

SOUTH LAKELAND DISTRICT COUNCIL

South Lakeland House Kendal, Cumbria LA9 4UQ

www.southlakeland.gov.uk



Monday, 18 July 2016

Dear Sir/Madam

Audit Committee - Thursday, 21 July 2016

I am now able to enclose, for consideration at the above-mentioned meeting, the following documents that were unavailable when the agenda was printed

15 Risk Management Update – Appendix 1

To consider the Strategic Risk Register.

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Debbie Storr

Director of Policy and Resources (Monitoring Officer)

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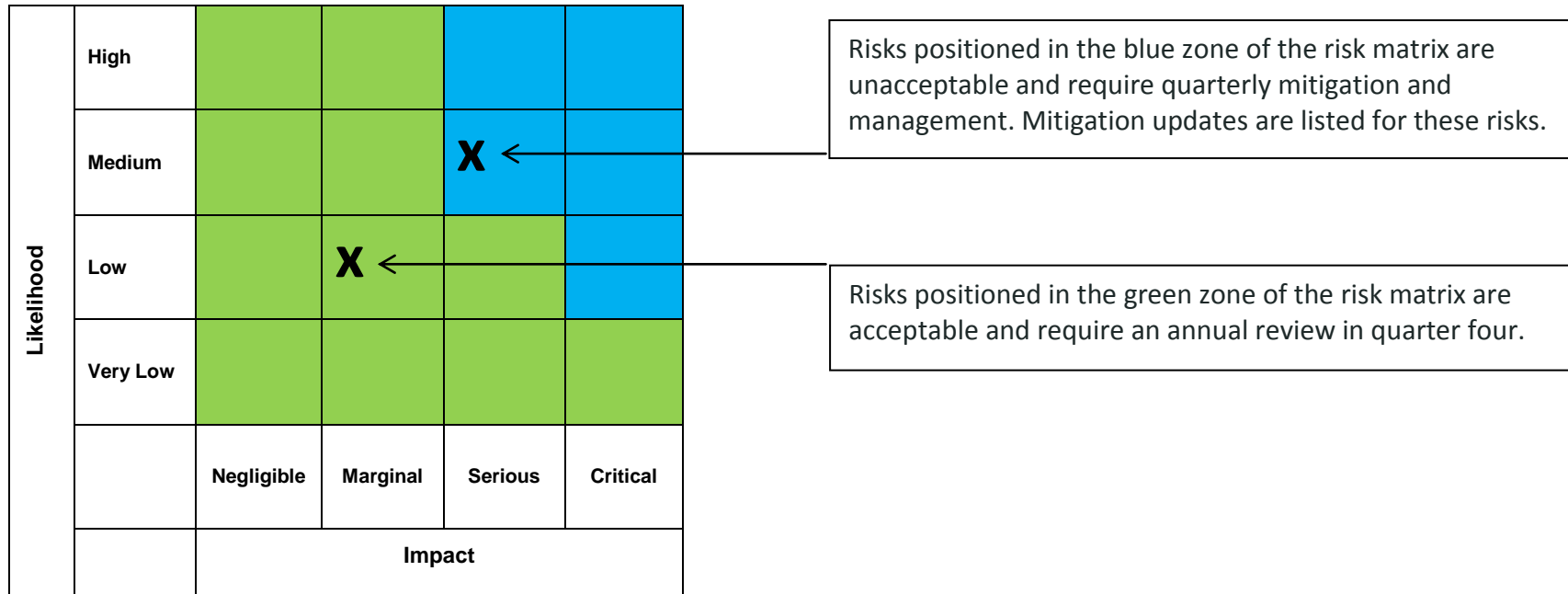
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Strategic Risks Register - Quarter 1, 2016/17

How to understand this report:

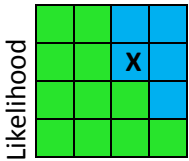
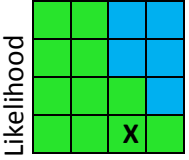
This register contains the full and complete list of the Council’s Strategic Risks.

The risk matrix - risks are prioritised by considering their degree of likelihood and impact:



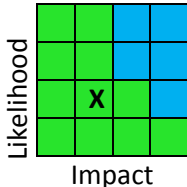
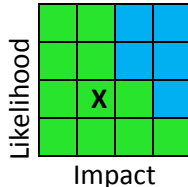
The next page shows how the information for each risk is presented.

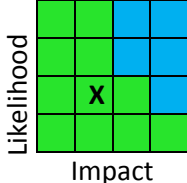
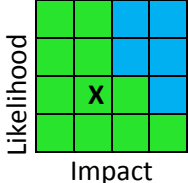
Each risk is presented with the following information:

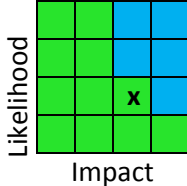
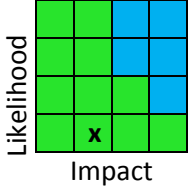
<p>Risk No. & Name The risk name is a concise and clear title for the risk</p> <p>Description A description of the circumstances which help to generate risk</p>		<p>Current Position of Risk This risk matrix shows the current position of the risk.</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Review Date: The date when this risk will be considered and reviewed</p>		<p>Target Position of Risk This risk matrix shows the desired position of the risk following the completion of mitigations.</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date: The date that the risk must reach the target position – through the completion of mitigations.</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
A mitigation is an action which is designed to reduce or eliminate the risk. The mitigation can improve the likelihood or impact of the risk.		A short update on progress made with the mitigation		The person responsible for progressing the mitigation		Mitigations should be implemented by their due dates for the risk to be improved effectively.	
History of Risk Improvement	<p>For each risk a history of risk review and improvement is shown: RISK POSITION IMPROVED ↓ = a risk review indicates that there is now less risk RISK POSITION INCREASED ↑ = a risk review indicates that there is now more risk RISK POSITION UNCHANGED ↔ = a risk review indicates that there is the same level of risk RISK IDENTIFIED ● = a newly identified risk is entered onto this register</p>						
Risk Owner	The person with sufficient authority to control this risk			Portfolio	the Portfolio that this risk is relevant to		

Strategic Risks Register

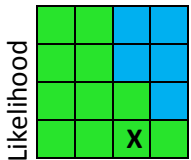
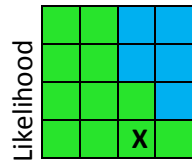
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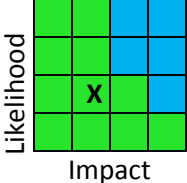
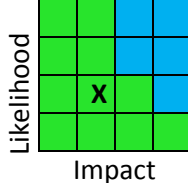
<p>Risk 1 Income targets are not met due to ineffective debt collection</p> <p>Description This risk is now archived from the Strategic Risk Register and will not appear for Q2 2016/17.</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Review Date Annual – end of March</p>		<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Not applicable risk is below tolerance</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
Mitigations are not applicable as this risk is below tolerance.		n/a		n/a		n/a	
History of Risk Improvement		<p>Risks positioned in the green zone of the risk matrix are acceptable and require an annual review in quarter four. Q4 2014/15: RISK POSITION UNCHANGED ↔ - on 09/04/15 Senior Management Team reviewed this risk as Impact Marginal and Likelihood Low. Q4 2015/16: RISK POSITION UNCHANGED ↔ - risk reviewed as Impact Marginal and Likelihood Low by Assistant Director of Resources (Section 151). Risk owner amended to 'Assistant Director and Director for each Service Area' to reflect cross council responsibility. Next review is Q4 2016/17 Q1 2016/17 SMT Risk Register Review: ARCHIVED - Decision that this risk is now operational and managed at operational level. This risk is now archived from the Strategic Risk Register and will not appear for Q2 2016/17.</p>					
Risk Owner		Assistant Director and Director for each Service Area		Portfolio		Finance Portfolio	

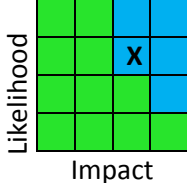
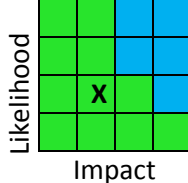
<p>Risk 2 Contracts do not deliver the standards of performance required within the contract fee agreed.</p> <p>Description</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Review Date Annual – end of March</p>		<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Not applicable risk is below tolerance</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
Mitigations are not applicable as this risk is below tolerance.		n/a		n/a		n/a	
History of Risk Improvement		<p>This risk is within risk tolerance and requires an annual review during Quarter Four.</p> <p>Q4 2014/15: RISK POSITION IMPROVED ↓ - on 09/04/15 Senior Management Team reviewed this risk as Impact Marginal and Likelihood Low. Risk ownership is allocated to each Assistant Director.</p> <p>Q4 2015/16: RISK POSITION UNCHANGED ↔ - risk reviewed as Impact Marginal and Likelihood Low. Next review is Q4 2016/17</p> <p>Q1 2016/17 SMT Risk Register Review: RISK POSITION UNCHANGED ↔ - risk reviewed as Impact Marginal and Likelihood Low. Next review is Q4 2016/17</p>					
Risk Owner		Assistant Directors		Portfolio		Finance Portfolio	

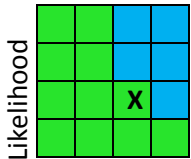
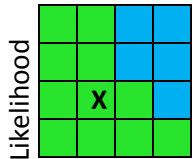
<p>Risk 3 Business Continuity</p> <p>Description 1/ Loss of South Lakeland House and Server room prevents access to systems and data: Loss of main office and server room due to major fire prevents access to systems and data. Likelihood is low due to fire prevention measures however impact is critical as affects all services at once, some at critical times. The remote access server that allows people to access systems and data from remote locations is based in South Lakeland House and if destroyed would severely limit services. A fire could also destroy most laptops. The delay in getting new laptops supplied with an SLDC configuration would again severely limit services. 2/ Loss of telecommunications due to external or internal infrastructure failure: Likelihood is at least significant as telephony issues occur several times each year. Impact is serious as affects all services for up to a day and inevitably at critical times. A current work around in extremis allows public calls to be redirected to Eden and then to Canal Head Depot, however staff would have to use mobiles to make external calls. The Emergency Control Room (SLDC Contact Centre) has independent phone lines and WIFI internet access and mobile phone reception in place.</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Review Date Quarterly</p>	<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Not applicable as risk is below tolerance</p>
Mitigation	Mitigation Progress	Mitigation Action Owner	Mitigation Due Date
Resilient internet connection to provide email	<p>Due date now set and technical options are being evaluated.</p> <p>Update 14/07/16: Configuration options have been reviewed and the only solution is to purchase a separate broadband connection into South Lakeland House. Costs to be confirmed so that a decision can be</p>	IT Services Manager	01/09/16

	made to proceed or not.		
Resilient internet connection to provide the public with access to Council data	Options are being reviewed. Update 14/07/16: The solution to this mitigation is the same as the mitigation above.	IT Services Manager	01/09/16
Resilient telephony network	Complexity of technical solution requires amended due date.	IT Services Manager	31/12/16
Review of low bandwidth network connected sites	Review is underway but other mitigations are higher priority	IT Services Manager	31/12/16
History of Risk Improvement	<p>For previous updates please see earlier versions of this risk register.</p> <p>Q4 2015/16: POSITION UNCHANGED ↔ - Progress is on track with three further mitigations completed. Risk reviewed as having Impact Critical and Likelihood Low.</p> <p>Q1 2016/17: POSITION UNCHANGED ↔ - Awaiting costs for decision on viability to proceed on purchase of a separate broadband connection into South Lakeland House. Risk reviewed as having Impact Critical and Likelihood Low. May be broadened out to include staff resources and financial aspects.</p> <p>Q1 2016/17 SMT Risk Register Review: RISK POSITION IMPROVED ↓ - Risk reviewed as having Impact Serious and Likelihood Low. Risk is improved due to progress with mitigations. Completed actions and early previous history has been archived. During Q2 this risk may be developed to include loss of staff and financial impacts.</p>		
Risk Owner	Assistant Director Performance and Innovation	Portfolio	Council Organisation and People Portfolio – Deputy Leader

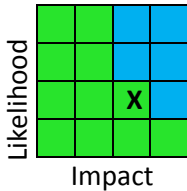
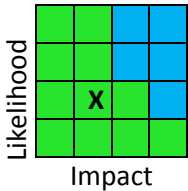
<p>Risk 4 Affordable housing targets are not met.</p> <p>Description There is a risk that the Council may not achieve the Council Plan target: ‘By 2025 we will have enabled with the private sector the development of 1,000 new affordable homes for rent’. The Council will need to enable delivery of new affordable and open market housing particularly through private sector led development across the district.</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Review Date Annual – end of March</p>		<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Not applicable risk is below tolerance</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
Mitigations are not applicable as risk is below tolerance		n/a		n/a		n/a	
History of Risk Improvement	<p>This risk is within risk tolerance and requires an annual review during Quarter Four.</p> <p>Q4 2014/15: RISK POSITION IMPROVED ↓ - on 09/04/15 Senior Management Team reviewed this risk as Impact Serious and Likelihood Very Low, performance monitoring indicates that housing targets are on track.</p> <p>Q4 2015/16: POSITION UNCHANGED ↔ - Senior Management Team reviewed this risk as Impact Serious and Likelihood Very Low, performance monitoring continues to indicate that housing targets are on track. Next review is Q4 2016/17</p> <p>Q1 2016/17 SMT Risk Register Review: RISK POSITION UNCHANGED ↔ - Senior Management Team reviewed this risk as Impact Serious and Likelihood Very Low – to be reviewed in Q2.</p>						
Risk Owner	Assistant Director Strategic Development			Portfolio	Housing and Innovation Portfolio		

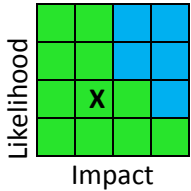
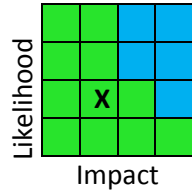
<p>Risk 5 Impact of the Welfare Reform on communities</p> <p>Description Welfare reform is a major element of recent government spending cuts - resulting in significant changes to taxes and benefits. Universal Credit may have an impact on the level of benefits. Welfare reform therefore impacts on low-income tenants and social landlords.</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Review Date Annual – end of March</p>		<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Not applicable risk is below tolerance</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
Mitigations are not applicable as this risk is below tolerance.		n/a		n/a		n/a	
History of Risk Improvement		<p>This risk is within risk tolerance and requires an annual review during Quarter Four.</p> <p>Q4 2014/15: RISK POSITION UNCHANGED ↔ - on 09/04/15 Senior Management Team reviewed this risk as Impact Marginal and Likelihood Low.</p> <p>Q4 2015/16: RISK POSITION UNCHANGED ↔ - reviewed risk is Impact Marginal and Likelihood Low. Next review is Q4 2016/17</p> <p>Q1 2016/17 SMT Risk Register Review: RISK POSITION UNCHANGED ↔ - reviewed risk is Impact Marginal and Likelihood Low. Next review to be in Q2.</p>					
Risk Owner		Assistant Director & Chief Finance Officer		Portfolio		Culture and Wellbeing Portfolio	

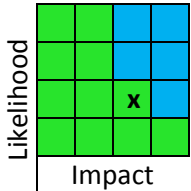
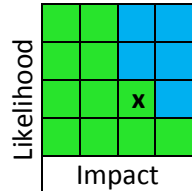
<p>Risk 6 Medium Term Financial Planning – delivery of a balanced budget</p> <p>Description Current and future years proposed budget reductions (expenditure and income) are not achieved. Future year’s budget reductions (expenditure or income) are not identified. Significant existing income sources are not protected or effectively managed. Income from Central Government is reduced above the current assumptions. NDR income assumptions are not achieved.</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Review Date Quarterly</p>		<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Annual – end of March</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
MTFP assumptions are reviewed, updated and reported on a quarterly basis		Mitigation is in place and on track		Assistant Director of Resources (Section 151)		Each quarter	
Options to resolve any issues are provided to the Cabinet each quarter		Mitigation is in place and on track		Assistant Director of Resources (Section 151). Assistant Directors Directors		Each quarter	
History of Risk Improvement	<p>For previous updates please see earlier versions of this risk register.</p> <p>Q2 2015/16: RISK POSITION UNCHANGED ↔ - Risk reviewed as having serious impact and significant likelihood. Mitigations are on track.</p> <p>Q3 2015/16: RISK POSITION UNCHANGED ↔ - Risk reviewed as having serious impact and significant likelihood. The name of the risk has been expanded to increase clarity. The 16/17 Draft Budget Report updates the deficit projections which after the four year period are as they were estimated. Options for all years have been provided. Mitigations are on track.</p> <p>Q4 2015/16: RISK POSITION UNCHANGED ↔ - Risk reviewed as having serious impact and significant likelihood. Assistant Directors and Directors have been added to mitigation ‘Options to resolve any issues are provided to the Cabinet each quarter’ to reflect cross council responsibility.</p> <p>Q1 2016/17 SMT Risk Register Review: RISK POSITION UNCHANGED ↔ - Risk reviewed as having serious impact and significant likelihood. Early previous history is archived.</p>						
Risk Owner	Assistant Director & Chief Finance Officer			Portfolio	Finance Portfolio		

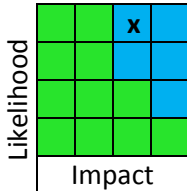
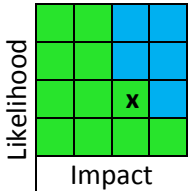
<p>Risk 7 Information Management</p> <p>Description The Council is required to have effective information governance procedures. It will be necessary to manage corporate information by implementing processes, roles and controls - including the Data Protection and Information Security Policies.</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Review Date Quarterly</p>		<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Not applicable risk is below tolerance</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
Continue to reinforce key standards and policies via regular communication. Ensure Managers are appropriately trained and requirements are clearly set out in Job Descriptions and reinforced via appraisals. Ensure Internal Audit findings are acted on in a timely manner.		This mitigation added on 11/11/15 Training schedule in early draft. Key standards to be agreed by HR Committee in summer 2016		Principal Performance and Intelligence Officer		Summer 2016	
Clear and ongoing communications to staff to reinforce policies and protocols. Regular review and monitoring of arrangements across services by Operational Managers supported by Information Security/ Governance Teams in Policy & Partnerships and ICT.		This mitigation added on 11/11/15 Training schedule in early draft. Key standards to be agreed by HR Committee in summer 2016		Principal Performance and Intelligence Officer		Summer 2016	
History of Risk Improvement	<p>For previous updates please see earlier versions of this risk register. Q2 2015/16: RISK POSITION UNCHANGED ↔ - Policy and Partnerships has assessed the risk as having Impact Serious and Likelihood Medium. Q3 2015/16: RISK POSITION UNCHANGED ↔ - Policy and Partnerships has assessed the risk as having Impact Serious and Likelihood Medium.</p>						

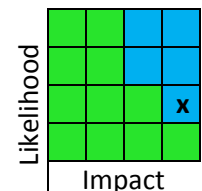
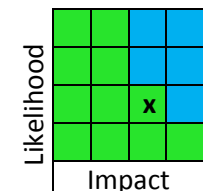
	Q4 2015/16: RISK POSITION UNCHANGED ↔ - Policy and Partnerships has assessed the risk as having Impact Serious and Likelihood Medium. Q1 2016/17 SMT Risk Register Review: RISK POSITION IMPROVED ↓ - Senior Management Team has reviewed as having Impact Serious and Likelihood Low. Likelihood has reduced due to progress with mitigations. Completed mitigations and early previous history have been archived.		
Risk Owner	Assistant Director Performance and Innovation	Portfolio	Housing and Innovation Portfolio

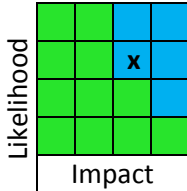
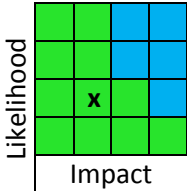
<p>Risk 8</p> <p>The infrastructure required to deliver the Council Plan priorities is not provided.</p> <p>Description Infrastructure is required to support businesses and housing development objectives. The Council will need to implement the Community Infrastructure Levy (CIL) to provide funding stream for infrastructure delivery. There will need to be protocols for CIL Governance and an up to date Infrastructure Delivery Plan. Due to the impacts of Storm Desmond there may be implications associated with future flood resilience measures and infrastructure repairs.</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Review Date Quarterly</p>		<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Not applicable risk is below tolerance</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
Annual update of Infrastructure Delivery Plan.		Review largely complete to be reported to Cabinet		Development Strategy and Housing Manager		01/12/16	
Development of protocols for CIL Governance.		To be reported to Cabinet		Development Strategy and Housing Manager		01/12/16	
CIL Review proposed as part of Development Management Policies process.		To be undertaken when draft DM policies are consulted upon in Autumn 2016		Development Strategy and Housing Manager		01/03/18	
History of Risk Improvement		For previous updates please see earlier versions of this risk register. Q3 2015/16: RISK POSITION UNCHANGED ↔ - Risk remains unchanged at Impact Serious and Likelihood Medium. Due dates of mitigations have been amended to tie in with scheduled timescales. Q4 2015/16: RISK POSITION IMPROVED ↓ - Risk reviewed as Impact Serious and Likelihood Low. Significant CIL liabilities identified. Some Kendal Town Centre projects implemented. Air quality position improved. Next review is Q4 2016/17. Q1 2016/17 SMT Risk Register Review: RISK POSITION UNCHANGED ↔ - Risk remains unchanged at Impact Serious and Likelihood Medium. Description of risk is widened out to reflect implications associated with Storm Desmond. Completed mitigations and early previous history have been archived.					
Risk Owner		Assistant Director Strategic Development		Portfolio		Housing and Innovation Portfolio	

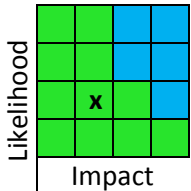
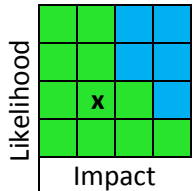
<p>Risk 9 Essential strategic partnerships required to deliver the Council Plan do not operate effectively.</p> <p>Description Where necessary robust agreements will be needed. Also opportunities and resource implications should be identified. Partnerships will need to work supportively to achieve Council Plan objectives.</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Review Date Annual</p>		<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Target met</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
Monitor resource, cost and reputational impact with established strategic partnerships		No cost implications to the council in maintaining partnerships		Partnerships & Organisational Development Manager		31/03/17 annual review	
History of Risk Improvement	<p>For previous updates please see earlier versions of this risk register.</p> <p>Q4 2014/15: RISK POSITION UNCHANGED ↔ - on 09/04/15 Senior Management Team reprioritised risk as Serious Impact and Medium Likelihood.</p> <p>Q1 2015/16: RISK POSITION IMPROVED ↓ - following appraisal by Policy and Partnerships it has been decided that mitigations 1 & 2 are met. Policy and Partnerships confirm that the risk has reached the target position of Likelihood Low and Impact Marginal. Next review is now in Q4.</p> <p>Q4 2015/16: RISK POSITION UNCHANGED ↔ - risk remains at Likelihood Low and Impact Marginal. Next review is Q4 2016/17</p> <p>Q1 2016/17 SMT Risk Register Review: RISK POSITION UNCHANGED ↔ - risk reviewed as Likelihood Low and Impact Marginal. Completed mitigations have been archived. Mitigation due date reset to reflect the next annual review.</p>						
Risk Owner	Chief Executive			Portfolio	Promoting South Lakeland Portfolio – Leader		

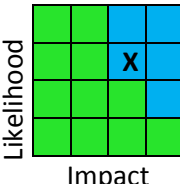
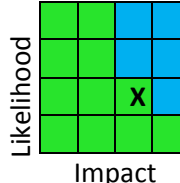
<p>Risk 10 Procurement compliance with new legislation</p> <p>Description This risk is now archived from the Strategic Risk Register</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Next Review Date Quarterly</p>		<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Not applicable risk is below tolerance</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
Implement training programme for relevant officers		Completed		Assistant Director of Resources (Section 151)		31/03/16	
Commission external support to assist with extra workloads		Currently not required		Assistant Director of Resources (Section 151)		As required	
History of Risk Improvement	<p>For previous updates please see earlier versions of this risk register.</p> <p>Q4 2015/16: RISK POSITION UNCHANGED ↔ - Risk reviewed as having Serious Impact and Low Likelihood. Assistant Director of Resources (Section 151) amended risk ownership to include Directors and Assistant Directors for each Service Area to reflect cross council responsibility. The risk description has also been updated. Next review is Q4 2016/17</p> <p>Q1 2016/17 SMT Risk Register Review: ARCHIVED – Mitigations have ensured compliance and greatly reduced this risk. Decision that this risk is now archived from the Strategic Risk Register and will not appear for Q2 2016/17. Completed mitigations and early previous history have been archived.</p>						
Risk Owner	Assistant Director & Chief Finance Officer and Directors, Assistant Directors for each Service Area.			Portfolio	Finance Portfolio		

<p>Risk 11</p> <p>Planning for the future of the major contracts and workload implications for support services</p> <p>Description of risk Services need to be able to accurately predict the level of work required in support of letting several major contracts. Work will need to start in 2015 to be on schedule.</p> <p>The current situation is as follows: Low workload uncertainty: Property Management contract for 2016. High workload uncertainty: Grounds Maintenance Contract for 2017.</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Next Review Date Quarterly</p>	<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Not applicable – risk is archived</p>				
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
History of Risk Improvement	For previous updates please see earlier versions of this risk register. Q4 2015/16: RISK POSITION UNCHANGED ↔ - Financial Services Manager reviewed risk as Impact Serious and Likelihood High. Q1 2016/17 SMT Risk Register Review: ARCHIVED – Mitigations have been effective in greatly reducing this risk. Decision that this risk is archived from the Strategic Risk Register and will not appear for Q2 2016/17. Completed mitigations and early previous history have been archived.						
Risk Owner	Director of Policy and Resources - Monitoring Officer			Portfolio	Finance Portfolio		

Risk 12 Health and Safety management of contracts Description of risk Health and safety management arrangements require a review for officer led contracts. A review may indicate new requirements and resources. Expert legal advice is required in order to achieve compliance and reasonable cost.		Current Position of Risk  Green zone: review annually Blue zone: manage quarterly Next Review Date Quarterly		Target Position of Risk  Green zone: review annually Blue zone: manage quarterly Target Date 31/03/17			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
1/ Contracts Management Health and Safety training is provided		Completed		Principle Health, Safety and Wellbeing Officer		09/04/15	
2/ Officer leads carry out onsite H&S monitoring which is proportionate to the risk		ongoing		All staff managing contracts		Ongoing requirement	
3/ Officer led contracts are subject to spot checks for onsite monitoring records.		Q4 2015/16: Initial assessment indicates that evidence exists for H&S checks		All managers with contracts.		Ongoing requirement	
History of Risk Improvement		For previous updates please see earlier versions of this risk register. Q3 2015/16: RISK POSITION UNCHANGED ↔ - Risk remains at Impact Critical and Likelihood Medium. Q4 2015/16: RISK POSITION UNCHANGED ↔ - An initial assessment indicates that there is evidence of onsite H&S checks. The approach to recording checks could be improved by training. As more information on contracts develops over the next quarter this risk may improve. Risk remains at Impact Critical and Likelihood Medium. Q1 2016/17 SMT Risk Register Review: RISK POSITION IMPROVED ↓ - progress with mitigations has reduced this risk. Risk reviewed as Impact Critical and Likelihood Low. Early previous history has been archived.					
Risk Owner		Chief Executive		Portfolio		Finance Portfolio	

<p>Risk 13 Impact of new projects and initiatives</p> <p>Description of risk There is a risk that new projects and initiatives take the resources required by other projects and initiatives currently in the programme.</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Next Review Date Quarterly</p>		<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date 31/03/17</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
Potential new projects and initiatives are subject to a pre-assessment which measures their priority		Completed and ongoing requirement		Director of People and Places		Ongoing requirement	
History of Risk Improvement		<p>For previous updates please see earlier versions of this risk register.</p> <p>Q2 2015/16: RISK POSITION UNCHANGED ↔ - risk reviewed as having Impact Serious and Likelihood Medium.</p> <p>Q3 2015/16: RISK POSITION UNCHANGED ↔ - Mitigations are on track however the impact of Storm Desmond, Eva and Frank during Dec 2015 maintains the position of the risk as Impact Serious and Likelihood Medium.</p> <p>Q4 2015/16: RISK POSITION UNCHANGED ↔ - Flood Recovery activity is still significant and maintains the risk as Impact Serious and Likelihood Medium.</p> <p>Q1 2016/17 SMT Risk Register Review: RISK POSITION UNCHANGED ↔ - Flood Recovery activity continues. This risk is reviewed as Impact Serious and Likelihood Medium. Early previous history has been archived.</p>					
Risk Owner		Director of People and Places		Portfolio		Housing and Innovation Portfolio	

<p>Risk 14 Impact of efficiencies</p> <p>Description of risk New efficiencies: The changes brought about by one service can have a negative impact on the efficiency and running of another service – especially if proposals are not consulted on until too late in the process. These impacts can increase the cost of running other services. Also the changes brought about by other organisations have the potential to influence the Council.</p>		<p>Current Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Next Review Date Annual – end of March</p>		<p>Target Position of Risk</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date Not applicable risk is below tolerance</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
This risk is managed via the Service Planning and Budgeting processes.		Completed		Operational Managers Senior Management Team		Mitigations in place within existing Service Planning and Budgeting processes.	
Further mitigations are not applicable as this risk is below tolerance.		n/a		n/a		n/a	
History of Risk Improvement		<p>This risk is within risk tolerance and requires an annual review during Quarter Four. For previous updates please see earlier versions of this risk register. Q4 2014/15: RISK IDENTIFIED ● - risk separated from risk 013/14' impact of new projects'. Reviewed by Senior managers as Marginal Impact and Medium Likelihood. On 09/04/15 Senior Management Team reviewed this risk as Impact Marginal and Likelihood Medium. Q4 2015/16: RISK POSITION IMPROVED ↓ - Service Planning activity has reduced the likelihood of this risk. Risk reviewed as Impact Marginal and Likelihood Low. This risk will now be reviewed in Q4 2016/17. Q1 2016/17 SMT Risk Register Review: RISK POSITION UNCHANGED ↔ - Risk reviewed as Impact Marginal and Likelihood Low. The risk description has been developed to include partner organisations.</p>					
Risk Owner		Director of People and Places		Portfolio		Housing and Innovation Portfolio	

<p>Risk 15 Customer Connect Programme</p> <p>Description The programme fails to deliver what's set out in the programme definition and customer contact strategy.</p> <p>Customer Connect is a challenging programme that requires significant change to ways of working for staff across the Council. There are currently 25 risks on the Customer Connect Risk Log. Of these 25 risks there are 14 risks with a score of 6-12. This quantity of risk is significant and therefore requires an escalation to the Strategic Risk Register. Mitigations are in place for the risks, however the main challenges to the programme are: Scope and Ambition, Staff resources and capacity, Skills and Workforce Planning, Buy in from Customers and Training and development for staff and Councillors.</p>		<p>Current Position of Risk This risk matrix shows the current position of the risk.</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Review Date: The date when this risk will be considered and reviewed</p>		<p>Target Position of Risk This risk matrix shows the desired position of the risk following the completion of mitigations.</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p>Target Date: The date that the risk must reach the target position – through the completion of mitigations.</p>	
Mitigation	Mitigation Progress	Mitigation Action Owner	Mitigation Due Date		
The programme is being managed via the Programme Board with resources identified to deliver year 1 and 2 of the programme.	Financial resources are set aside for the programme, but there is a requirement to identify all the staff needed over the next two years to support the projects	Partnerships & Organisational Development Manager	01/07/2017		
There is a risk log for the programme	SMT have ownership of all the risks and identified mitigations	Projects & Innovation Officer	01/07/2017		
History of Risk Improvement	Q1 2016/17 SMT Risk Register Review: RISK IDENTIFIED ● - The operational risk 'Customer Connect Programme' is escalated as Likelihood Medium and Impact Serious - Senior Management Team decide to include as a Strategic Risk on the Strategic Risk Register.				
Risk Owner	Assistant Director Performance and Innovation - Senior Responsible Owner.	Portfolio	Housing & Innovation and Council Organisation & People		

