding new risks, or amending the assessment of existing risks.

8. Awareness

When finalised, a link to the updated Risk Register will be put on the Corporate Bulletin Board and Members' Bulletin Board.

Summary of Risk Assessments

Risk Assessment Reference	Risk Rating* with:	
	Controls	Action Plan
Non-Financial		
N1 Partnerships	4	N/A
N2 Contaminated Land	16	4
N3 Appleby Fair	8	N/A**
N4 Penrith New Squares	4	N/A
N5 Diversity and Equalities Legislation	3	N/A
N6 Recruitment and Retention of Key Staff	6	3
N7 Health and Safety (including Fire)	4	N/A
N8 Non-Delivery of Local Plan	3	N/A
N9 Maintenance of Footway Lighting	8	N/A
N10 Information Governance	8	4
N11 Data Protection	4	N/A
N12 Freedom of Information	4	N/A
N13 Member Development	6	3
N14 RIPA	3	N/A
N15 Recycling and Waste Management	3	N/A
N16 Digital Programme	4	N/A
N17 Corporate Capacity	6	3
N18 Emergency Planning	5	N/A
N19 Flooding	12	8
N20 Disruption to Council Business	4	N/A
N21 Performance Management	3	N/A
N22 Elections	4	N/A
N23 Shared Services	4	N/A
N24 Managing the Council's Reputation	3	N/A
N25 IT	5	N/A
N26 Exposure to Bribery, Fraud and Corruption	4	N/A
N27 Legionella	4	N/A
N28 Loss of Experienced Staff at Council Contractor	3	N/A
N29 Alternative Delivery Models	4	N/A
N30 Accommodation	3	N/A
Financial		
F1 Exposure to Interest Rate Fluctuations	3	N/A
F2 Financial Resilience	4	2
F3 Limited Capital Resources	6	6**
F4 Increase in Employer's Pension Contributions	3	N/A
F5 Treasury Management	4	N/A
F6 Leisure Management Contractor	4	N/A
F7 Recycling Credits	4	N/A
F8 Effect of Brexit	4	8

Risks Added or Removed Since the Last Update

Added: N28 Loss of Experienced Staff at Council Contractor

F8 Effect of Brexit

N30 Accommodation

Removed: N28 Climate Change and Sustainability

N30 Non-Delivery of Corporate Projects

*Risk Rating: 1-5 Acceptable

6-10 Above Acceptable

11-25 Unacceptable

**Due to the nature of these risks, it is not possible to reduce the risk rating to the level that would normally be deemed acceptable

Risk Assessment: Risk N1 - Partnerships

Description of risk:	Partnerships may lead the Council into a range of financial and legal commitments which are not fully recognised and understood. Partnerships include the arrangements entered into following successful funding bids.
Responsible Officer:	Director of Finance

I Risk Rating Without Controls

Potential negative outcome:	<p>There might be a substantial exposure to financial and legal liabilities without a full assessment of the risks involved.</p> <p>The cost of being involved in a partnership may outweigh the benefits.</p>				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>There are many examples of local authority partnerships going wrong. The Council is increasingly involved in a large range of partnerships varying greatly in size and structure. There is a particular risk where the Council is the Accountable Body for a project, but a partner body is responsible for primary financial actions, for example, paying invoices.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>A partnership register is maintained by the Director of Finance. This is reviewed annually by senior officers and by the Scrutiny Co-ordinating Board (last review was 15 September 2016).</p> <p>The database includes an assessment of costs and benefits of each partnership.</p> <p>There is also a partnership protocol available on the Intranet. This is updated annually.</p> <p>Where the Council is Accountable Body, the partner organisations are made aware of the record keeping and controls expected of them.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N2 – Contaminated Land

Description of risk:	Contaminated Land
Responsible Officer:	Assistant Director Environmental Services

I Risk Rating Without Controls

Potential negative outcome:	<p>The Council has a statutory duty to identify sites with contamination. It has particular responsibilities where it owns the sites. The risks are that:</p> <ul style="list-style-type: none"> in certain circumstances, the Council may be liable to pay for the costs of remediation on sites where it isn't the landowner. the cost of remediating sites may be expensive. 				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>The Council has identified potentially contaminated sites and risk rated them. There is one site with particular concern, this is Greenside Mine.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input checked="" type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input checked="" type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>Greenside Mine - site no longer used for lead extraction and smelting. The Council undertook a detailed Part 2A inspection of Greenside Mine following a successful bid for DEFRA. The report was finalised just after the new Statutory Guidance for Contaminated Land was introduced, which altered the criteria for the determination of contaminated land.</p> <p>The Council believes the Environment Agency should be the enforcing authority. The Environment Agency think it should be the Council. Executive (15 December 2015) agreed funding of £10,000 to obtain specialist legal advice. Initial legal advice indicated there is a gap in the legislation.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input checked="" type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input checked="" type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>							

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:	<ul style="list-style-type: none"> Try to identify the company that owned the mine – the mine closed in 1962, but the company liability may have been passed on. 				
By Whom?	The Contaminated Land Officer				
Target Date:	31 January 2017				
Likelihood Rating D with controls in place	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

NB: The Council has discussed realistic exposure scenarios with the Health Protection Agency for people accessing the site. The conclusion was that the contamination did not present a significant risk to health.

Risk Assessment: Risk N3 - Appleby Fair

Description of risk:	Appleby Fair
Responsible Officer:	Chief Executive

I Risk Rating Without Controls

Potential negative outcome:	A serious incident at the Fair could lead to a legal/financial liability and/or damage to the Council's image.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>The Fair is a difficult event to control because of its nature and the lack of any one body responsible for organising the Fair.</p> <p>A new Licensing and Enforcement Officer has been recruited and will be involved in monitoring of the voluntary Licensed Premises Charter Agreement in 2017. The work in this area is being overseen by the Assistant Director Commercial Services.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>As well as its statutory role, the Council now leads a Multi-Agency Strategic Co-ordinating Group (MASCg). The approach and role of the Council is documented. The Council's insurers reviewed these documents and consider they are a sensible approach. It is generally accepted that the current approach works well. A website has been set up to provide a focal point for information on the Fair.</p> <p>An annual evaluation report is written after each Fair. This is agreed by all partners and seeks to learn any lessons for future Fairs. There were no significant problems arising from the 2016 Fair but, by its nature, there is always a degree of disruption for some residents.</p> <p>The Council works with local parish councils to try to improve how the pre-Fair arrivals can be best dealt with.</p> <p>A risk assessment is in place. This has been agreed by the Multi-Agency Group. This covers a wide variety of hazards and risks presented to staff working at the Fair.</p> <p>The Council has been complimented on the handling of the 2016 event. Preparations are well underway for the 2017 event.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/> *	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

*Given the nature of the event, it is difficult to arrive at a position where risk is at a low level. As long as the Council continues to lead and support the Multi-Agency Group, there is not a great deal more it can do.

Risk Assessment: Risk N4 – Penrith New Squares

Description of risk:	Penrith New Squares Development
Responsible Officers:	Deputy Chief Executive

I Risk Rating Without Controls

Potential negative outcome:	Development not in line with the Council's interests				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>Sainsbury's Supermarket Limited (SSL) stepped into the scheme after Council, on 13 May 2010, approved proposals. The store and Phase 1 is now complete. The main issue is now the letting of Phase 1 retail. There could be limited financial impact on the Council. The Council's main concerns are reputational and to promote the vitality of the town centre.</p> <p>The responsibility for overseeing the scheme has transferred from the Director of Corporate and Legal Services to the Assistant Director Commercial Services and work is being undertaken to ensure there is a timetable of monitoring the agreement in place to ensure the Council effectively manages the site as landlord and derives all the income that is due to the Council as landlord.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<ul style="list-style-type: none"> Led by the Assistant Director Commercial Services Marketing campaign is being run by SSL to fill Phase 1 (progress is slow). A deadline for developing a new marketing strategy is in place Proposals from the developer re Phase II were considered by Council. Agreement to building a hotel was given: this is now built Rates reduction of over 40% agreed by Valuation Office Regular monitoring of the agreement will ensure the Council attracts all the finance that it is owed 				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N5 - Diversity and Equalities Legislation

Description of risk:	Not meeting requirements of Diversity and Equality legislation
Responsible Officer:	Deputy Chief Executive

I Risk Rating Without Controls

Potential negative outcome:	The Council does not meet the statutory requirements of the Equality Act 2010.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>Following an external peer assessment, the Council has now met the 'Achieving' level of the equalities standard for local government.</p> <p>The other area is completion of Equality Impact Assessment where required.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>Member training has been refreshed recently. Guidance to staff on the lower prominence of Equality Impact Assessments (following Government guidance) has been issued. However, staff need to be reminded that an EIA is needed if a policy changes.</p> <p>All staff are reminded that an EIA is required for a new policy or major policy change. Training took place in November 2014. Updated training is being arranged for early to mid-2017.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N6 - Recruitment and Retention of Key Staff

Description of risk:	Recruitment and Retention of Key Staff
Responsible Officers:	Assistant Director Organisational Development

I Risk Rating Without Controls

Potential negative outcome:	The Council is unable to properly undertake its duties.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>Given the small size of the Council's staff, it is vulnerable to the loss of specialist staff. Whilst the Council experienced considerable turnover in some particular areas, such as Environmental Health and Development Control, turnover has reduced because of the recession. These pressures are likely to return once the economy recovers.</p> <p>A period of sustained pay restraint may make jobs relatively unattractive, notwithstanding the modest recent increases.</p> <p>The risk is particularly great in areas where certain duties have to be performed to a tight statutory timescale, for example, closure of accounts.</p> <p>High levels of turnover have recently been experienced in:</p> <ul style="list-style-type: none"> Development Control – now stabilised Management Team – has been operating successfully under the new interim structure. The Council approved its Senior Management Structure on 20 April 2017 Local Plans Team - with support from Penrith Farmers' and Kidd's, the Team is now at full strength 				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input checked="" type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input checked="" type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<ul style="list-style-type: none"> Good procedures in key areas can help to reduce the impact of the loss of key staff. Staff loss can be minimised by good Human Resources management. Consideration of short-term replacements, or exceptionally, external consultants can help to mitigate the effects of staff vacancies. This issue will be addressed in the Council's Workforce Planning Strategy. 				
Likelihood Rating C with existing controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>							

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:	Workforce Plan				
By Whom?	Assistant Director Organisational Development				
Target Date:	30 June 2017				
Likelihood Rating D with controls in place	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N7 - Health and Safety (including Fire)

Description of risk:	Health and Safety (including Fire)
Responsible Officer:	Assistant Director Technical Services

I Risk Rating Without Controls

Potential negative outcome:	Exposure to financial/legal liability and damage to Council image.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	Whilst the Council has reduced many areas of risk (for example, Highways), the Council is still exposed to a range of liabilities especially third party liability. Lone working has been identified as a particular risk.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	There has been a further revision to the procedures for fire evacuation.				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N8 – Non-Delivery of Local Plan

Description of risk:	Adoption of the Local Plan is delayed
Responsible Officer:	Deputy Chief Executive

I Risk Rating Without Controls

Potential negative outcome:		That the Local Plan's adoption is delayed resulting in applications receiving permission in locations which are not preferred by the Council			
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?					
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<ul style="list-style-type: none"> The Council is following the statutory guidance and is ensuring compliance The Council is using its resources to ensure robust consultation The Council is compiling a robust evidence base on which it bases its preferred options The Council is reviewing closely what is happening at Examination of other councils' Plans and is seeking to ensure it avoids any potential problems The Council has a realistic if challenging timetable The Plan was submitted in December 2015 The examination started on 9 May 2016 – plans are in place to resource this appropriately There were further hearings in July 2016 and September 2016. The Council is tasked with modifying the Local Plan to reflect the Inspector's views in order for the Local Plan to be found sound The Local Plans Team is now up to full strength. 				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N9 - Maintenance of Footway Lighting

Description of risk:	Maintenance of Footway Lighting
Responsible Officer:	Assistant Director Technical Services

I Risk Rating Without Controls

Potential negative outcome:	Electrocution Lights not in acceptable condition				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?					
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>Faults to lights reported by public and orders for repairs are issued by the Client Team.</p> <p>Repairs undertaken by the contractor using appropriately trained workforce.</p> <p>Workforce are undertaking maintenance and the Client Team have no knowledge of condition of the equipment to be maintained before attending to fault.</p> <p>Training issues identified by the contractor through its health and safety management system.</p> <p>A condition survey of all lighting units and control gear has been undertaken. This has identified a programme of work which is to be prioritised and costed. However, the Council has a dilemma. There is little funding to repair lights which are increasingly aged. Disconnection and removal is expensive at about £1,000 a light. The Council has some 1,600 lights. One-off funding was agreed by the Executive to clear the backlog. An increase in the annual maintenance budget is being considered as a growth item in the budget.</p> <p>A new policy was agreed by Council on 20 February 2014. This is now being implemented. Funding has been agreed up to and including 2016-2017. Regular progress reports are made to Members (last one was to Council 14 April 2016).</p> <p>The Assistant Director Technical Services is reviewing the Council's Policy with Members.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N10 – Information Governance

Description of risk:	<p>The Council manages information so as:</p> <ul style="list-style-type: none"> to adequately secure data and, in particular, meet all legal requirements to use information as efficiently and effectively as possible to conduct Council business
Responsible Officers:	Deputy Chief Executive

I Risk Rating Without Controls

Potential negative outcome:	<p>Security breach - reputational damage security breach</p> <p>Inefficient use/storage of data – Council processes will take more resources than they should</p>				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	A number of the relevant policies are not up-to-date. It is not clear if monitoring procedures are operating correctly.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>Policies are in place but need updating.</p> <p>The Management of Succession report agreed at Council (21 January 2016) created a post of Information Governance Manager. This was put in place from 1 April 2016.</p> <p>The Executive approved an Information Governance Framework in October 2016.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>							

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:	An action plan is required				
By Whom?	Information Governance Officer				
Target Date:	Was 30 June 2016 and needs to be revised				
Likelihood Rating D with controls in place	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

NB: There are specific entries for:

- Date Protection
- Freedom of Information

Risk Assessment: Risk N11 - Data Protection

Description of risk:	Non-compliance with Data Protection legislation
Responsible Officers:	Deputy Chief Executive

I Risk Rating Without Controls

Potential negative outcome:	Non-compliance with the legislation could lead to a prosecution of the Council.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>Data Protection is a complex area. Without controls it is easy to envisage an inadvertent breach occurring.</p> <p>Particular attention should be paid to shared service arrangements.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>A policy taking account of the recent changes in Data Protection legislation was agreed at Resources Committee on 1 December 2005.</p> <p>Data Protection practices and procedures are being reviewed. Legislative changes have highlighted Data Protection issues, for example, in relation to IER.</p> <p>Additional resources have been identified internally to support Data Protection.</p> <p>A review of policies and procedures has been undertaken. A formal monitoring process is required, particularly in relation to sensitive data and will be introduced.</p> <p>The Executive agreed a new Data Protection Policy which was in place on 1 April 2016. Further actions in this regard were identified within a report in relation to the Information Governance Framework, which was considered by the Executive in October 2016.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N12 - Freedom of Information (FOI)

Description of risk:	Freedom of Information Act – Implementation and compliance.
Responsible Officers:	Deputy Chief Executive

I Risk Rating Without Controls

Potential negative outcome:	<p>Non-compliance with the legislation, requests that are not met and potential legal action.</p> <p>A challenge to a decision to refuse information could give rise to an adverse ruling from the Information Commissioner.</p> <p>FOI requests are growing and creating an increased workload to deal with.</p>				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>Requests under the Freedom of Information are made frequently and are increasing. Some relate to information relating to third parties, which is a difficult area where the Council may, dependent on the case, refuse information.</p> <p>The Information Commissioner has taken action against other councils about response times. There is a need to ensure processes are, and remain, compliant. There are still ongoing issues with response times, which the Deputy Chief Executive is in the process of addressing.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input checked="" type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input checked="" type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	A revised publication scheme in accordance with the model has been published. Staff and procedures are in place. Training has been given to senior staff and all staff have had a simple Freedom of Information guide. Where third party information is to be disclosed, the procedures require them to be consulted.				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N13 - Member Development

Description of risk:	Failure to Appropriately Develop Members
Responsible Officers:	Assistant Director Organisational Development

I Risk Rating Without Controls

Potential negative outcome:	Members do not fulfil their potential. A consequence may be that they become disaffected.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>Local Government is a fast-changing environment. It is important that existing, as well as new Members, are fully equipped to play a central role in a modern Eden District Council.</p> <p>It is important that there is feedback from the operation of the Council's political structure (Political Party Leaders, Executive, committees, and so on) into the training programme.</p> <p>Attendance at training has declined. Concerns have been raised about training for members of the Planning Committee.</p> <p>Failure of Members to receive adequate training on their specific roles and duties could lead to breaches of the Councillors' Code of Conduct.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>Personal development plans have been prepared for all Members. Members are encouraged to engage in training opportunities, particularly those which relate to their functions and responsibilities.</p> <p>Particular attention has been paid to the Members' Code of Conduct and the role of scrutiny.</p> <p>An annual training programme is agreed, incorporating core activities, new initiatives and key skills.</p> <p>An extensive Member induction takes place for new Members following the four yearly all out elections. This was undertaken following the May 2015 elections.</p> <p>The Council holds the North West Charter for Members' Development.</p> <p>Further training is to be provided to Members, in particular, in the areas of Planning and Housing, to take account of the swift Central Government policy changes that are taking place.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>							

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:	To review outcomes required and to design a training plan which achieves these. This should be done in consultation with Members.				
By Whom?	Assistant Director Organisational Development				
Target Date:	30 June 2017				
Likelihood Rating D with controls in place	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N14 - RIPA

Description of risk:	Regulation of Investigatory Powers Act (RIPA)
Responsible Officers:	Deputy Chief Executive

I Risk Rating Without Controls

Potential negative outcome:	<p>Failure to comply with RIPA may prejudice the admissibility of evidence where the Council is prosecuting leading to cases being dismissed. It may also reflect badly on organisational image, especially if highlighted by a bad inspection report.</p> <p>Some Councils have been seen to be using RIPA for minor issues, such as littering. With the transfer of benefits investigations to the DWP, one of the main sources of authorisation requests no longer exists.</p>				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?					
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>In response to the significant recommendations from the inspection:</p> <ul style="list-style-type: none"> the Policy has been re-written training has been delivered <p>Since the new RIPA requirement came in there have been no authorisations at the Council.</p> <p>A further inspection took place in November 2015. Other than some minor changes to wording of the policy, there were no recommendations.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N15 - Recycling and Waste Management

Description of risk:	Recycling and Waste Management
Responsible Officers:	Assistant Director Technical Services

I Risk Rating Without Controls

Potential negative outcome:	Possible exposure to fraud.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	An alleged fraud in 2009 highlighted that recycling is an area where there are opportunities for fraud.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing	
Controls:	The Council has clear contract and operational arrangements. Officers monitor the contract arrangements closely.

Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>
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Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N16 – Digital Programme

Description of risk:	The agreed digital programme doesn't deliver the agreed objectives
Responsible Officers:	Director of Finance

I Risk Rating Without Controls

Potential negative outcome:					
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?		This will be a complex project because; <ul style="list-style-type: none"> It is joint with South Lakeland District Council (SLDC) Digitisation will require new ways of working across the council A new planning system will need to be developed 			
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input checked="" type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input checked="" type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:		Consideration is being given to having a Management Team level programme manager to manage the programme across both Councils. The Director of Finance will be the Council's Senior Responsible Officer. The Service Innovation Board will be responsible for monitoring progress of the digital programme at Eden and in particular, how this interacts with the other programmes it is managing - currently this is the staff accommodation project.			
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N17 - Corporate Capacity

Description of risk:	The limited size of the Council's establishment limits its corporate capacity to the point at which it is not able fully to respond to new Government initiatives and deliver the Corporate Plan
Responsible Officers:	Chief Executive / Assistant Director Organisational Development

I Risk Rating Without Controls

Potential negative outcome:	The Council could fail in some of its duties				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>The reduction in funding by Government required substantial staff savings which were achieved under the Management of Succession process (effective from April 2012). As it is some time since the structure was reviewed, a review is now required.</p> <p>A Senior Management Structure was approved by Council on 20 April 2017.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>Management Team regularly review capacity against demands.</p> <p>The Management of Succession report agreed at Council on 14 July 2016 amended the Council structure for an interim period. This made recommendations ensuring the Council has a fit for purpose structure until 31 July 2017.</p> <p>On 16 January 2017, the HR and Appeals Committee further reviewed the operation of the interim structure and continue to be satisfied that it is operating successfully. A Senior Management Structure was approved by Council on 20 April 2017 to be implemented on 1 August 2017.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>							

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:	Until the new Management Team is in place and bedded down, then this will have an impact on capacity. Member expectations will need to be realistic in the light of this.				
By Whom?	Leader/Chief Executive				
Target Date:	Ongoing				
Likelihood Rating D with controls in place	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N18 - Emergency Planning

Description of risk:	Adequately undertaking Emergency Planning duties as to be amended by the Civil Contingencies Act
Responsible Officers:	Director of Finance

I Risk Rating Without Controls

Potential negative outcome:	<p>The public are not properly safeguarded from the consequences of a major disaster, terrorist attack, and so on.</p> <p>The Council fails in its statutory duty.</p>				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input checked="" type="checkbox"/>

What is the likelihood of risk occurring?	In recent years the likelihood of random terrorist attacks has increased. The Civil Contingencies Act places more duties on local authorities.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input checked="" type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>The Council maintains an emergency team. The Director of Finance monitors the Council's Emergency Planning arrangements, including training, and the liaison with the County Council. He reports to the quarterly Emergency Planning Group which comprises all Management Team plus the Reception Centre Co-ordinator and the Emergency Works Officer.</p> <p>In response to the Civil Contingencies Act:</p> <ul style="list-style-type: none"> an Eden-specific emergency plan to cover the Council's role as a Category 1 responder is in place Services are bought in from the County Council Resilience Unit an Emergency Planning Working Group (including a County Emergency Planning Officer) now meets on a regular basis: it includes all the Management Team and the Resilience Unit annual exercise undertaken in liaison with County Emergency Planning Unit and involving key partners a quarterly meeting of the Reception Centre Managers takes place: this includes representation from the Resilience Unit and Adult Social Services <p>The repeated flooding incident in December 2015 identified a number of possible improvement areas. This has been reviewed by the Emergency Planning Group for learning points.</p> <p>A major incident took place in August 2016 involving a World War I munition in Appleby. Feedback received by the Director of Finance at the quarterly County-Wide Emergency Planning Group had been that the Council's response had been 'First Class'. The matter was around a mustard gas bomb which had been discovered and was successfully stabilised and removed without major incident.</p> <p>There was a major fire at a residence at Pategill, Penrith, on 12 November 2016. One man died in the fire. Many elderly people who lived close by were evacuated from their homes.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input checked="" type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N19 – Flooding

Description of risk:	Flooding of Council premises and major flooding in the District.
Responsible Officers:	Assistant Director Technical Services

I Risk Rating Without Controls

Potential negative outcome:	Council - loss of documents and equipment - major disruption to Council's business District - damage to infrastructure and property				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	Minor flooding occurs from time to time at both Council buildings' basements. In January 2005, this caused damage to documents and equipment in the Mansion House basement. Artefacts had to be moved from the Museum ground floor. There are a number of high risk areas in the District, in particular, the Sands (Appleby), Pooley Bridge, Glenridding and Eamont Bridge.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input checked="" type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input checked="" type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	The Council has a Strategic Flood Risk Assessment. The Council has worked with a number of community groups, in particular those in Appleby and Eamont Bridge to ensure they can protect themselves. The Council attends the Flooding Sub-Group of the Resilience Forum. Through this, the Council has addressed its responsibilities under the Water Act 2012. The Environment Agency has completed a scheme for Thacka Beck during 2010 which has substantially reduced the flooding risk in Penrith. The Emergency Planning Group considered a summary of the Council's flood response approach at its meeting on 7 August 2012. The Council has a Sandbags Policy. The repeated flooding incidents in December 2015 identified a number of possible improvement areas. The Executive approved an approach to sandbags at its meeting in July 2016.				
Likelihood Rating C with existing controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input checked="" type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input checked="" type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>							

III Risk Rating Following Action Plan

Risk Assessment Action Plan	
Action Required:	Review current stated flood response in light of experience of December 2015 floods: needs to review in light of County's lead flood role
By Whom?	Assistant Director Technical Services
Target Date:	The target date was 31 June 2016 and will need to be revised
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/> Possible 2 <input checked="" type="checkbox"/> Likely 3 <input type="checkbox"/> Probable 4 <input type="checkbox"/> Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/> *							

*It is likely that, with climate change, flooding will become an increased risk, despite any measures the Council takes. This has been highlighted by the unpredictable flooding in the north of England in December 2015

Risk Assessment: Risk N20 - Disruption to Council Business

Description of risk:	Disruption to Council's Business
Responsible Officers:	Financial Services Manager /Director of Finance

I Risk Rating Without Controls

Potential negative outcome:	The Council may be unable to conduct its normal business for some time: a range of services to the public may be interrupted.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	There are a range of events that might interrupt the Council's business. The most likely one is fire at one of the Council's buildings. Other events may impact on Council staff, for example, a major outbreak of illness.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	The Council has a Business Continuity Plan and IT Disaster Recovery arrangements. Both are updated on an annual basis.				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

III Risk Rating Following Action Plan

No Further Action Required

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N21 – Performance Management

Description of risk:	The Council needs to determine an appropriate Performance Management system.
Responsible Officer:	Assistant Director Organisational Development

I Risk Rating Without Controls

Potential negative outcome:		<p>If the Performance Management system is not adequate:</p> <ul style="list-style-type: none"> it could attract criticism from the external auditor (especially as part of the annual Value For Money assessment); the Council may not be able to assess whether it is achieving its corporate objectives. <p>However, the costs of any new Performance Management system must be commensurate with the benefits.</p>			
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?					
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:		<p>A system to monitor the Corporate Plan and portfolio plans is in place. This focuses on providing an appropriate level of monitoring reported by exception.</p> <p>Management Team has determined the suite of Key Performance Indicators it requires to manage the business.</p>			
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N22 – Elections

Description of risk:	Capacity is not sufficient to properly undertake elections
Responsible Officer:	Deputy Chief Executive

I Risk Rating Without Controls

Potential negative outcome:	Elections must be undertaken properly				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	The permanent elections team have limited capacity. Permanent resources are not adequate to hold both local and national elections at the same time.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input checked="" type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input checked="" type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>Additional permanent resources were agreed by Council on 3 December 2015.</p> <p>An ongoing Risk Register and Plan is in place. This is reviewed by the County lead. Deputy Returning Officers have been appointed to ensure cover.</p> <p>The Deputy Returning Officers will remain in place to ensure sustainability and resilience for the Elections work.</p> <p>Cumbria County Council has appointed an Interim Elections Manager and is content with the estimated costs supplied by the District Returning Officer.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: N23 - Shared Services

Description of risk:	Involvement in shared services may lead to abortive time and effort
Responsible Officer:	Relevant Lead Officers on specific shared services / Assistant Director Organisational Development

I Risk Rating Without Controls

Potential negative outcome:	<p>The service quality may reduce and the costs increase</p> <p>To deliver a shared service is resource-intensive</p> <p>Data Protection may not be properly addressed</p> <p>Sharing may not survive changes in lead personnel</p>				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>Collaboration of two or more local authorities is known to be risky. The greater number of Councils the greater the risk. However, with the deterioration in public sector finances, there will be an increased focus on achieving savings through shared services.</p> <p>There have been a number of recent examples of shared arrangements falling apart, for example, major sharing at Richmondshire and Hambleton District Councils, Carlisle/Allerdale shared IT.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input checked="" type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input checked="" type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>The Council has agreed its own strategy: each shared service proposal will be assessed on the strength of its business case. A seven year agreement was in place for the sharing of IT with South Lakeland District Council (SLDC) from April 2012. This has been extended to 31 March 2023 as part of agreeing the digital programme. Sharing of three Revenues and Benefits posts with South Lakeland District Council is underpinned by formal agreements.</p> <p>The shared IT services is underpinned by a staff transfer agreement and a service agreement. Appropriate legal expertise was used by both parties. This covers the risks such as data protection and termination.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: N24 - Managing the Council's Reputation

Description of risk:	The Council may be perceived poorly by residents if it is not proactive in managing its reputation
Responsible Officer:	Deputy Chief Executive

I Risk Rating Without Controls

Potential negative outcome:	The public may form a perception of the Council that does not adequately reflect the quality of the Council's work and service provision				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<ul style="list-style-type: none"> Ongoing financial pressure for savings will impact on some aspects of service delivery. Part of the decision making process will be to ensure reputational impacts are considered. Particular reputational issues at present are: <ul style="list-style-type: none"> footway lighting Penrith New Squares – empty shops 				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<ul style="list-style-type: none"> Consultation and PR is undertaken to proactively address known risk areas. There is a Community Fund to support community initiatives. This will hopefully offset some of the reputational damage consequent upon service reduction. Chairman's calendar of events is published. 'All About Eden' is produced twice a year. Media training has been provided for Senior Managers and some Elected Members to ensure they have the correct skills set to manage enquiries. 				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N25 - IT

Description of risk:	The effective operation of the Council depends on a secure and effective IT system. There are a number of explicit risks within any IT system. If these are not properly controlled the Council may be subject to an unacceptably high level of risk.
Responsible Officer:	Shared IT Services Manager / Director of Finance

I Risk Rating Without Controls

Potential negative outcome:	A number of IT risks can put the operation of systems at risk. As a small section, there are necessarily some resilience issues.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input checked="" type="checkbox"/>

What is the likelihood of risk occurring?	There have been examples of the risk occurring.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input checked="" type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>A shared service with South Lakeland District Council was agreed. Implementation began on 1 December 2010, with full implementation on 1 April 2012. This has improved resilience. As part of the digital programme, this has been extended to 31 March 2023.</p> <p>A review of the shared service IT Risk Register is undertaken at each Shared Services Board. Dedicated links are in place from the Town Hall, to the Mansion House and to Kendal.</p> <p>A rationalisation, standardisation and modernisation of the infrastructure and procedures across the two councils is required to ensure the shared IT service can provide a resilient and effective service.</p> <p>The shared IT Service Plan was agreed at the Resources Portfolio Holder meeting on 14 April 2016.</p> <p>An internal audit of IT general controls (Eden) published in June 2015 gave 'substantial' assurance.</p> <p>An external audit of IT in Eden provided good feedback in 2017.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input checked="" type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N26 – Exposure to Bribery, Fraud and Corruption

Description of risk:	All organisations face a risk of fraud and corruption. This assessment looks at risk in two areas: <ul style="list-style-type: none"> benefits other
Responsible Officer:	Director of Finance Deputy Chief Executive

I Risk Rating Without Controls

Potential negative outcome:	The Council could suffer financial and/or reputational loss				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<ul style="list-style-type: none"> Benefits - there is always a degree of fraud within the benefits system Other - whilst petty theft, for example, happens from time to time, there is no recent experience of major fraud. 				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>The Council has a dedicated benefits fraud team. The Council regularly updates and publicises:</p> <ul style="list-style-type: none"> an Anti-Fraud, Bribery and Corruption Policy (September 2016) a Confidential Reporting Code (September 2016) an IS Security Policy <p>The National Fraud Initiative has shown no evidence of fraud, other than in relation to Benefits. The Council has appointed an Anti-Money Laundering Officer.</p> <p>Every two years all staff are requested to confirm that they have read the Fraud and Whistle-Blowing Strategies (April 2016). In intervening years, the Director of Finance and the Director of Corporate and Legal Services run a mandatory refresher on Fraud and Behaviour (May 2016).</p> <p>The Director of Corporate and Legal Services reviewed the contract document for the major service contracts awarded from April 2012, to ensure that the provisions of the Bribery Act were properly addressed.</p> <p>The Director of Finance asked for an internal audit of the Council's anti-fraud arrangements. This is to focus on the position once the Council's Investigations staff transfer to the DWP's Single Fraud Investigation Service. This was reported to the Accounts and Governance Committee on 26 February 2015. Minor changes have been made in the light of the report's recommendations. Fraud and corruption was covered as part of the Members' Induction Training in June 2016. Training to Members on the Code of Conduct was provided in September 2016 in three separate sessions.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N27 - Legionella

Description of risk:	A Legionella outbreak may occur
Responsible Officer:	Assistant Director Technical Services

I Risk Rating Without Controls

Potential negative outcome:	Illness and possible death of members of staff and/or public.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	The outbreak at Barrow BC shows this is a possibility				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>The then Director of Technical Services set down in a report to Management Team the steps the Council has in place to ensure that all the appropriate steps to guard against Legionella are in place. These were also reported to the Risk Management Group and the Health and Safety Management Group.</p> <p>As part of the Management of Succession restructure, resource in the Technical Services Team was reduced. It has been confirmed that the Legionella checks continue to be undertaken.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N28 – Loss of Experienced Staff at Council Contractor

Description of risk:	A number of experienced and well known staff at the Council's contractor are due to leave. This could result in service levels not being maintained.
Responsible Officer:	Assistant Director Technical Services

I Risk Rating Without Controls

Potential negative outcome:					
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	Depends on arrangements agreed and put in place. There is always a risk when staff leave and are replaced that experience and relationships will be lost. Careful contract management should mitigate the risks.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input checked="" type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input checked="" type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>Contracts are clear on specifications and work standards.</p> <p>Clear contract monitoring arrangements are in place.</p> <p>Regular monitoring meetings are held.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N29 – Alternative Delivery Methods (ADMs)

Description of risk:	The risks of ADMs are not properly managed and mitigated
Responsible Officer:	Assistant Director Commercial Services

I Risk Rating Without Controls

Potential negative outcome:	<p>With funding sources reducing Councils are being encouraged to use ADMs to deliver services and, in particular, raise additional income. By their nature, ADMs can often be considerably more complex and risky than normal delivery models. If risks are not properly identified at the start and then assessed, mitigated and managed then a range of negative outcomes may arise.</p> <p>Clarity will be needed about the precise role of any ADM. Staff should be clear as to if they are delivering a service for the Council or assisting an ADM with clear reporting lines in place and adequate resources made available to ensure the day-to-day business of the Council is not affected.</p>				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	ADMs will raise issues that the Council does not have the expertise to address. If appropriate specialist advice is not obtained and due diligence undertaken before an ADM is committed to then substantial difficulties may arise.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>All ADMs will be taken to either the Executive or Council. The Risk Management section of the report will include a detailed assessment of the risks and how they are mitigated and managed. This will include setting out any specialist advice obtained and what due diligence steps have been undertaken.</p> <p>The Director of Finance drew up a report on setting up Council-owned companies and took this to Management Team in September 2014. This will serve as a guide to ensure all appropriate steps are undertaken (especially due diligence) if setting up a company is being considered.</p> <p>The specialists from Grant Thornton gave a presentation on ADMs to Management Team (June 2015).</p> <p>The Council has recently registered a trading company called 'Heart of Cumbria Limited'. It is anticipated the Company will be commercially trading in 2017-2018. The Director of Finance was given delegated authority by Council on 12 January 2017 to ensure adequate controls are put in place regarding the Company's finances.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk N30 – Accommodation

Description of risk:	Lack of appropriate, safe accommodation for staff
Responsible Officer:	Deputy Chief Executive

I Risk Rating Without Controls

Potential negative outcome:	Overcrowding, low staff morale, increased accident risk. The Council is currently advertising for a number of newly created posts for which accommodation has not been identified.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	Assuming appointments are made, the risk is imminent				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input checked="" type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input checked="" type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	The Council is currently reviewing its accommodation requirements for the future and a report to Members will be presented outlining options to overcome the issue.				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk F1 - Exposure to Interest Rate Fluctuations

Description of risk:	Exposure to interest rate fluctuations
Responsible Officers:	Treasury Management Group / Director of Finance

I Risk Rating Without Controls

Potential negative outcome:	The Council's budgeted income is not achieved, thereby impacting on service delivery				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	Interest rates can be very volatile.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>The management of cash balances has been brought in-house, mainly to minimise fluctuations in returns.</p> <p>The Council maintains high reserves (nearly twice the amount raised annually in Council Tax) to ensure that services are protected in the short and medium term.</p> <p>It should be noted that, with interest rates currently at levels never seen before (0.25%), due to Brexit, the scope for significant volatility is low.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk F2 – Financial Resilience

Description of risk:	Budget Deficit
Responsible Officer:	Director of Finance

I Risk Rating Without Controls

Potential negative outcome:	A budget deficit requires unpalatable savings				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>Whilst the Council has a balanced MTFP, there are a number of risks such as:</p> <ul style="list-style-type: none"> • volatility of New Homes Bonus and Business Rates Retention income • changes to Government grants and funding generally 				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>Careful monitoring will be required to ensure that the balanced budget can be maintained despite future challenges.</p> <p>The Medium Term Financial Plan, agreed as part of the budget (Council, 16 February) shows the Council has a balanced budget up to and including 2020-2021. This is subject to several assumptions.</p> <p>Council submitted an Efficiency Plan to the DCLG. This was accepted and guarantees direct Government funding for 2017-2020. The Government has committed to a system of 100% Business Rates Retention for 2019. If the value of current funding streams are not replaced by this, then the Council will face a £1m ongoing revenue deficit. Plans are in place to offset this.</p> <p>The Council has now agreed a Commercial Plan covering the period 2017–2020. The purpose of the Commercial Plan is to seek savings or income to bridge a potential funding gap of £1,000,000 by 2021 and so mitigate risks associated with uncertainties around central Government funding streams.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	15	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>							

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:	Expenditure reductions, new sources of income identified				
By Whom?	Management Team				
Target Date:	1 April 2019				
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input checked="" type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

*This will need to be kept under regular review

Risk Assessment: Risk F3 - Limited Capital Reserves

Description of risk:	Limited Capital Reserves
Responsible Officers:	Management Team

I Risk Rating Without Controls

Potential negative outcome:	The Council does not have the capital resources to achieve its aims and objectives.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>The available capital funding is fully committed to the current Capital Programme. Areas of resource pressures are arising, such as for disabled facilities grants.</p> <p>External funding is likely to be very limited.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input checked="" type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input checked="" type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<ul style="list-style-type: none"> Maximisation of income from asset sales (the Asset Management Group is pursuing this). Identification of external funding sources. Prioritisation of capital projects in line with corporate objectives. Borrowing and revenue contributions are considered on the merits of each project. Following report on capital funding (Council 9 February 2012), if any land is used for affordable housing, then any value foregone is transferred from the affordable housing fund to protect the Capital Programme's funding. Strong reserves give a funding source. 				
Likelihood Rating C with existing controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	15	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>							

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input checked="" type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/> *							

*Inadequacy of capital resources will probably be an ongoing issue.

Risk Assessment: Risk F4 - Increase in Employer's Pension Contributions

Description of risk:	Increase in Employer's Pension Contribution
Responsible Officer:	Director of Finance

I Risk Rating Without Controls

Potential negative outcome:	The employer's pension fund contribution increases substantially. The increased cost would have to be funded by service reductions.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input checked="" type="checkbox"/>	Major 4 <input type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	Will depend on next triennial valuation with any new rates coming in April 2020.				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input checked="" type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input checked="" type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	Revenue Reserves maintained at a high level.				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6		8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input checked="" type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/> *	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

*Until the next triennial valuation – will set rates from April 2017 to March 2020.

Risk Assessment: Risk F5 - Treasury Management

Description of risk:	The Council may lose a deposit if a borrower defaults on payments.
Responsible Officer:	Financial Services Manager

I Risk Rating Without Controls

Potential negative outcome:	Major financial loss				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>Until the events of October 2008, this risk was seen as very remote. The loss of monies by many Councils shows this is not the case.</p> <p>The vote to leave the European Union may have an effect.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input checked="" type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input checked="" type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>The procedures to be followed are set out in the agreed Treasury Management policy.</p> <p>The Council has access to advice from its retained advisers and operates its policy in the light of this advice.</p> <p>The Council has invested £4m in a property fund. This was approved by Council on 20 February 2014 (£2m), 19 February 2015 (£1m) and 18 February 2016 (£1m).</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/> *	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

*The Council's policies and operations have stood it in good stead and no additional controls are proposed. Recent events, however, have shown that good, sound, controls can be over-whelmed by extraordinary events.

Risk Assessment: F6 - Leisure Management Contractor

Description of risk:	Leisure Management Contractor
Responsible Officer:	Assistant Director Technical Services

I Risk Rating Without Controls

Potential negative outcome:	<p>In awarding the leisure management contract, Council, on 1 December 2011, agreed to give an indemnity to the successful leisure management contract. This was to indemnify the contractor if the provisions that relate to trusts re VAT and business rates were to change. The total amount (stated in the report) is £235,000.</p> <p>If the VAT or Business Rates status of the Trust changes, then under the indemnity the Council would be required to meet the cost of the change. Similarly, if the contractor was no longer able to perform the contract and the Council had to take the service back, it would lose the financial benefit re Business Rates and VAT.</p>				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>The contractor (NCL) reported a loss on the Eden contract in its 2013-2014 accounts. If the loss is not addressed it may be unsustainable. The issues continued and in December 2014, Council agreed a series of measures designed to aid its contractor improve its financial standing.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>Council, on 4 December 2014, agreed two proposals aimed at improving the profitability of the contract. This appears to be helping to put the contract on a more sustainable footing.</p> <p>The Greenwich Leisure Limited Group has completely taken over NCL. NCL no longer exists.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk F7 – Recycling Credits

Description of risk:	Cumbria County Council have regularly proposed to reduce the amount paid for each tonne of recycled waste (recycling credits)
Responsible Officer:	Assistant Director Technical Services

I Risk Rating Without Controls

Potential negative outcome:					
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?	<p>Reduction of income: recycling credits are a substantial income.</p> <p>The County raised this as a savings area for its 2016-2017 budget at a special Chief Executive's briefing on 15 June 2016. This was not repeated during the 2017-2018 process, but it does remain a risk.</p> <p>It is expected this will be revisited by the County Council during at some stage in future budget processes.</p>				
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:		The Council has told the County that proposals to reduce credits are not legal, as credits are currently at the statutory level. The other Cumbrian Districts have made a similar response. There were no proposals in the County's 2017-2018 budget proposals to reduce credits. It is expected this will be revisited by the County Council during its future budget processes.			
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

No Further Action Required

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:					
By Whom?					
Target Date:					
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>							

Risk Assessment: Risk F8 - Effects of Brexit

Description of risk:	Effects of Brexit. These could be reduced income on investments, reduced central Government funding, or increased inflation
Responsible Officers:	Director of Finance

I Risk Rating Without Controls

Potential negative outcome:	The Council cannot set a reasonable and balanced budget. Service cuts not previously planned may become necessary. Potential loss of principal invested.				
Outcome Rating A	Slight 1 <input type="checkbox"/>	Moderate 2 <input type="checkbox"/>	Serious 3 <input type="checkbox"/>	Major 4 <input checked="" type="checkbox"/>	Catastrophic 5 <input type="checkbox"/>

What is the likelihood of risk occurring?					
Likelihood Rating B without controls	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating without controls: (A x B)	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>

II Risk Rating With Existing Controls

Existing					
Controls:	<p>Monthly budget monitoring statement produced and submitted to Resources Portfolio Holder and Management Team.</p> <p>Brexit is a standing item on Management Team agenda.</p> <p>The Council takes regular advice from its advisors.</p> <p>The Treasury Management Group meets regularly and reviews matters arising from this.</p>				
Likelihood Rating C with existing controls	Unlikely 1 <input checked="" type="checkbox"/>	Possible 2 <input type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant risk rating with existing controls in place (A x C):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	15	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input checked="" type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							

III Risk Rating Following Action Plan

Risk Assessment Action Plan					
Action Required:	Monitor and evaluate financial effects of BREXIT vote Evaluate effects of financial information on the Council				
By Whom?	Director of Finance and Management Team				
Target Date:	Ongoing				
Likelihood Rating D with controls in place	Unlikely 1 <input type="checkbox"/>	Possible 2 <input checked="" type="checkbox"/>	Likely 3 <input type="checkbox"/>	Probable 4 <input type="checkbox"/>	Imminent 5 <input type="checkbox"/>

Resultant Risk Rating with Action Plan in place (A x D):	Unacceptable	12	<input type="checkbox"/>	15	<input type="checkbox"/>	16	<input type="checkbox"/>	20	<input type="checkbox"/>	25	<input type="checkbox"/>
	Above Acceptable	6	<input type="checkbox"/>	8	<input checked="" type="checkbox"/>	9	<input type="checkbox"/>	10	<input type="checkbox"/>		
	Acceptable	1	<input type="checkbox"/>	2	<input type="checkbox"/>	3	<input type="checkbox"/>	4	<input type="checkbox"/>	5	<input type="checkbox"/>
Controls Adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>							