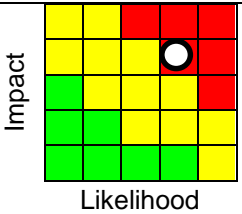
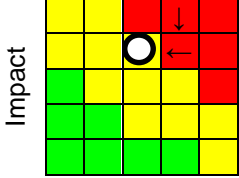
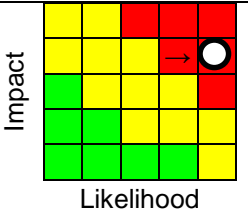
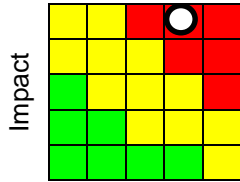


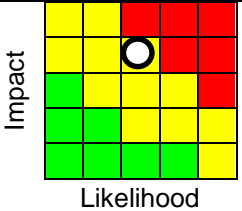
Significant Business Risk Register

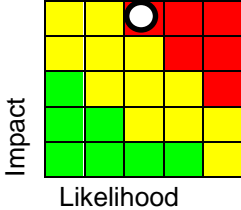
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Financial Management Risks – Part I</b>				
<p>7. Risk of additional financial liabilities.</p>	<p>Risk of revenue implications of capital schemes not being fully identified.                      Risk of loss or delay of capital receipts.                      Risk of increase in superannuation fund contributions.                      Uninsured loss.                      Risk of Medium Term Financial underestimating future revenue income and expenditure (including capital)                      Legal challenge e.g. relating to a planning development.                      Major health epidemic e.g. Corona Virus.                      Major shock to the organisation due to a significant adverse national or international event.                      Increased costs because of inflationary pressure greater than allowed for within Council’s Budget and Medium-Term Financial Strategy.                      Risk of loss resulting from loans made.                      Central Government initiatives not funded fully.</p>	<p>Greater level of savings to be sought.                      Forced to make sub-optimum and short-term decision without proper planning.                      Reduced levels of service.                      Payment of compensation.                      Failure to deliver service.                      Contractual disputes.                      Organisation ill-prepared to deal with impact on finances, service delivery and staff.</p>	<p>Service Area and Project Risk Registers. (SLT)                      Project Management. (SLT)                      Corporate Asset Management Strategy and an accompanying Action Plan covering all General Fund and HRA assets has been approved. (ASG)                      Maintenance of a comprehensive built asset database. (AM)                      More effective financial planning and scenario analysis. (HoF)                      Regular monitoring of Fit for the Future. (SLT)                      Legal advice on projects. (SLT)                      Projects drawn up within RIBA framework. (SLT)                      Reserves used to smooth impact of fluctuations in income. (HoF)                      Existence and application of Medium-Term Financial Strategy. (HoF)                      Implementing a Change Programme. (SLT)                      Loans secured against default, robust specialist and legal advice, comprehensive sets of legal agreements, clear and regular monitoring against requirements.</p>	 <p>Current forecasts show the period of high inflation and interest rates continuing for longer than those presented as part of the Autumn Statement. This will continue to impact upon the Council by increasing costs of borrowing due this year, and also increased costs against budgeted expenditure.</p>

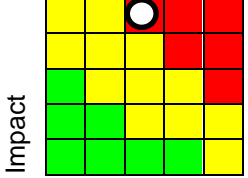
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Performance Management Risks – Part I</b>				
<p>2. Risk of sustained service quality reduction.</p>	<p>Shortage of staff resources and staff skills and knowledge.  Staff skills and resources diverted to service redesign proposals as part of delivering Fit for the Future and other emerging corporate priorities.  Cannot afford cost of maintaining service quality.  Partners such as WCC make service cuts.  Health pandemic e.g. Corona Virus.  Contractor failure.  Unplanned termination of contract by contractor.  Housing numbers not achieved.  Greater demand on services from increases in the population as well as societal, technological, and legislative changes.  Changes in members' and citizens' expectations.  Lack of funding for Climate Change Action Plan.  Major shock to the organisation due to a significant adverse national or international event.  Staff recruitment difficulties.  Increase in cost of contractors.  <b>Cost of Living challenges.</b></p>	<p>Poor customer service and reductions in income.  Lack of direction with critical projects and services being compromised.  Public lose confidence in Council's ability to deliver.  Demoralised and demotivated staff.  Additional costs attached to re-procuring contract, including legal fees.  Loss of New Homes Bonus.  Failure to adapt to 'New Normal' caused by climate change.  Organisation ill-prepared to deal with impact on finances, service delivery and staff.</p>	<p>Implementing a Change Management Programme. (SLT)  Agreeing additional resources where service quality is reduced. (SLT)  Strong leadership to manage priorities to a deliverable level. (SLT)  Effective vacancy control. (SLT)  Service Reviews. (SLT)  Workforce Planning. (SLT)  Effective contract management supported by appropriate legal support. (SLT)  Enhanced Performance Management regime: infrastructure now in place. (SLT)  "Working for Warwick" initiatives – specifically recruitment initiatives.</p>	 <p>Following a re-evaluation by SLT, the position is no longer viewed as being as serious as it was once thought to be. There has been no sustained reduction in service quality.</p>

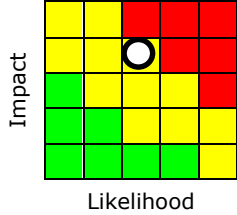
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Financial Management Risks – Part II</b>				
<p>6. Risk of insufficient finance to enable the Council to meet its <b>current</b> objectives (including insufficient reduction in operational costs).</p>	<p>Poor financial planning and forecasts.            Unexpected loss of income and/or sustained increase in expenditure.            FFF Projects do not achieve sufficient savings.            Reset of Revenue Grant and Business Rate Retention.            Council Tax income base reducing.            National Economy declines.            Local economy declines            Tightening of Government fiscal policy.            Changes to Government Policy.            Demographic changes.            Focus on FFF priorities which compromise existing service delivery.            External competition.            Member decision making stops previously agreed savings.            Council policy framework not conducive to enterprise development.            Increased contract costs.            Housing numbers not achieved.            Delay in fair funding review.            Inability to agree suitable funding proposals to allow HQ relocation project to move to Phase 2 – project delivery.            Changes to funding proposals for existing schemes.            Major shock to the organisation due to a significant adverse national or international event.            Agreed savings not delivered as agreed to be included in Medium Term Financial Strategy.            Savings not identified to meet the cost of funding the Council objectives.</p>	<p>Increased costs.            Forced to make urgent decisions without appropriate planning.            Forced to make service cuts.            Increased costs.            Fines/penalties imposed.            Landlord service becomes unviable and/or the condition of the housing stock reduces its utility and value.  <del>Loss of New Homes Bonus.</del> <b>Reduced core spending power provided by Local Finance Settlement.</b>            Reduction in reputation.            Unable to meet statutory requirements.            Failure to deliver carbon-neutral objectives by 2025.            Organisation ill-prepared to deal with impact on finances, service delivery and staff.  <del>Comprehensive review of the organisation's response to the pandemic undertaken with findings and action plan approved by Executive.</del>            Forced to make large scale redundancies.  <b>Future ambitions of Council may be constrained in scope.</b></p>	<p>Codes of Financial Practice and Procurement Practice. (HoF)            Effective internal audit function. (HoF)            External audit of financial accounts. (HoF)            Effective management of FFF Projects. (SLT)            All projects accompanied with robust financial appraisals and programme forecasts that allow the Council to understand projected funding requirements. (HoF)            Council's constitution. (DCE(AJ))            Financial training. (HoF)            Robust financial planning and a Medium-Term Financial Plan that can accurately forecast income and expenditure. (HoF/SLT)            Code of Financial Practice Training. (HoF)            Plan in place to make savings as to meet the anticipated budget shortfall. (HoF/SLT)            Ongoing monitoring and future reports of existing assumed savings – e.g. leisure programme, office move, terms &amp; conditions review. (SLT).            Changes to funding proposals for existing projects.            Business Strategy agreed by Members and appropriately managed (SLT).            Implementing a Change Programme. (SLT)            Bespoke training sessions developed for Members to assist with financial oversight.</p>	 <p>The future ambitions of the Council may be constrained as Council has to prioritise how it delivers existing / core services and agreed objectives as part of a sustainable balanced financial position.</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Information Management Risks – Part I</b>				
<p>13. Risk of failure to protect information assets from malicious cyber-attack (including cloud-hosted solutions).</p>	<p>Lack of staff training and awareness.</p> <p>Poor or ineffective countermeasures.</p> <p>Outdated software and hardware.</p> <p>Zero-Day vulnerabilities being exploited.</p> <p>Ineffective segregation and classification of data.</p> <p>Ineffective incident response plans.</p> <p>Inadequate penetration testing regime.</p> <p>Major shock to the organisation due to a significant adverse national or international event.</p> <p>Supply chain attack.</p> <p>Failure to adequately assess the security of a cloud-platform.</p> <p>Misunderstanding of responsibilities within a cloud hosted platform.</p> <p>Poor configuration / understanding of cloud operating environment.</p>	<p>Reputational damage.</p> <p>Loss of public trust.</p> <p>Lost productivity.</p> <p>Recovery costs.</p> <p>Potential fines (ICO).</p> <p>Permanent data loss.</p> <p>Targeted for further attacks.</p> <p>Exfiltration of sensitive data.</p> <p>Bribery attempts to prevent data leakage.</p> <p>Long term operational difficulties.</p> <p>Organisation ill-prepared to deal with impact on ICT systems.</p>	<p>CESG approved penetration tests. (HoC&amp;DS)</p> <p>Patch Management Policy/Procedures. (HoC&amp;DS)</p> <p>Anti-malware/virus software. (HoC&amp;DS)</p> <p>Use of NCSC Protected DNS Service. (HoC&amp;DS)</p> <p>Use of NCSC Intelligence gathering and monitoring services. (HoC&amp;DS)</p> <p>Anti-malware strategy. (HoC&amp;DS)</p> <p>Incident Management Policy &amp; Procedure. (HoC&amp;DS)</p> <p>Major Virus Response Procedure. (HoC&amp;DS)</p> <p>Electronic Information Backup Policy. (HoC&amp;DS)</p> <p>Data Distribution to reduce target exposure and to speed up recovery. (HoC&amp;DS)</p> <p>Introduction of temporary web site in the event of a major outage, reducing reputational damage. (HoC&amp;DS)</p> <p>Offline backups air-gapped from live systems. (HoC&amp;DS)</p> <p>Regular full scale DR exercises with third party provider. (HoC&amp;DS)</p> <p>e-learning solution (HoC&amp;DS)</p> <p>National Cyber security check now in place. (HoC&amp;DS) Duplication of a control recorded above.</p> <p>Network Intrusion Detection/Intrusion Prevention solution.</p> <p>Use of Cloud services to host applications and associated data with independent safeguards and access control mechanisms. (HoC&amp;DS)</p> <p>Support from DLUHC received to improve cyber posture and capabilities over the next 12 months. (HoC&amp;DS)</p> <p>Cloud security assessment has to be completed in respect of all new systems.</p> <p>Increased IT defences are being brought online following support from DLUHC.</p>	 <p>Impact</p> <p>Likelihood</p>

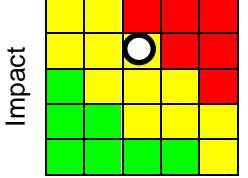
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Financial Management Risks – Part III</b>				
<p>8. Risk of not obtaining potential income sources.</p>	<p>Ineffective management.  Complacency.  Lack of resources to investigate.  Other priorities.  Partner changing priorities.  Income opportunities diminished due to significant adverse national or international event.  Major shock to the organisation due to a significant adverse national or international event.  Delays or limited time given to confirmation of funding sources and policies, such as local finance settlement, grants or rent setting, leading to incorrect assumptions being forecast.  PWLB interest rate fluctuations and/or national policy change.  Fees and charges may need to be set at significantly increased rates, reducing service demand do not deliver expected income as forecast within the strategy as set at level below plan.</p>	<p>More loss-making or subsidised services.  Reduced income for the Housing Revenue Account that could compromise banking covenants.  Organisation ill-prepared to deal with impact on finances, service delivery and staff.</p>	<p>Effective fees and charges schemes. (HoF)  Review of Communications &amp; Marketing Plans. (HoP&amp;C)  Regular reviews of financial forecasts to ensure income projections are up to date. (HoF)  Secure additional resources to ensure existing services are not impacted because of a focus on FFF/corporate priorities. (SLT)  Engagement of appropriate advice to enable opportunities to remodel the Council’s non-operational asset base to be assessed. (HoA&amp;N)  DCN Income Generation and Council-appointed Executive Directors for Milverton Homes Board and Milverton Homes-appointed Directors for the Joint Venture. (HoH + PDCC)  Implementing a Change Programme. (SLT)</p>	 <p>Impact</p> <p>Likelihood</p>

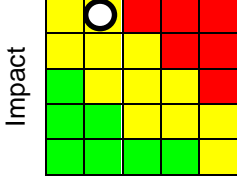
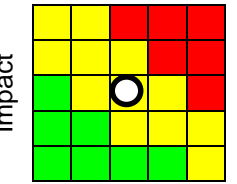
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Environmental Risks – Part I</b>				
<p>16. Failure to meet District’s ambition to be carbon neutral within specified timeframes.</p>	<p>Lack of expertise. Lack of finance. Failure to reduce carbon footprint. Lack of support from partners / community / Government. Conflict between current govt. legislation guidance ambition. Loss of political unity / support. Lack of staff resource / capacity. Competing priorities e.g. addressing Coronavirus. Major shock to the organisation due to a significant adverse national or international event.</p>	<p>Budgetary impacts. Service changes required if long recovery phase. Loss of reputation and external censure. Disruption to services. Public health issues. Failure to adapt to ‘New Normal’ caused by climate change. Political consequences. Organisation ill-prepared to deal with impact on finances, service delivery and staff.</p>	<p>Delivery of Business Strategy 2019-2023 and delivery of Climate Change Action Plan allowing members to determine extent of measures/projects to mitigate climate change and other environmental challenges that are to be included. (SLT) Climate Change Director appointed. The Council’s 2030 climate change ambitions have been more closely defined – agreed by Cabinet in July 2021. The Climate Change Action Programme incorporates a more detailed risk register to manage specific risks associated with delivering the programme. A Climate Change Action Programme has been adopted and delivery is underway. However, progress is balanced against the ever-reducing time horizon’s which means the likelihood is unchanged for this risk. Climate Change Action Fund agreed. Implementing a Change Programme. (SLT)</p>	 <p>Impact</p> <p>Likelihood</p>

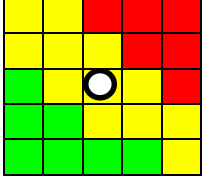
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Environmental Risks – Part II</b>				
<p>17. Failure to adequately prepare for the impacts of climate changes arising from higher global temperatures, colder changes and increased rain fall/flooding.</p>	<p>Lack of expertise. Lack of hard data about potential impacts Scale of the challenge Not entirely within Council’s control (major reliance on partners) Lack of finance. partners / community / Government. Conflict between current govt. legislation guidance ambition. Loss of political unity / support. Lack of staff resource / capacity. Competing priorities Major shock to the organisation due to a significant adverse national or international event.</p>	<p>Impacts on quality of life of our residence and particularly the most vulnerable. Impacts on the local economy. Impacts on the local environment and ecology. Loss of reputation and external censure. Disruption to services. Public health issues. Failure to adapt to ‘New Normal’ caused by climate change. Political consequences. Organisation ill-prepared to deal with impact on finances, service delivery and staff.</p>	<p>Climate Change Director appointed and Climate Adaptation Officer due to commence 1/8/22. Active dialogue with the Met Office to consider implications of climatic changes for the District. Membership of West Midlands Adaptation Steering Group and alignment with West Midlands Adaptation Plan. More detailed adaptation plan to be developed in Autumn 2023. <del>The Council’s climate change ambitions have been more closely defined including relating to adaptation—agreed by Cabinet in July 2021.</del> A Climate Change Action Programme has been adopted and delivery is underway. Climate Action Fund agreed. The Climate Change Action Programme will incorporate a more detailed risk register to manage specific risks associated with delivering the programme. Implementing a Change Programme. (SLT) Working with partners to address local risks – e.g. Severn Trent Water on water quality issues caused by storm overflows. (SLT) Emergency planning arrangement and community engagement programmes. (SLT)</p>	 <p>Impact</p> <p>Likelihood</p>

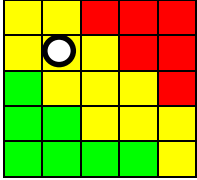
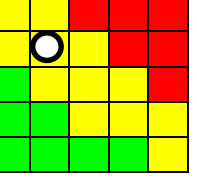
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Performance Management Risks – Part II</b>				
<p>1. Change Management Programme not managed appropriately/effectively.</p>	<p>Poor organisational communication.            Conflicting priorities and priorities increasing in number.            Unable to dedicate appropriate resources due to the impact on existing services.            Poor management.            Ineffective use of project management or systems thinking.            Lack of funding.            Business Strategy cannot be agreed due to no overall political control.            Major shock to the organisation due to a significant adverse national or international event.</p>	<p>Reduced service levels.            Non or reduced achievement of objectives.            Adverse financial impacts.            Reputational damage.            Demoralised and demotivated staff.            Organisation ill-prepared to deal with impact on finances, service delivery and staff.</p>	<p>Project prioritisation. (SLT)            SLT are Programme Board. (SLT)            Change Management Programme and associated governance arrangements. (SLT)            Budget monitoring process. (HoF)            Clear communications. (SLT)            People Strategy Action plan. (SLT)            Strong leadership to ensure priorities are managed to a deliverable level. (SLT)            Securing additional resources to support existing service provision. (SLT)            Projects drawn up within RIBA framework. (SLT)            Business Strategy agreed by Members and appropriately managed (SLT).            Change Programme is being developed for future Cabinet/Council sign-off.            Enhanced role for Member oversight of new Change Management Programme. (SLT)</p>	 <p>Impact</p> <p>Likelihood</p>

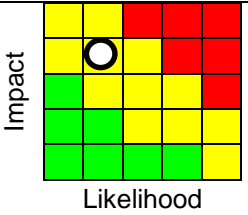


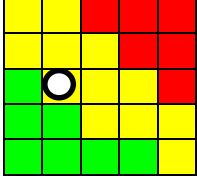
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Human Resources Risk</b>				
<p>5. Risk of ineffective workforce planning.</p>	<p>Ineffective workforce strategies planning.            Not managing staffing resources efficiently and effectively.            Possible insufficient training budget.            Impact of pandemics such as Covid-19.            Impact of inaccessibility of training internal and external.            Staff turnover due to:</p> <ul style="list-style-type: none"> <li>a. Salary</li> <li>b. Training</li> <li>c. T&amp;C</li> <li>d. Working Environment</li> <li>e. Career Progression</li> <li>f. Morale</li> <li>g. Age profile</li> <li>h. Service redesign</li> </ul> <p>Uncertainty of employment prospects with WDC and Local Government.            Poor recruitment processes.</p>	<p>Disruption to Council services – staff cannot undertake level or volume of work to meet all priorities.            Poor customer service.            ‘Industrial’ action.            Unable to meet statutory requirements.            The potential of staff is not fulfilled.            Some staff not developed to the level required to deliver service effectively.            Additional costs for specialist advice.            Inability to deliver Council objectives.            Failure to meet statutory or contractual obligations.            Increased stress on residual staff.            Reduced level of service.            Reduced level of resilience.            Reputational damage.</p>	<p>Link to People Strategy to be updated 2023 – 2027 (HoP&amp;C/SLT)            Workforce planning through Service Area Plans. (SLT)            Appropriate use of external resources. (SLT)            Training in different ways – Online, telephone, webinars. (SLT/HoP&amp;C)            Prioritise training based on service needs. (SLT)            New LMS system to support workflows and reporting. (SLT)            Recruitment Retention and Remuneration Project. (SLT)            Monitoring and analysis of HR Management Information. (SLT)            Appropriate training budget to enable training and development opportunities. (SLT)            Contract staff/consultancy. (SLT)            Use of Comensura Framework. (SLT)            Training on roles to build resilience. (SLT)            Robust recruitment process with staff training programme. (SLT)            Performance management framework including one to ones/appraisals/staff development (PDP’s). (SLT)            Redeployment Policy. (SLT)            Publicise the benefits of working for the Council. (SLT)            Market Forces Supplement Policy. (SLT)            Staff Surveys/Effective staff engagement. (SLT)            Recruitment branding e.g. refer a friend &amp; social media. (SLT)            Exit Interviews. (SLT)            Effective Health &amp; Wellbeing plans. (SLT)            Monitoring of establishment controls (new I Trent system). (SLT)            Continued HRBP support to support managers with workforce issues. (SLT)</p>	<p>Impact</p>  <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Performance Management Risks – Part II</b>				
<p>3. Risk of major contractor going into administration or deciding to withdraw from the contract.</p>	<p>Poor procurement of contractor.            Poor contract management.            Poor management of company.            External factors/State of economy e.g. Energy crisis, Cost of Living crisis, withdrawal of energy price guarantees and govt support mechanisms.            Impact of adoption of Living Wage.            Major shock to the organisation due to a significant adverse national or international event.</p>	<p>Reduced service levels.            Non or reduced achievement of objectives.            Adverse financial impacts.            Reputational damage.            Organisation ill-prepared to deal with impact on finances, service delivery and staff.</p>	<p>Properly procured contracts. (SLT)            Active contract management supported by appropriate legal support. (SLT)            Business Continuity Plan. (SLT)            Soft market testing as appropriate. (SLT)            Parent Company Guarantees being monitored. (SLT)</p>	 <p>Risk has increased due to factors concerning the state of the economy (some smaller contractors have already gone into administration).</p>
<b>Procurement Risks</b>				
<p>9. Risk of improper procurement practices and legislative requirements not being complied with.</p>	<p>Weak governance arrangements.            Ineffective procurement.            Poor procurement function.</p>	<p>Reduced levels of service provision.            Increased costs.            Fines/penalties imposed.</p>	<p>Codes of Financial Practice and Procurement Practice. (HoF)            Training of staff. (HoF/SLT)            Monitoring of departmental procurement. (SLT)            Procurement Strategy (incl. action plan). (HoF)            Code of Procurement Practice and related documents updated. (HoF)            Qualified and fully staffed internal procurement team. (SLT)            Legal attendance at Procurement Board.</p>	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Asset Management Risks</b>				
<p>14. Risk of failing to provide, protect and maintain Council-owned property (buildings and equipment).</p>	<p>Poor management. Lack of finance. Ineffective asset management. Incomplete data on asset conditions. Lack of effective asset management planning. Insufficient resources to maintain assets. Inaction re multi-storey car parks. Failure of IT system. Major shock to the organisation due to a significant adverse national or international event.</p>	<p>Lack of a suitable and safe living or working environment for residents, staff, and visitors. Sub optimum asset decisions that are poor value for money. Building closure. Closure of car parks with resultant loss of income. Organisation ill-prepared to deal with impact on its assets.</p>	<ul style="list-style-type: none"> <li>• Asset Strategy/HIP linked to ActiveH Asset Database HRA properties. (HoNaA/HoH)</li> <li>• Corporate Asset Management Strategy covering all General Fund and HRA assets (and will be reviewed in 2023). (HoNaA)</li> <li>• Comprehensive stock condition survey for all HRA properties is underway and this will be used to influence the Housing Investment Programme and Housing Business Plan. (HoNaA / HoH)</li> <li>• Housing Investment Programme and Business Plan (HoH)</li> <li>• Overall strategic review of the Council's assets managed by multi-disciplinary Asset Strategy Group – chaired by Head of Assets and corporate compliance is part of the remit of that Asset Strategy Group. (HoNaA)</li> <li>• Systems and contracts in place to deliver compliance on electrical testing, asbestos management, fire safety, gas servicing, lift servicing and Legionella monitoring with appropriate systems in place across all Council assets. (HoNaA /HoH)</li> <li>• Sufficient reserves to be able to respond to unexpected issues. (HoF)</li> <li>• Inclusion of financing requirements within MTFS projections. (HoF)</li> <li>• Having appropriate structures to review compliance. (HoNaA / HoH)</li> <li>• Regular monitoring of multi-storey block improvement programme through Housing Fire Safety Group. (HoH)</li> </ul>	<p>Impact</p>  <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Partnership Risks</b>				
10. Risk of partnerships not delivering stated objectives.	<p>Poor management. Failure to apply a robust process for entering partnerships.</p> <p>Lack of framework governing partnerships.</p> <p>Major shock to the partnership due to a significant adverse national or international event.</p>	<p>Required outcomes not achieved.</p> <p>Increased costs.</p> <p>Reduced level of service or failure to deliver service.</p> <p>Partnership ill-prepared to deal with impact on its objectives.</p>	<p>Normal management arrangements. (SLT)</p> <p>Project Groups for significant services. (SLT)</p> <p>Involvement in and engagement with existing sub-regional partnerships such as CWLEP. (SLT)</p> <p>Partnership arrangements to review impact of pandemic and consider if any specific actions are required. (SLT)</p>	<p>Impact</p>  <p>Likelihood</p>
<b>Legal Risks</b>				
11. Risk of not complying with key legislation or legal requirements, including failure to protect data.	<p>Breakdown in governance.</p> <p>Bureaucratic mistake. For example – Not seeking legal advice; not implementing it; simply getting delivery wrong e.g. sending out incorrect email.</p> <p>Lack of appropriate resources.</p> <p>Major shock to the organisation due to a significant adverse national or international event.</p>	<p>External censure.</p> <p>Financial loss.</p> <p>Litigation.</p> <p>Financial sanctions/penalties</p> <p>Damage to reputation.</p> <p>Organisation ill-prepared to deal with impact on finances, service delivery and staff.</p>	<p>Constitution. (DCE(AJ))</p> <p>External legal advice. (DCE(AJ))</p> <p>Ongoing monitoring of all Cabinet recommendations. (DCE(AJ))</p> <p>Ongoing professional training. (SLT)</p> <p>Implementation of arrangements to deal with GDPRs. (DCE(AJ))/SLT</p>	<p>Impact</p>  <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Emergency Response and Business Continuity Risks</b>				
<p>15. Risk of a major incident not responded to effectively.</p>	<p>Numerous causes including loss of ICT facilities/data, loss of staff, absence of effective BCP.</p> <p>Major shock to the organisation due to a significant adverse national or international event.</p>	<p>Partial or total loss of resources such as staff, equipment, systems.</p> <p>Major media engagement.</p> <p>Major disruption to all Council services.</p> <p>Possible legal action for damages.</p> <p>Significant financial impact.</p> <p>Diversion of resources, especially staffing.</p> <p>Damage to reputation.</p>	<p>Emergency plan reviewed every year. (SLT)</p> <p>This has been reviewed in light of the Commonwealth games to ensure appropriate planning.</p> <p>Business continuity plans are reviewed annually and have been reviewed before the games. (SLT)</p> <p>Ongoing training of councillors and officers named in MEP. (HoSCLE)</p> <p>Review of the MEP, named officers within MEP, associated SOPs. Gaps identification and appropriate updating. (HoSCLE)</p> <p>Operational testing and exercising of the MEP and vulnerability responses within Warwickshire. (HoSCLE)</p> <p>Safety Advisory groups of events held within the district &amp; command and control centres for major district events. (Development Services)</p> <p>Review completed of business continuity plans for service areas. The priorities contained within those plans consolidated into Council-wide Business Continuity Plan – Corporate (BCC). (HoSCLE)</p> <p>ICT Business Continuity contract, inc. annual off-site rehearsal. (ICT)</p> <p>Perimeter network protection (Firewall, 2 Factor Authentication, Spam filter, Antivirus, etc.), including penetration testing. (ICT)</p> <p>Backup and recovery procedures. (ICT)</p> <p>Provision of Counter Terrorism training. (HoSCLE)</p> <p>Preparation for the new Protect and prepare duty due later in 2022 (HoSCLE)</p> <p>Installation of Network Intrusion Detection/Intrusion Prevention solution. (ICT)</p>	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Corporate Governance Risks</b>				
<p>4. Risk of corporate governance arrangements not maintained effectively.</p>	<p>Ineffective political and senior management leadership.            Complacent attitudes.            Delays in making, or failure to make, key decisions by Council Members.            Breakdown of member-officer relationships.            Election of new members that may lack relevant experience and/or knowledge of local government.            Delays in making decisions due to no overall political control.            Major shock to the organisation due to a significant adverse national or international event.</p>	<p>Breakdown in internal controls leading to: non-achievement of objectives; high volumes of staff, customer, and contractor fraud; and loss of reputation.            Decision-making open to less officer and member scrutiny.            Decision-making postponed as organisation is not properly prepared.            Reputational damage.</p>	<p>Council's constitution. (DCE(AJ))            Council's strategies and policies, including Code of Financial Practice and Code of Procurement Practice. (SLT)            Strong scrutiny arrangements. (SLT)            Effective internal audit function. (HoF)            Annual Governance Statement. (DCE(AJ))            Codes of Conduct. (Members)            Effective Political Group discipline. (Group Leaders)            Councillor training (SLT)            New Member/Officer Protocol introduced. (DCE(AJ))            Local Code of Corporate Governance adopted. (DCE(AJ))            SLT/Group Leaders meetings.            Establishment of Leadership Coordination Group.</p>	<p>Impact</p>  <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Information Management Risks – Part II</b>				
<p>12. Risk of ineffective utilisation of information and communications technology.</p>	<p>Poor management of IT function. Lack of specialist staffing. Lack of finance. Poor training of new and existing staff on ICT systems. Poor data quality. Resistance to change from various stakeholders. Poor training of non-ICT staff on how to use systems effectively. Inadequate resource to implement systems effectively. Lack of process transformation when introducing new systems. Poor management of service area applications. Failure to understand requirements when introducing new systems. Failure to understand capabilities of systems. Lack of discussion with ICT when identifying early requirements.</p>	<p>Costly service delivery. Inefficient service delivery. Poor customer service. Data disclosures. Additional resource requirements to maintain status quo. Failure to realise benefits of business case. Introduction of further operational complexity. Possible staff burn-out and wellbeing concerns. Implementation outside of budget and timescales. Significantly increased operational costs. Aborted work.</p>	<p>ICT Strategy and Digital Transformation Strategy. (HoC&amp;DS) Fully-resourced, effective and secure IT function. (HoC&amp;DS) Training for staff. (HoC&amp;DS) Monitoring of service plan and operational service reviews by SLT. (SLT) Involvement of ICT with Procurement Board to identify system replacements. (HoC&amp;DS) Support from procurement team to ensure proper processes are followed. (HoC&amp;DS) Trial project management support provided centrally from ICT for system implementations. (SLT)</p>	<div data-bbox="1854 312 2101 523" style="text-align: center;"> </div> <p>The Council is currently in a state of significant flux with multiple application replacement projects underway. Therefore, the likelihood of an incident happening has increased as there are far more projects for services to consider.</p>

**Key:**

New narrative (since previous quarter)

Narrative transferred (since previous quarter)

Deleted narrative (since previous quarter)

Control/mitigation that had been, in previous quarter, recorded as an action.

**Comment**

○ = Current risk score

① ② etc = Previous risk scores

↑ → etc = trail (direction) of changes

CE	:	Chief Executive – Chris Elliott
DCE	:	Deputy Chief Executive (and Monitoring Officer) – Andrew Jones
HoA&N	:	Head of Assets and Neighbourhood – Steve Partner
HoC&DS	:	Head of Customer and Digital Services – David Elkington
HoF	:	Head of Finance (and S151 Officer) – Andrew Rollins
HoH	:	Head of Housing – Lisa Barker
HoPA&E	:	Head of Place, Arts and Economy – Phil Clarke
HoP&C	:	Head of People & Communications – Tracy Dolphin
HoSCLE	:	Head of Safer Communities, Leisure and Environment – Marianne Rolfe
PDfCC	:	Programme Director for Climate Change – Dave Barber
SLT	:	Senior Leadership Team – Chief Executive, Deputy Chief Executive and Heads of Services