

## Strategic Risks Register - Quarter 4, 2018/19

### Introduction

Risk Management is an essential element of corporate governance arrangements. The process of risk management allows the Council to identify, prioritise and mitigate risks which may have a negative effect on services. This is an important and underpinning process which ensures good value for money and also continuity of services.

Risks are recognised as essential management information and so contribute towards decision making. This document lists all those risks which are considered as strategic in nature – in other words those risks that could have a wide impact or require senior management control.

This Strategic Risks Register is reviewed and updated every quarter by Senior Management Team. Risks above the line of tolerance are a priority and so are reviewed every quarter – whilst those below tolerance are reviewed once a year.

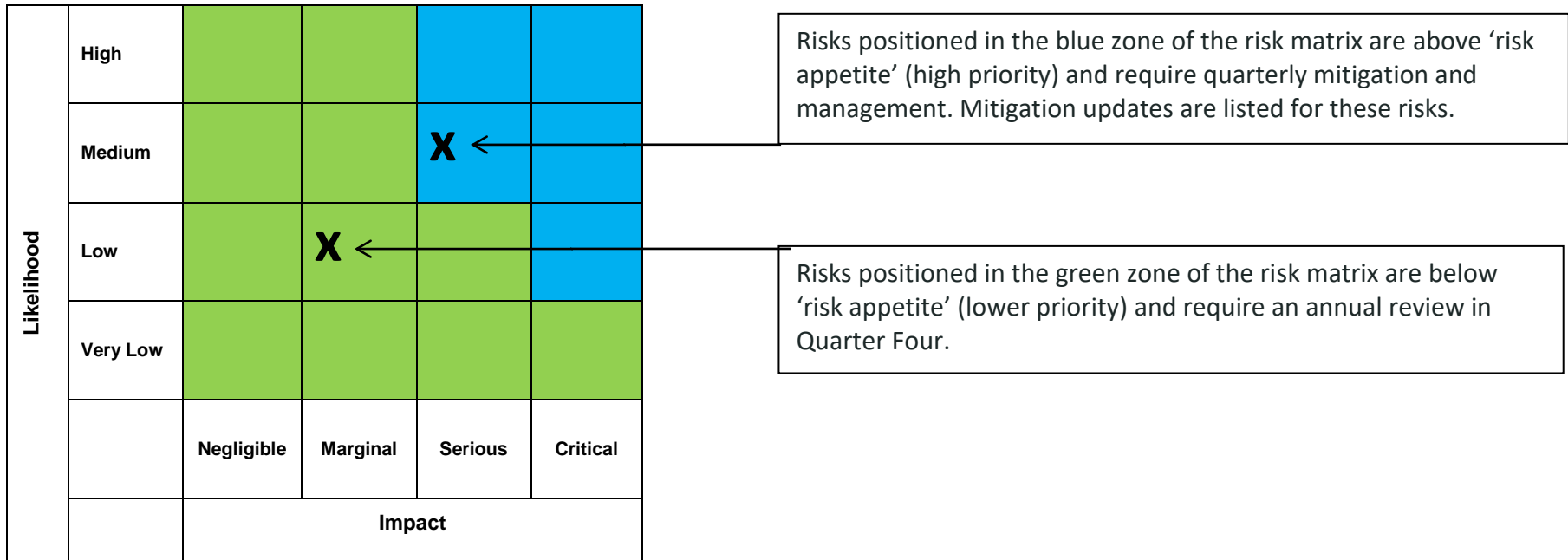
Strategic risks are by their very nature problematic and so can remain on the register for significant periods of time.

Page 2 and 3 of this report explain the risk matrix and layouts used for the risks.

Page 4 provides a Risk 'Heat Map' which provides an 'at a glance' view of the priority risks – those currently in the blue zone and so above the line of risk appetite/tolerance.

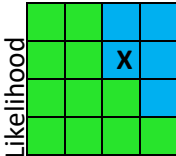
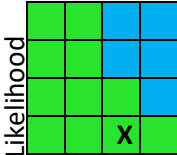
**How to understand the Risk Matrix:**

This register contains the full and complete list of the Council’s Strategic Risks. Each risk is plotted on a risk matrix to show degree of likelihood and impact. The greater the likelihood and impact the higher the priority for management. Those risks which lay above the line of ‘risk appetite’ can be seen in the blue zone of the matrix. These risks are a priority for management and are reviewed every quarter. Risks below the risk appetite, in the green zone, are a lower priority and so are reviewed on an annual basis.



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

### How to understand the layout of each risk in this report

<p><b>Risk No. &amp; Name</b> The risk name is a concise and clear title for the risk</p> <p><b>Description</b> A description of the circumstances which help to generate risk</p>		<p><b>Current Position of Risk</b> This risk matrix shows the current position of the risk.</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Review Date:</b> The date when this risk will be considered and reviewed</p>		<p><b>Target Position of Risk</b> This risk matrix shows the future position of the risk following the completion of mitigations.</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Target Date:</b> 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:</p> <p>RISK POSITION IMPROVED ↓ = a risk review indicates that there is now less risk</p> <p>RISK POSITION INCREASED ↑ = a risk review indicates that there is now more risk</p> <p>RISK POSITION UNCHANGED ↔ = a risk review indicates that there is the same level of risk</p> <p>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		

### Risk 'Heat Map' - showing the current position of all risks in this report

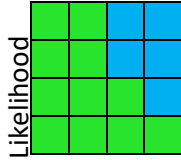
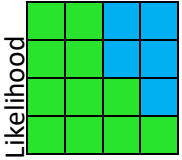
This matrix provides an 'at a glance' view of the priority risks which are positioned in the blue zone and so are above the line of risk appetite/tolerance. Click on a risk to navigate to the right page.

<b>Likelihood</b>	<b>High</b>				
	<b>Medium</b>		<a href="#">Risk 5</a>	<a href="#">Risk 6</a> <a href="#">Risk 9</a> <a href="#">Risk 14</a> <a href="#">Risk 15</a> <a href="#">Risk 20</a> <a href="#">Risk 21</a>	
	<b>Low</b>		<a href="#">Risk 13</a> <a href="#">Risk 18</a>	<a href="#">Risk 4</a> <a href="#">Risk 7</a> <a href="#">Risk 19</a>	
	<b>Very Low</b>			<a href="#">Risk 8</a>	<a href="#">Risk 16</a> <a href="#">Risk 17</a>
		<b>Negligible</b>	<b>Marginal</b>	<b>Serious</b>	<b>Critical</b>
		<b>Impact</b>			

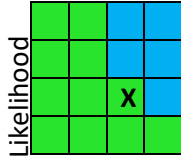
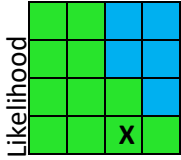
60% of risks are positioned in the green zone - below the line of 'risk appetite'

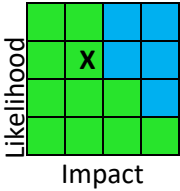
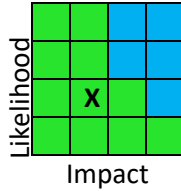
## Strategic Risks Register

Risk 1 was archived during quarter 1 2016/17

<p><b>Risk 2</b></p> <p>ARCHIVED</p> <p>Contracts do not deliver the standards of performance required within the contract fee agreed.</p> <p><a href="#">Back to 'Heat Map'</a></p>		<p><b>Current Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Review Date</b> ARCHIVED</p>		<p><b>Target Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Target Date</b> ARCHIVED</p>			
<b>Mitigation</b>		<b>Mitigation Progress</b>		<b>Mitigation Action Owner</b>		<b>Mitigation Due Date</b>	
Robust performance management arrangements		Arrangements are in place		Contract Managers		Complete and ongoing	
<b>History of Risk Improvement</b>	<p>This risk is within risk tolerance and requires an annual review during Quarter Four.</p> <p>Q4 2016/17: RISK POSITION UNCHANGED ↔ - SMT review indicates no change as the Council has three new major contracts.</p> <p>Q1 2017/18: RISK POSITION - This risk is within risk tolerance and requires an annual review during Quarter Four.</p> <p>Q4 2017/18: RISK POSITION UNCHANGED ↔ - Review indicates that the current risk remains the same in terms of likelihood and impact.</p> <p>Q4 2018/19: RISK ARCHIVED - Review indicates that this risk is now archived due to good performance and robust performance management.</p>						
<b>Risk Owner</b>	Director of Customer and Commercial Services			<b>Portfolio</b>	Finance Portfolio		

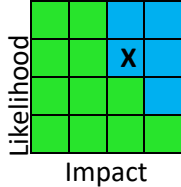
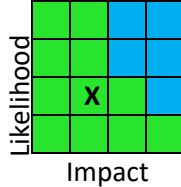
Risk 3 was archived during quarter 1 2018/19

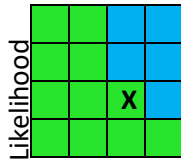
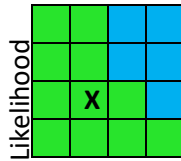
<b>Risk 4</b> Affordable housing targets are not met.  <b>Description</b> There is a risk that the Council may not achieve the Council Plan target: ‘By 2025 we will have enabled with the private sector the development of 1,000 new affordable homes for rent’. The Council will need to enable delivery of new affordable and open market housing particularly through private sector led development across the district. Performance is influenced by New Homes Bonus and Local Government Financing.  <a href="#">Back to ‘Heat Map’</a>		<b>Current Position of Risk</b>   Green zone: review annually Blue zone: manage quarterly  <b>Review Date</b> Annual – end of March		<b>Target Position of Risk</b>   Green zone: review annually Blue zone: manage quarterly  <b>Target Date</b> 31/03/20	
		<b>Mitigation</b> Mitigations are not applicable as risk is below tolerance	<b>Mitigation Progress</b> n/a	<b>Mitigation Action Owner</b> n/a	<b>Mitigation Due Date</b> n/a
<b>History of Risk Improvement</b>	This risk is within risk tolerance and requires an annual review during Quarter Four. Q4 2016/17: RISK POSITION UNCHANGED ↔ - SMT review indicates no change. Q1 2017/18: RISK POSITION - This risk is within risk tolerance and requires an annual review during Quarter Four. Q4 2017/18: RISK POSITION UNCHANGED ↔ - This risk will be retained on the register to allow regular monitoring. Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that housing performance is on track.				
<b>Risk Owner</b>	Director of Strategy, Innovation and Resources		<b>Portfolio</b>	Housing and Innovation Portfolio	

<p><b>Risk 5</b> Impact of the Welfare Reform on communities</p> <p><b>Description</b> The Council maintains this risk to mitigate as far as possible against the impacts of welfare reform. Welfare reform is a major element of recent government spending cuts resulting in significant changes to taxes and benefits - impacting on low-income tenants and social landlords. With the transfer to Universal Credit there have been widely reported issues and impacts on claimants across England. Central Government monitor the impacts of welfare reform and makes mitigating adjustments. Also South Lakeland District Council has put in place a series of mitigations which seek to reduce impacts – these mitigations can be seen below.</p> <p>The current risk position is proportionate in terms of the likelihood and impact across the whole of South Lakeland. The Council has put in place many mitigations to reduce poverty and to alleviate against universal credit impacts - the main mitigations are listed below.</p> <p><a href="#">Back to 'Heat Map'</a></p>		<p><b>Current Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Review Date</b> Annual – end of March</p>		<p><b>Target Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Target Date</b> 31/03/20</p>	
Mitigation	Mitigation Progress	Mitigation Action Owner	Mitigation Due Date		
Revenues and Benefits has regular 'Keep in Touch' meetings with Department for Work and Pensions (DWP) and also Citizens Advice (CAB)	These regular meetings share intelligence and situational awareness on any adverse impacts.	Operational Lead Support Services	Regular meetings are in place		
Revenues and Benefits 'Discretionary Housing Payment'	This payment eases financial pressures for eligible claimants	Operational Lead Support Services	Mitigating payments are in place for eligible claimants		
Council Tax Reduction Scheme	This payment helps to reduce the financial pressures for eligible	Operational Lead Support Services	Mitigating payments are in place for eligible claimants		

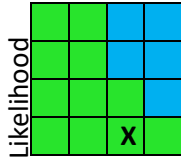
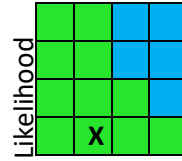
	claimants		
Building Financial Resilience Group was set up by South Lakeland District Council – it is a multi agency collaboration to reduce poverty.	This group meets on a regular basis and delivers on a poverty reduction (financial resilience) action plan.	Operational Lead Support Services	Regular meetings are in place
<b>History of Risk Improvement</b>	<p>This risk is within risk tolerance and requires an annual review during Quarter Four.</p> <p>Q4 2016/17: RISK POSITION UNCHANGED ↔ - SMT review indicates no change.</p> <p>Q1 2017/18: RISK POSITION - This risk is within risk tolerance and requires an annual review during Quarter Four.</p> <p>Q4 2017/18: RISK POSITION UNCHANGED ↔ - The risk will be retained on the risk register whilst there is a potential for impacts.</p> <p>Q4 2018/19: RISK POSITION UNCHANGED ↔ - This risk received a special review at the request of Audit Committee. It was felt that the current risk position was proportionate in terms of the likelihood and impact across the whole of South Lakeland. The Council has put in place many mitigations to reduce poverty and alleviate against universal credit impacts and these are now listed.</p>		
<b>Risk Owner</b>	Director of Strategy, Innovation and Resources	<b>Portfolio</b>	Culture, Wellbeing and Leisure Portfolio



<p><b>Risk 6</b></p> <p>Medium Term Financial Planning – delivery of a balanced budget</p> <p><b>Description</b>                  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. Other key factors are the Spending Review 2019-2022, Business Rates Retention, the Second Homes agreement with Cumbria County Council and the Fair Funding Review.</p> <p><a href="#">Back to ‘Heat Map’</a></p>		<p><b>Current Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Review Date</b> Quarterly</p>		<p><b>Target Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Target Date</b> Annual – end of March</p>			
<b>Mitigation</b>		<b>Mitigation Progress</b>		<b>Mitigation Action Owner</b>		<b>Mitigation Due Date</b>	
MTFP assumptions are reviewed, updated and reported on a quarterly basis		Mitigation is in place and on track		Finance Lead Specialist		Each quarter	
Options to resolve any issues are provided to the Cabinet each quarter		Mitigation is in place and on track		Finance Lead Specialist		Each quarter	
<b>History of Risk Improvement</b>	For previous updates please see earlier versions of this risk register. 02/08/18: RISK POSITION UNCHANGED ↔ - SMT review indicates that no change is required to the position of this risk on the risk matrices. Q2 2018/19: RISK POSITION UNCHANGED ↔ - SMT review indicates no change to risk position. Q3 2018/19: RISK POSITION UNCHANGED ↔ - SMT review indicates that the risk position remains unchanged. Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that the level of risk remains the same.						
<b>Risk Owner</b>	Director of Strategy, Innovation and Resources			<b>Portfolio</b>	Finance Portfolio		

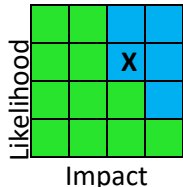
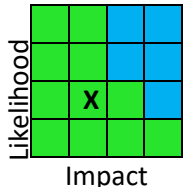
<p><b>Risk 7</b></p> <p><b>Information Management is not effective</b></p> <p><b>Description</b> The Council is required to have effective information governance procedures. It will be necessary to manage corporate information by implementing processes, roles and controls - including GDPR and the Data Protection and Information Security Policies.</p> <p><a href="#">Back to 'Heat Map'</a></p>		<p><b>Current Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Review Date</b> Annual</p>	<p><b>Target Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Target Date</b> 31/12/19</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.	Update 27/03/19: Training schedule designed and on target to be delivered in line with Audit for end of Dec 2019.	Performance, Innovation and Commissioning Lead Specialist	31/12/19
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.	Update 27/03/19: Training schedule designed and on target to be delivered in line with Audit for end of Dec 2019.	Performance, Innovation and Commissioning Lead Specialist	31/12/19
The Information Governance (IG) Framework was approved by Cabinet on 16 September 2015 and provides the structure to govern	This mitigation updated 27/03/19.  In order to implement the	Performance, Innovation and Commissioning Lead Specialist	31/12/19

<p>how the Council captures, creates, accesses, secures, manages and shares its information both internally and externally. In line with Customer Connect Programme, the Council had to its approach to information governance.</p>	<p>Information Governance Framework it is proposed that a learning package deliverable is created. It is proposed that the learning package deliverable will be 100% e-learning. Scope will be provided to design and develop workbooks for those members of staff without access to ICT equipment.</p>		
<p><b>History of Risk Improvement</b></p>	<p>For previous updates please see earlier versions of this risk register.                  Q4 2016/17: RISK POSITION UNCHANGED ↔ - SMT review indicates no change.                  Q1 2017/18: RISK POSITION - This risk is within risk tolerance and requires an annual review during Quarter Four.                  Q3 2017/18: RISK POSITION UNCHANGED ↔ - Mitigation due dates updated in line with Information Governance Board Highlights Report 14/12/17. This risk is remains within risk tolerance.                  Q4 2017/18: RISK POSITION UNCHANGED ↔ - review indicates no change at this time, relevant mitigations are in place.                  Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates no change.</p>		
<p><b>Risk Owner</b></p>	<p>Director of Strategy, Innovation and Resources</p>	<p><b>Portfolio</b></p>	<p>Housing and Innovation Portfolio</p>

<p><b>Risk 8</b></p> <p>The infrastructure required to deliver the Council Plan priorities is not provided.</p> <p><b>Description</b>                  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><a href="#">Back to 'Heat Map'</a></p>		<p><b>Current Position of Risk</b></p>  <p>Green zone: review annually                  Blue zone: manage quarterly</p> <p><b>Review Date</b>                  Annual – end of March</p>	<p><b>Target Position of Risk</b></p>  <p>Green zone: review annually                  Blue zone: manage quarterly</p> <p><b>Target Date</b>                  31/03/20</p>
Mitigation	Mitigation Progress	Mitigation Action Owner	Mitigation Due Date
<p>Annual update of Infrastructure Delivery Plan.</p>	<p>Review largely complete to be reported to Cabinet.                  Update 21/12/16: approach to meeting education needs in Kendal being worked up by Cumbria County Council. Infrastructure Delivery Plan will be reported to Cabinet in March 2017.                  Update 04/04/17: extra time required for education aspect due date extended to 31/05/17</p> <p>Completed. Updated Infrastructure Delivery Plan reported to Cabinet on</p>	<p>Strategy Lead Specialist</p>	<p>01/12/16                  Amended to 31/05/17</p> <p>Completed 13/09/17</p>

	<p>September 13th. Significant progress on infrastructure delivery including:</p> <ul style="list-style-type: none"> <li>• Kendal highways and transport improvements (£3.4m)</li> <li>• Ulverston junction improvements (£4.5m) including access to Lightburn Road employment site through Blue Light Hub.</li> <li>• Swarthmoor roundabout funding is close to being finalised to enable housing development at Swarthmoor and Croftlands.</li> </ul>		
Development of protocols for CIL Governance.	<p>To be reported to Cabinet Update 21/12/16: CIL Governance Protocols will be reported with Infrastructure Delivery Plan to Cabinet in March 2017.</p> <p>Update 04/04/17: extra time required for education aspect due date extended to 31/05/17</p> <p>Completed. CIL Governance arrangements approved by Cabinet on September 13th.</p>	Strategy Lead Specialist	<p>01/12/16 Amended to 31/05/17</p> <p>Completed 13/09/17</p>
CIL Review proposed as part of Development Management Policies process.	<p>To be undertaken when draft Development Management policies are consulted upon in Autumn 2016.</p> <p>Update 21/12/16: Viability study scheduled for mid 2017 – will update viability position in relation to affordable housing, CIL and impact of Development Management policies.</p>	Strategy Lead Specialist	<p>01/03/18</p> <p>Completed</p>

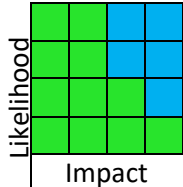
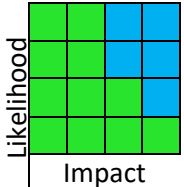
	Update 04/04/17: Viability study Commissioned. Update 13/03/18: Viability study completed.		
<b>History of Risk Improvement</b>	<p>For previous updates please see earlier versions of this risk register.</p> <p>Q4 2016/17: RISK POSITION UNCHANGED ↔ - SMT review indicates no change. There has been positive progress and further collaboration with partners on infrastructure needs is required.</p> <p>Q1 2017/18: RISK POSITION - This risk is within risk tolerance and requires an annual review during Quarter Four.</p> <p>Q4 2017/18: RISK POSITION UNCHANGED ↔ - Updated evidence, in support of the new development management policies, on viability has concluded that development can support current levels of CIL. The results of examination will inform the future position of this risk.</p> <p>Q4 2018/19: RISK POSITION IMPROVED ↓ - Review indicates that this risk has reduced in terms of likelihood due to greater certainty and confidence in meeting infrastructure requirements.</p>		
<b>Risk Owner</b>	Director of Strategy, Innovation and Resources	<b>Portfolio</b>	Housing and Innovation Portfolio

<p><b>Risk 9</b></p> <p>Essential strategic partnerships required to deliver the Council Plan do not operate effectively.</p> <p><b>Description</b> 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. The introduction of NHS STP's and the movement of South Cumbria CCG's into Lancashire/Morecambe Bay in April 2017 required new strategic partnerships to be formed with these groups to ensure SLDC and its communities gain maximum benefit from any changes. This risk applies to all our strategic partnerships, such as the Local Enterprise Partnership (LEP), CCC, LDNPA and Morecambe Bay Economic Partnership as examples. The risk is not specific to any one initiative or approach from partner organisations, rather the strategic direction and policies that they take and make, and their correlation to SLDC achieving its aims and objectives through its Council Plan.</p> <p><a href="#">Back to 'Heat Map'</a></p>		<p><b>Current Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Review Date</b> Annual – end of March</p>	<p><b>Target Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Target Date</b> 31/03/20</p>
<p><b>Mitigation</b></p>	<p><b>Mitigation Progress</b></p>	<p><b>Mitigation Action Owner</b></p>	<p><b>Mitigation Due Date</b></p>
<p>Monitor resource, cost and reputational impact with established strategic partnerships</p>	<p>No cost implications to the council in maintaining partnerships</p>	<p>Chief Executive</p>	<p>31/03/19 annual review</p>
<p><b>History of Risk Improvement</b></p>	<p>For previous updates please see earlier versions of this risk register. Q2 2018/19: RISK POSITION UNCHANGED - ↔ - SMT review indicates no change to position of risk. Officer representation on the Morecambe Bay CCG has now been offered and accepted. Meeting held with Northern Powerhouse Minister 27/09/18 - Morecambe Bay Prospectus discussed and future meetings agreed with Government departments. Q3 2018/19: RISK POSITION UNCHANGED - ↔ - SMT review indicates that the position of risk remains unchanged. Further discussions ongoing across Morecambe Bay on economic initiative and health. Await outcome of County Council unitary debate in December 2018 to see if more collaborative partnership is envisaged going forward.</p>		

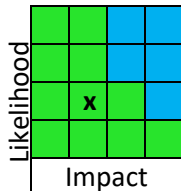
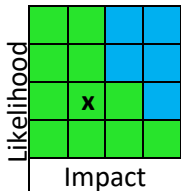
	Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that the position of this risk remains the same. Morecambe Bay discussions are ongoing although Health partners less so. Improved discussions with CCC over the last few months.		
<b>Risk Owner</b>	Chief Executive	<b>Portfolio</b>	Leader and Finance Portfolio

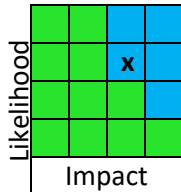
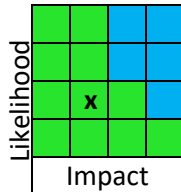


Risk 10 and Risk 11 were archived during quarter 1 2016/17

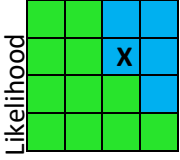
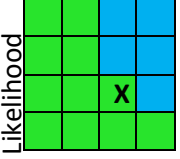
<p><b>Risk 12</b></p> <p>ARCHIVED</p> <p>Health and Safety management of contracts – records for on site checks</p> <p><b>Description of risk</b> Health and safety management arrangements require a review for officer led contracts. Officers that are managing contractors are required to make safety checks and keep records. Safety checks should be proportional to risk.</p> <p><a href="#">Back to 'Heat Map'</a></p>		<p><b>Current Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Next Review Date</b> ARCHIVED</p>	<p><b>Target Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Target Date</b> ARCHIVED</p>
Mitigation	Mitigation Progress	Mitigation Action Owner	Mitigation Due Date
Contracts Management Health and Safety training is provided	Completed	Operational Lead Delivery and Commercial Services	09/04/15 Completed
Officer leads carry out onsite H&S monitoring which is proportionate to the risk	ongoing	All staff managing contracts	Ongoing requirement
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 Q3 2016/17: A second assessment identifies training needs	All managers with contracts.	Completed.

Promote training on active monitoring	Building/property and all external contractors to be involved in the training. Further training 'Control of Contractors' completed on 24/10/17.	All Managers with contracts	13/04/17, further training sessions to be completed by end of Qtr 1 2017/18. Completed 24/10/17.
Further spot checks to be made for records of onsite contractor safety	Mitigation added following SMT review on 06/07/17. Completed	Performance and Risk Officer	01/10/17 Completed
A further review will be completed by Assistant Directors in October 2017	Mitigation added 12/10/17. Update 05/04/18: Completed	Directors	01/11/2017 Completed
<b>History of Risk Improvement</b>	<p>For previous updates please see earlier versions of this risk register.</p> <p>Q1 2017/18: RISK POSITION UNCHANGED ↔ – impact reduced to reflect completion of training however likelihood increased to maintain the risk position as above tolerance ensuring regular quarterly reviews - and the focus on spot checks for evidence of on site safety monitoring. Risk name updated for the focus on records of onsite checks – likelihood medium and impact serious.</p> <p>Q2 2017/18: RISK POSITION UNCHANGED ↔ - SMT review indicates no change. Additional mitigation added.</p> <p>Q3 2017/18: RISK POSITION UNCHANGED ↔ - SMT review indicates no change. Review is near completion and indicating positive results - will inform quarter four update.</p> <p>Q4 2017/18: RISK POSITION IMPROVED ↓ = Review indicates that this risk has now reduced in terms of likelihood to target position. Risk is reduced due to health and safety performance, training provided and availability of resources. This risk is now below tolerance and will be reviewed annually during quarter four.</p> <p>Q4 2018/19: RISK POSITION ARCHIVED - Review indicates that risk is reduced sufficiently to archive status.</p>		
<b>Risk Owner</b>	Chief Executive	<b>Portfolio</b>	Finance Portfolio

<p><b>Risk 13</b> Impact of new projects and initiatives on existing Council Plan priorities</p> <p><b>Description of risk</b> There is a risk that new projects and initiatives take the resources required by other projects and initiatives currently in the programme.</p> <p><a href="#">Back to 'Heat Map'</a></p>		<p><b>Current Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Next Review Date</b> Annual – end of March</p>		<p><b>Target Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Target Date</b> 31/03/20</p>			
<p><b>Mitigation</b></p>		<p><b>Mitigation Progress</b></p>		<p><b>Mitigation Action Owner</b></p>		<p><b>Mitigation Due Date</b></p>	
<p>Ensure that potential new projects and initiatives are subject to a pre-assessment which measures their priority</p>		<p>Completed and ongoing requirement. Update 10/11/16: Reinforce the assessment and prioritisation of new projects – review in six months. Update 18/01/18: the assessment and prioritisation of projects is an ongoing requirement.</p>		<p>Director of Strategy, Innovation and Resources</p>		<p>Ongoing requirement</p>	
<p><b>History of Risk Improvement</b></p>		<p>For previous updates please see earlier versions of this risk register. Q4 2016/17: RISK POSITION UNCHANGED ↔ - SMT review indicates no change. Q1 2017/18: RISK POSITION - This risk is within risk tolerance and requires an annual review during Quarter Four. Q2 2017/18: RISK POSITION UNCHANGED - ↔ - SMT review indicates no change however to be reviewed at quarter three subject to prioritisation of resources. Q4 2017/18: RISK POSITION IMPROVED ↓ - Review indicates that likelihood is low with existing controls. Controls will continue to be applied including prioritisation against Strategic Projects Log. Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that this risk remains the same.</p>					
<p><b>Risk Owner</b> Director of Strategy, Innovation and Resources</p>		<p><b>Portfolio</b></p>		<p>Housing and Innovation Portfolio</p>			

<p><b>Risk 14</b></p> <p>Unintended impacts of efficiencies and service changes</p> <p><b>Description of risk</b>                  New efficiencies and changes brought about by one service or another organisation can have unintended negative impacts 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. Focus required on the expiry of the Second Homes agreement between Cumbria County Council and South Lakeland District Council. This position of this risk is also influenced by <a href="#">Risk 15 Customer Connect Programme</a>.</p> <p><a href="#">Back to 'Heat Map'</a></p>		<p><b>Current Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Next Review Date</b> Quarterly</p>	<p><b>Target Position of Risk</b></p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Target Date</b> 31/03/20</p>
Mitigation	Mitigation Progress	Mitigation Action Owner	Mitigation Due Date
This risk is managed via the Service Planning and Budgeting processes.	Completed	Director of Strategy, Innovation and Resources Lead Specialists	Mitigations in place within existing Service Planning and Budgeting processes.
Promote early discussions on potential change with external parties	New mitigation on 10/11/16 06/07/17: Mitigations underway and ongoing	Director of Strategy, Innovation and Resources	In place and ongoing requirement
Customer Connect mitigations	The programme is being managed via the Programme Board to deliver year 1 and 2 of the programme. Please refer to <a href="#">Risk 15 Customer Connect Programme</a> for progress.	Director of Strategy, Innovation and Resources	Please refer to <a href="#">Risk 15 Customer Connect Programme</a> for key due dates.
<b>History of Risk Improvement</b>	For previous updates please see earlier versions of this risk register. Q1 2017/18: RISK POSITION UNCHANGED ↔ - SMT review indicates no change. Mitigations are in progress. Q2 2017/18: RISK POSITION UNCHANGED ↔ - SMT review indicates no change – this risk is linked to 'Risk 15: Customer Connect'.		

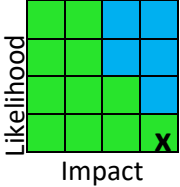
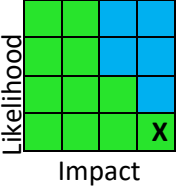
	<p>Q3 2017/18: RISK POSITION UNCHANGED ↔ - SMT review indicates no change</p> <p>Q4 2017/18: RISK POSITION UNCHANGED ↔ - Review indicates no change due to period of organisational change and ongoing partnership discussions.</p> <p>Q1 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates no change for the reasons listed previously at Q4 2017/18. Target date reviewed and set to 31/03/2019.</p> <p>Q2 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates no change to position of risk.</p> <p>Q3 2018/19: RISK POSITION UNCHANGED ↔ - The position of this risk remains unchanged during organisational change.</p> <p>Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that risk remains unchanged during organisational change.</p>		
<b>Risk Owner</b>	Director of Strategy, Innovation and Resources	<b>Portfolio</b>	Housing and Innovation Portfolio

<p><b>Risk 15</b> <b>Customer Connect Programme</b></p> <p><b>Description</b> The programme fails to deliver what’s set out in the programme definition and customer contact strategy. Customer Connect is a challenging programme that requires significant change to ways of working for staff across the Council. The Programme Board manages the Customer Connect Risk Log on a regular basis. Mitigations are in place for the risks and 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><a href="#">Back to ‘Heat Map’</a></p>		<p><b>Current Position of Risk</b> This risk matrix shows the current position of the risk.</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Review Date:</b> Each quarter</p>	<p><b>Target Position of Risk</b> 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><b>Target Date:</b> 31/03/20</p>
Mitigation	Mitigation Progress	Mitigation Action Owner	Mitigation Due Date
<p>The programme is being managed via the Programme Board with resources identified to deliver year 1 and 2 of the programme.</p>	<p>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</p> <p>Update 07/06/17: In May 2017 membership of the Programme Boards was revised and updated to reflect the additional roles required to deliver the various projects within the programme.</p> <p>Update 05/06/18: An external</p>	<p>Performance, Innovation and Commissioning Lead Specialist</p>	<p>01/07/2017 Completed</p>

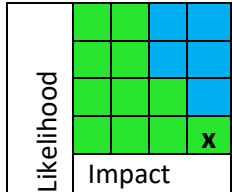
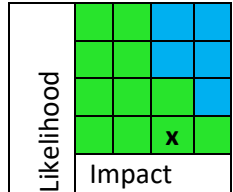
	<p>partner is providing assurance to the programme using experience gained from similar transformation programmes.</p> <p>Update: 05/07/18: Revised business case to be considered by Cabinet on 18/07/18 and Council on 24/07/18. This sets out a number of risks which will be managed as part of the programme.</p> <p>Update: 26/09/18: Business Case approved and implementation underway. Significant progress in all workstream areas. Staff appointed to programme roles. Programme Board meets weekly. Audit Committee receiving regular reports. Management Structure agreed at Council on 10/10/18.</p>		
<p>There is a risk log for the programme. This is shared with the Audit Committee on a quarterly basis.</p>	<p>SMT have ownership of all the risks and identified mitigations - completed.</p>	<p>Performance, Innovation and Commissioning Lead Specialist</p>	<p>15/04/2018 Completed</p>
<p>All risks on the Customer Connect risk log were updated during April 2018. The risks are reviewed at each Board meeting and are managed accordingly.</p>	<p>All risks above the line are being managed and have mitigations in place to reduce the likelihood. The Senior Responsible Owner has taken direct responsibility for managing the partnership arrangements with Eden.</p>	<p>Performance, Innovation and Commissioning Lead Specialist</p>	<p>Reviewed weekly by the Programme Board</p>

<b>History of Risk Improvement</b>	For previous updates please see earlier versions of this risk register. Q1 2018/19: RISK POSITION UNCHANGED - ↔ - SMT review indicates no change. Mitigations updated. Q2 2018/19: RISK POSITION UNCHANGED - ↔ - SMT review indicates no change. Mitigations updated on 26/09/18. Q3 2018/19: RISK POSITION UNCHANGED - ↔ - SMT review indicates no change. Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that this risk remains unchanged.		
<b>Risk Owner</b>	Director of Strategy, Innovation and Resources	<b>Portfolio</b>	Housing & Innovation and Council Organisation and People

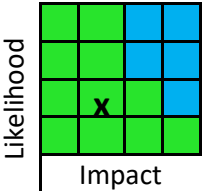
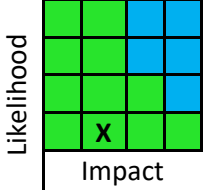


<p><b>Risk 16</b>  <b>Waste Collection – Reversing Manoeuvres</b></p> <p><b>Description</b>  Management of waste collection vehicle manoeuvres on recycling and waste collection rounds.  There are many practical and advanced technological safety precautions in place including the following:  Waste collection rounds have risk assessments and safe systems of work in place.  All drivers and crews have been trained.  All rounds are monitored to ensure that safe systems are adhered to.  Vehicles have advanced technologies fitted e.g. reversing CCTV and sophisticated radar to assist the driver and crews manoeuvre safely</p> <p><a href="#">Back to 'Heat Map'</a></p>		<p><b>Current Position of Risk</b>  This risk matrix shows the current position of the risk.</p>  <p>Green zone: review annually  Blue zone: manage quarterly  <b>Review Date:</b>  Annual – end of March</p>	<p><b>Target Position of Risk</b>  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  <b>Target Date:</b>  Target met</p>
Mitigation	Mitigation Progress	Mitigation Action Owner	Mitigation Due Date
Maintain and keep up to date the Safe System of Work, inspections and the utilisation of risk reducing technologies.	In progress and reviewed by the Street Scene Health and Safety Working Group on a quarterly basis	Operational Lead Delivery and Commercial Services	Ongoing requirement
Commission specialist support to assist in the completion of a further review of vehicle movements including reversing on private drives, private roadways and narrow access highways	Update 17/11/16: Support commissioned and interim report received. Considering key actions for the service within operational health and safety plans. Completed.	Operational Lead Delivery and Commercial Services	31/12/16 Completed.

Implement the priority findings of the above review	Specific Action plan has been developed to implement the findings of the review. High Priority Areas have been identified and the implementation of necessary changes commenced and planned for completion by amended due date of 31/12/17. Completed.	Operational Lead Delivery and Commercial Services	31/12/17 Completed.
Implement the lower priority findings of the above review	Planned for completion by 31/12/17. Update 15/01/18: lower priority findings will now be completed by 31/03/18. Update 13/03/18: Now complete. There will be an ongoing review of all manoeuvres as part of business as usual arrangements.	Operational Lead Delivery and Commercial Services	13/03/18 Completed
<b>History of Risk Improvement</b>	<p>For previous updates please see earlier versions of this risk register.</p> <p>Q2 2017/18: RISK POSITION UNCHANGED - ↔ - SMT review indicates no change – work is in progress.</p> <p>Q3 2017/18: RISK POSITION UNCHANGED - ↔ - All Ulverston rounds have been assessed and mitigating measures introduced. Results have been provided to the Health and Safety Committee 15<sup>th</sup> January 2018. Some lower priority areas remain pending with completion expected before end March 2018. Risk position remains the same until all reversing manoeuvres are assessed and mitigating measures have been implemented as required.</p> <p>Q4 2017/18: RISK POSITION IMPROVED - ↓ - Review indicates that risk has been reduced to the target position due to completed mitigations. Decision made not to archive risk in order to maintain awareness.</p> <p>Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that this risk remains the same in terms of likelihood and impact.</p>		
<b>Risk Owner</b>	Director of Customer and Commercial Services	<b>Portfolio</b>	Environment Portfolio

<p><b>Risk 17</b> Cyber Security incident</p> <p><b>Description</b> There have been many high profile examples of cyber security breaches across the World and in the UK recently. The Council has effective security in place to protect data and deliver services - however threats are becoming ever more sophisticated and organisations need to be one step ahead. Cyber-attacks can cross international boundaries and may be initiated by organised criminal groups, lone individuals or be state sponsored. Cyber criminals are broadening their efforts towards UK citizens, organisations and institutions. Terrorists are conducting low-level attacks and aspire to carry out more significant acts. Examples of threats are Botnets, Distributed denial-of-service, Hacking, Malware, Pharming, Phishing, Ransomware and Spam.</p> <p><a href="#">Back to 'Heat Map'</a></p>		<p><b>Current Position of Risk</b> This risk matrix shows the current position of the risk.</p>  <p>Green zone: review annually Blue zone: manage quarterly <b>Review Date:</b> Annual – end of March</p>		<p><b>Target Position of Risk</b> 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 <b>Target Date:</b> 31/03/20</p>			
<b>Mitigation</b>		<b>Mitigation Progress</b>		<b>Mitigation Action Owner</b>		<b>Mitigation Due Date</b>	
Cyber security actions within the ICT Risk Register		Cyber security actions are on track		Digital Lead Specialist		In line with cyber security due dates	
Review of Insurance		Mitigation added 12/10/17 Update 15/01/18: Predicted complete by 31/01/18 for insurance renewal deadline.		Finance Lead Specialist		31/12/17 Completed	
<b>History of Risk Improvement</b>	<p>For previous updates please see earlier versions of this risk register. RISK IDENTIFIED ● = Audit Committee of 26/07/17 suggested that the Information management risks should be split to create this separate risk for Cyber Security. Agreed on 08/08/17 by the Monitoring Officer. Q2 2017/18: RISK POSITION UNCHANGED - ↔ - SMT review indicates likelihood very low and impact critical. Additional insurance mitigation added. ICT maintains up to date software patches. Staff have guidance on how to keep IT Networks Secure and what to do if a virus or malware is</p>						

	suspected. Q4 2017/18: RISK POSITION UNCHANGED - ↔ - The risk remains very low. ICT continue to maintain security related Microsoft updates, virus software updates and follow industry best practice. Business Continuity arrangements are strengthened. Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that this risk remains at very low likelihood		
<b>Risk Owner</b>	Director of Strategy, Innovation and Resources	<b>Portfolio</b>	Housing and Innovation Portfolio

<p><b>Risk 18</b></p> <p>Potential reduction in income from the disposal of recyclable materials as a consequence of market changes</p> <p><b>Description</b>                  China has made a decision to receive only very low contaminated recycled waste. As a consequence there will be very large quantities of waste across the UK and other international countries that will not be eligible for sending to China. Without an alternative outlet for large quantities of contaminated recyclable waste the market value of this waste will fall significantly. South Lakeland District Council’s waste collection approach is to separate recyclables in a way that mitigates against contamination and maintains a high quality product so may be less affected by new policy from China. The advantageous position that South Lakeland has is confirmed in a recent APSE report. However the income provided from waste recycling is significant and would have a large impact on services should it be reduced drastically.</p> <p><a href="#">Back to ‘Heat Map’</a></p>		<p><b>Current Position of Risk</b>                  This risk matrix shows the current position of the risk.</p>  <p>Green zone: review annually                  Blue zone: manage quarterly</p> <p><b>Review Date:</b>                  Annual – end of March</p>		<p><b>Target Position of Risk</b>                  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><b>Target Date:</b>                  31/03/20</p>	
Mitigation	Mitigation Progress	Mitigation Action Owner	Mitigation Due Date		
The Council already has legally compliant, waste recycling processes in place that minimise contamination.	Complete and in place	Director of Customer and Commercial Services	Complete and in place		
The Council continues to maintain a high profile message to residents to avoid contamination of recyclable materials placed out for collection.	Ongoing	Operational Lead Delivery and Commercial Services	Ongoing		

<b>History of Risk Improvement</b>	13/03/18: RISK IDENTIFIED ● = This risk identified by Assistant Director Neighbourhood Services and Community and Leisure Manager. Risk prepared for escalation from operational level to Senior Management Team and approved for inclusion on the Strategic Risks Register. Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that this risk remains the same due to the lowered market value of waste.		
<b>Risk Owner</b>	Director of Customer and Commercial Services	<b>Portfolio</b>	Environment Portfolio

### Risk 19

#### Business Continuity: Flu Pandemic - Loss of people, skills and supply chain disruption

**Description**

Flu Pandemic is listed with the top three risks and rated ‘Very High’ in the Cumbria Community Risk Register. This is because the new virus would be an unknown quantity - therefore people will have no immunity and effective antivirals may not be available for six months. In addition to this all services will be affected by staff absences at a time when demand will increase on services.

Planning assumptions for the reasonable worst case scenario:

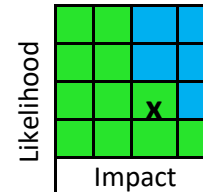
- Clinical attack rates of up to 50% of the population in total, spread over one or more waves each of around 12 – 15 weeks. Peak clinical attack rate Locally, 10% - 12% of population per week
- Small teams within larger organisations should plan for 30-35% absenteeism in addition to usual absenteeism levels on any given day.

Staff will be absent from work if:

- They are ill with flu.
- They need to care for dependants who are ill with flu
- They need to care for children due to school closures
- They have non-flu medical problems
- Their employers have advised them to stay away from work
- This may be unevenly distributed throughout organisations
- They will require time for dealing with personal bereavements with an increase in compassionate leave and stress
- They fear becoming ill

**Current Position of Risk**

This risk matrix shows the current position of the risk.



Green zone: review annually

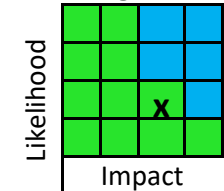
Blue zone: manage quarterly

**Review Date:**

Annual – end of March

**Target Position of Risk**

This risk matrix shows the desired position of the risk following the completion of mitigations.



Green zone: review annually

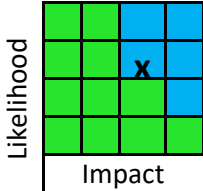
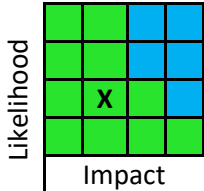
Blue zone: manage quarterly

**Target Date:**

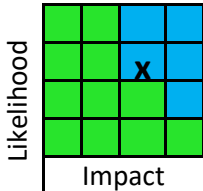
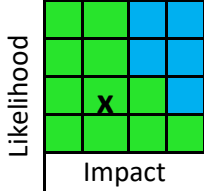
31/03/20

<p><b>Impact:</b>                  Absenteeism levels in small teams within Large Organisations at 30-35%. Flu Pandemic would place an unprecedented demand on local authorities, Police, Coroner and undertakers. It is likely that schools would be closed causing further absences from work. It is highly likely that mutual aid would be difficult. All the above issues and many more were highlighted during the multi-agency Cumbria Flu Pandemic Exercise on 03/07/2018. Business Continuity was highlighted as key for meeting statutory obligations. A number of effective Business Continuity mitigations are in place.</p> <p><a href="#">Back to 'Heat Map'</a></p>			
<b>Mitigation</b>	<b>Mitigation Progress</b>	<b>Mitigation Action Owner</b>	<b>Mitigation Due Date</b>
Capture and implement the recommendations and mitigations identified within the Cumbria Flu Pandemic Exercise report.	Awaiting Cumbria Flu Pandemic Exercise report. Report now available with recommendations.	Strategy Lead Specialist	Implement by 31/03/20
Benchmark with Cabinet Office 'Flu pandemic Checklist for businesses' and include actions within Business Continuity Plans where necessary.	Benchmarking with checklist completed.	Strategy Lead Specialist	Necessary actions included in Business Continuity Plans – completed. Internal Audit result of 'Substantial Assurance' for Business Continuity.
<b>History of Risk Improvement</b>	13/03/18: RISK IDENTIFIED ● = This risk identified following Cumbria Flu Pandemic Exercise 3 <sup>rd</sup> July 2018. Escalation agreed to the Strategic Risk Register. Risk reviewed on 16/08/18 as below risk appetite with Likelihood Low and Impact Serious. 27/09/18: Mitigations improved and updated. October 2018: Internal Audit result of 'Substantial Assurance' for Business Continuity. Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that this risk remains at Likelihood Low and Impact Serious.		
<b>Risk Owner</b>	Director of Strategy, Innovation and Resources	<b>Portfolio</b>	Leader of the Council



<p><b>Risk 20</b></p> <p>Capacity for Business as Usual during the transition to the new organisational model.</p> <p><b>Description</b> There is a business continuity risk that vacancies are not adequately filled for roles that are critical – ie those roles which are essential for the running of the organisation and for meeting the health and welfare needs of the public. Also there will be an impact on the business while staff are moving through transition from the current ways of working to learn new processes, behaviours etc.</p> <p><b>Impact</b> A loss of staff and skills has the potential to impact on the organisation and the public – especially the public who may be vulnerable due to their dependence on vital services.</p> <p><a href="#">Back to 'Heat Map'</a></p>		<p><b>Current Position of Risk</b> This risk matrix shows the current position of the risk.</p>  <p>Green zone: review annually Blue zone: manage quarterly</p> <p><b>Review Date:</b> Quarterly</p>		<p><b>Target Position of Risk</b> 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><b>Target Date:</b> 31/03/20</p>			
Mitigation		Mitigation Progress		Mitigation Action Owner		Mitigation Due Date	
Transition Planning to mitigate against the impact of BAU failing or reducing performance while staff are moving to new ways of working.		Change management plan, BCM business critical plan		Director of Strategy, Innovation and Resources. Performance, Innovation and Commissioning Lead Specialist.		February 2019	
Culture Change and learning & Skill development planning to mitigate the loss of skills and knowledge.		Learning & Development Plan Skills analysis Change management Plan		Director of Strategy, Innovation and Resources. Performance, Innovation and Commissioning Lead Specialist.		February 2019	
History of Risk		02/11/2018: RISK IDENTIFIED ● = This risk identified by Partnerships and Organisational Development. Risk prepared for Senior Management Team for consideration for inclusion on the Strategic Risks Register for Q3 reporting.					

<b>Improvement</b>	Q3 2018/19: Risk approved by Senior Management Team for inclusion on Strategic Risk Register. Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that this risk remains at the same level.		
<b>Risk Owner</b>	Director of Strategy, Innovation and Resources	<b>Portfolio</b>	Housing & Innovation and Council Organisation and People

<p><b>Risk 21</b>  <b>Accountable Body for large value schemes</b></p> <p><b>Description</b>  SLDC is acting as ‘Accountable Body’ for large value grant aided schemes. In simple terms the Council acts as “the bank” for grant monies - making payments to scheme deliverers. Robust governance, project appraisal, decision making - and clarity over responsibilities and accountabilities will manage and mitigate risks.</p> <p><b>Impact</b>  Lack of adequate governance arrangements for the accountable body role could lead to a reduction, suspension or withholding of grant; or require the repayment of the whole or part of the grant. The current capital programme contains approximately £5M of such schemes with a possible £2.5M of further schemes proposed.</p> <p><a href="#">Back to ‘Heat Map’</a></p>	<p><b>Current Position of Risk</b>  This risk matrix shows the current position of the risk.</p>  <p>Green zone: review annually  Blue zone: manage quarterly</p> <p><b>Review Date:</b>  Quarterly</p>	<p><b>Target Position of Risk</b>  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><b>Target Date:</b>  Prior to project spend</p>	
<p><b>Mitigation</b></p>	<p><b>Mitigation Progress</b></p>	<p><b>Mitigation Action Owner</b></p>	<p><b>Mitigation Due Date</b></p>
<p>Robust arrangements for governance, decision making and clarity on responsibilities and accountabilities in accordance with SLDC Project Management Toolkit</p>	<p>ERDF: Cabinet has approved SLDC involvement and Council has approved the capital programme.</p>	<p>Operational Lead Specialist Services</p>	<p>Before commencement of project spend</p>
<p>Partnership Agreement between partners and the Council as Accountable Body, setting out the respective roles, duties and responsibilities. It will include how the costs of fulfilling the role and</p>	<p>ERDF: drafted  Others: tbc</p>	<p>Operational Lead Specialist Services</p>	<p>Before commencement of project spend</p>

how the Council will be indemnified in respect of legal claims, losses; reliance on external advisors.			
Ensure a monitoring process to identify possible weaknesses or risks in the operation of projects and provide for corrective action to be taken. Each material scheme to be included in Operational Risk Registers and monitored accordingly.		Operational Lead Specialist Services	During project and until full recovery of costs from grant body - and external audit where required.
Use of internal audit to ensure evidence in accordance with document retention requirements and ensure that local grant recipients retain original evidence.	To be included in consideration of risk based audit	Finance Lead Specialist	Annually for April Audit Committee
<b>History of Risk Improvement</b>	28/11/2018: RISK IDENTIFIED ● = This risk identified by Finance and prepared for Senior Management Team for consideration for inclusion on the Strategic Risks Register for Q3 reporting. Q3 2018/19: Risk approved by Senior Management Team for inclusion on Strategic Risk Register. Q4 2018/19: RISK POSITION UNCHANGED ↔ - Review indicates that the current risk position remains the same.		
<b>Risk Owner</b>	Director of Strategy, Innovation and Resources	<b>Portfolio</b>	Finance Portfolio