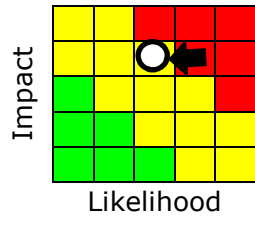
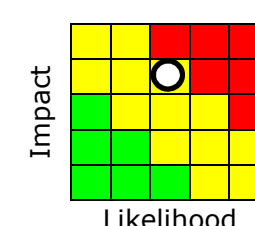
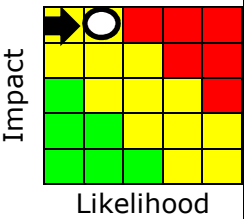


**APPENDIX A**

**Neighbourhood Services Corporate Risk Register – Generic**

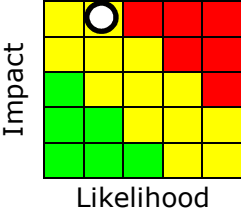
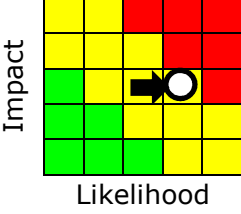
	<b>Risk Description</b>	<b>Possible Triggers</b>	<b>Possible Consequences</b>	<b>Risk Mitigation/Control</b>	<b>Officer</b>	<b>Further Action(s) (if appropriate)</b>	<b>Resource</b>	<b>Due Date</b>	<b>Residual Risk Rating</b>
<b>Generic to Warwick District Council</b>									
1.	Inability to recruit and retain staff	Age profile of staff. Salary levels. DBS checks taking too long to complete. Failure to conclude appointments quickly leading to loss of candidates. Terms and Conditions. Lack of candidates with necessary skills/qualifications.	Loss of key staff. Inability to recruit. Additional costs for specialist advice. Loss of technical staff to private sector. Reduces capacity to deliver services. Additional strain on other staff. Protracted recruitment process.	Shared Services. Succession planning. Generic Roles where ever possible. Apprenticeships are a possibility for admin based roles. Utilisation of Commensura. Utilisation of contractor resources. Bench mark terms and conditions with other organisation.	HR HNS DMT	Use of career graded posts.  More flexible job descriptions.	HR DMT	Ongoing	
2.	Failure to meet "Fit for the Future" Objectives	Legislative changes. Policy changes. Financial changes. Service changes. Organisational changes.	Overspending on Medium Term Financial Strategy. Reduced service quality. Service Cuts.	Specific focus on statutory compliance and statutory consultation requirements. Early engagement with recognised Trade Unions. Comprehensive redundancy policies. Monitoring to ensure FFF objectives are being delivered. Identifying efficiencies and delivering savings. Effective communication with staff.	HR HNS DMT CMT SMT			Ongoing	

	<b>Risk Description</b>	<b>Possible Triggers</b>	<b>Possible Consequences</b>	<b>Risk Mitigation/Control</b>	<b>Officer</b>	<b>Further Action(s) (if appropriate)</b>	<b>Resource</b>	<b>Due Date</b>	<b>Residual Risk Rating</b>
3.	Insufficient money resulting in an inability to provide normal services.	<p>Poor financial planning.</p> <p>Unexpected loss of income and/or increase in expenditure.</p> <p>Fit for the future projects do not achieve sufficient savings.</p> <p>Changes to Government Policy/legislation.</p> <p>Reduced Government grants. Financial savings not made.</p> <p>Budgets exceeded.</p> <p>Insufficient money to provide services as specified.</p>	<p>Loss making services.</p> <p>Problems delivering key services.</p> <p>Reduced quality of service.</p> <p>Budget exceeded and therefore subsequent budgets reduced.</p> <p>Forced to make large scale redundancies.</p> <p>Inability to repair or replace assets.</p>	<p>Effective management of Fit for the Future Programme.</p> <p>Effective audit of financial accounts.</p> <p>Effective fees and charges schemes.</p> <p>Delivery plans and overall project plans have been completed.</p> <p>Effective internal audit function. Codes of Financial and Procurement practice.</p>	FIN HNS DMT	<p>Longer term asset/financial planning</p> <p>Development of Corporate Asset Strategy</p> <p>Business cases being produced for replacement of car parks.</p>	Fin  DMT  DMT	Ongoing	
4.	<p>Failure to:- Respond to new legislation.</p> <p>Comply with new/existing legislation.</p> <p>Take into account legal implications of decisions.</p>	<p>Change in Government policy.</p> <p>Poor decision making.</p> <p>Lack of knowledge.</p>	<p>WDC unprepared for changes resulting in additional costs/workloads for staff.</p> <p>Damage to reputation.</p> <p>Judicial reviews.</p> <p>Financial impact.</p> <p>Legal action against the Council.</p>	<p>Legal advice available to staff.</p> <p>Communication with professional bodies and organisations to seek assistance and advice.</p> <p>Appropriate training.</p>	HNS DMT	Attend meetings of Professional Bodies.	DMT	Ongoing.	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
5.	Loss of IT.	<p>Computer breakdown.</p> <p>Technology problems.</p> <p>System problems, including hacking.</p> <p>Reliance on key staff.</p> <p>Acts of God e.g. fire, hurricane, flood.</p> <p>Power failure.</p> <p>Malicious acts by employee.</p> <p>Reliance on key staff.</p> <p>Hacking/computer virus.</p>	<p>Staff not paid.</p> <p>Reduction in service delivery, failure to meet statutory requirements.</p> <p>Cost implications.</p> <p>Poor data.</p> <p>Dissatisfied customers (and staff).</p> <p>Loss of access to data, provision of data unavailable.</p> <p>Unable to deliver on line services.</p> <p>Staff morale.</p>	<p>IT support.</p> <p>System provider helpdesk.</p> <p>Contract with software supplier to maintain training needs.</p> <p>Well trained staff.</p> <p>Adequate cover.</p> <p>Business Continuity Plan.</p> <p>Back-ups.</p> <p>Manual records.</p> <p>System controls.</p> <p>Duplicate records.</p> <p>Procedure notes.</p> <p>Audit testing.</p> <p>WDC has robust contingency plans.</p> <p>No longer reliant on WCC Customer Service Centre and WCC ICT systems.</p>	<p>Divisional managers.</p> <p>System owners.</p>	<p>Continually reviewing business continuity plans.</p> <p>Planned installation of new broadband link to Oakley Wood Crem.</p>	CCO	Ongoing	 <p>Impact</p> <p>Likelihood</p>

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
6.	ICT systems not able to support current service delivery and future improvements.	<p>Failure of the current ICT infrastructure being unable to meet demand.</p> <p>Lack of ICT resources.</p> <p>Systems failure of hardware and software.</p> <p>Use of unsupported third party systems.</p>	<p>Prolonged loss of systems.</p> <p>Additional cost to operate systems.</p> <p>Corrupted information and/or databases.</p> <p>Provision of data.</p> <p>Additional cost for external ICT support.</p>	<p>Third party support and maintenance contracts.</p> <p>Training of super users.</p> <p>Better data management.</p> <p>Review systems to ensure they are fit for purpose.</p> <p><b>Service Head sits on the ICT Steering Group</b></p> <p><b>Not reliant on WCC ICT</b></p>	ICT DMT HNS	<p>Ongoing monitoring of new ICT issues until satisfied systems are stable.</p> <p><b>Business Case being development for new Bereavement Services System</b></p>	ICT		
7.	Inaccurate / incomplete information made available to the public	<p>Not entering information.</p> <p>Entering incorrect information</p> <p>Not developing web site to assist access to service information or access to services.</p>	<p>Reduced service delivery.</p> <p>Damage to WDC reputation.</p> <p>Confused customers.</p>	<p>Implementation Plan and quarterly review of web-site.</p> <p>Business Support looking at Website on an ongoing basis</p> <p><b>Additional staff resources to assist with updating information.</b></p> <p><b>Repatriation of calls to WDC makes it easier to manage communications and service changes.</b></p>	HNS DMT (Michael Branson)	<p>Review process of updating website</p> <p>Communication Plan</p>	DMT	Ongoing	
8.	High or increasing levels of sickness.	<p>Individual workloads increase resulting in higher stress levels.</p> <p>Pandemic.</p> <p>Poor working environment.</p>	<p>Some services not delivered.</p> <p>Increase in stress/pressure on remaining staff.</p> <p>Reputational risk.</p> <p>Additional costs to cover key staff.</p>	<p>Detailed monitoring.</p> <p>Effective absence management policies and processes.</p> <p>Continuity planning.</p> <p>Filling vacant posts.</p>	DMS HNS HR	<p>Team Operational Plans are realistic and deliverable</p> <p>Back to work interviews.</p> <p>Reports from Self-Serve System.</p> <p>Occupational Health support</p>	OH	Ongoing	

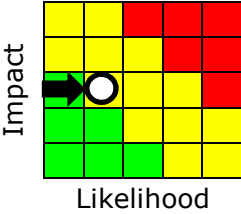
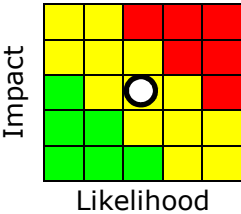
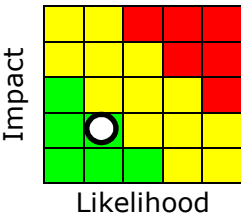
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
9.	Impact of climate change on service delivery	Changes in weather as a result of climate change. Increased high winds, long periods of freezing temperatures, heavy rain or long dry spells.	<p>Long periods of cold weather could reduce our ability to collect waste.</p> <p>Long periods of high winds would impact on trees and increase the risk of damage.</p> <p>Long periods of dry weather will reduce the amount of grass cutting required but will increase the requirement for watering of flowering plants.</p>	<p>Maintain flexibility in the contract to allow the impact to be minimised.</p> <p>Introduce gritting in car parks when long periods of freezing weather.</p> <p>Reduce floral planting to minimise the watering of these areas.</p> <p>Green Travel Plan</p> <p>Ongoing review of Business Continuity Plan</p> <p><b>Implementation of Sustainability Action Plan</b></p>	DMT WCC	Ongoing review environmental impact of operations.	SO	Ongoing	
10.	Accidents/ health & safety of staff in office.	<p>Lack of health &amp; safety good practice.</p> <p>Lack of health and safety awareness.</p>	<p>Injuries to staff</p> <p>Financial claims.</p> <p>Loss of staff morale</p> <p>Adverse publicity/reputational damage</p> <p>Difficulty in service delivery.</p> <p>Increase in sickness.</p>	<p>Lone Worker (Tunstall system).</p> <p>H&amp;S Policy and Procedures in place.</p> <p>Joint Consultative Group (management and unions)</p> <p>Operation of robust risk assessments, safe working practices.</p> <p>Accident/incident reporting and investigation.</p> <p>Safety Advisors inspection of workplace.</p> <p>DSE assessments.</p>	HNS DMS H+S A	Ongoing health and safety training for staff. (IOSH)	DMT	Ongoing	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
11.	Accidents / health and safety of contractors	<p>Lack of health &amp; safety good practice/training.</p> <p>Lack of appropriate supervision.</p> <p>Lack of policies and procedures</p> <p>Violence/threats from customers</p>	<p>Injuries to staff.</p> <p>Financial claim.</p> <p>Loss of staff morale.</p> <p>Adverse publicity.</p> <p>Reputational damage.</p> <p>Difficulty in service delivery.</p> <p>Increase in sickness.</p> <p>Actual physical injury.</p>	<p>Regular monitoring of contractors Health and Safety.</p> <p>Embedded Health and Safety consultation process.</p> <p>Health and Safety Policy</p> <p>Robust Risk Assessments</p> <p>DSE Assessments</p> <p>Staff alert list</p> <p>Tunstall procedure</p> <p>Reporting/monitoring procedures</p>	DMT H+S A Contractors	<p>Neighbourhood Services Measure</p> <p>CO's now into routine of H&amp;S checks.</p> <p>Need to undertake audit of process</p> <p>Inspection by H&amp;S Executive</p> <p>Ongoing health and safety training for staff. (IOSH)</p>	Staff time	Ongoing	 <p>Impact</p> <p>Likelihood</p>
12.	Failure of contractor to deliver service.	<p>Under-priced contract.</p> <p>Lack of client support.</p> <p>Lack of resources.</p> <p>Poor management and supervision</p> <p>Inability of contractor to recruit staff</p>	<p>Poor service delivery to customers.</p> <p>Additional client time and resources.</p> <p>Contractual deductions.</p> <p>Contractual disputes.</p>	<p>Partnership Board Meetings</p> <p>Client support.</p> <p>Penalties within contract implemented.</p> <p>Contract documentation.</p>	DMT Contractor	<p>Review of contractor performance.</p> <p>More frequent meetings and closer monitoring of performance.</p> <p>Financial deductions</p>	Staff time	Ongoing	 <p>Impact</p> <p>Likelihood</p>

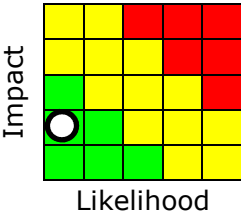
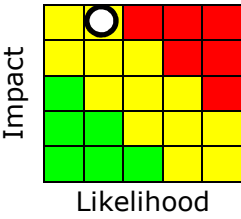
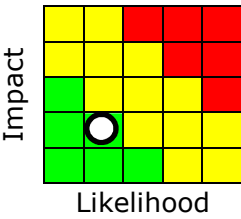
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
13.	Impact of business continuity incident	<p>Loss of building or office space.</p> <p>Loss or lack of key staff.</p> <p>Loss of key equipment or systems.</p> <p>Denial of access to place of work.</p> <p>Major incident.</p> <p>Loss of power source</p>	<p>Inability to provide services/reduced service delivery.</p> <p>Reputational damage.</p> <p>Financial Loss.</p> <p>Staff Morale.</p> <p>Customer dissatisfaction.</p>	<p>Service Area Crisis Plan</p> <p>Major Emergency Plan.</p> <p>Ability to work from home/contractor depot.</p> <p>IT disaster recovery plan</p> <p>Business Continuity Plan – critical services identified</p> <p>Back-up power supply.</p>	HNS CCO Property Services	<p>Plan testing</p> <p>Installation of back-up generator at Oakley Wood Crematorium.</p>	Staff time	TBC	
14.	Growth within Warwick District outstrips the ability for the Council to deliver services.	<p>Increased residential, commercial, and green space development above expectations.</p> <p>Changes in legislation.</p> <p>Vacant posts.</p>	<p>Gaps open up in Council services.</p> <p>Insufficient resource/capacity within the Council.</p> <p>Increase costs.</p> <p>Leave for the moment.</p>	<p>Growth built into various contracts.</p> <p>Local Plan.</p> <p>Joint planning and delivery arrangements.</p> <p>Fill posts as they become vacant</p> <p>Continually review Service Plans and Team Operational Plans</p>	DS DMT FIN	<p>Monitoring developments changes and actions require</p>	Additional costs + staff time	Ongoing	
15.	Strike Action	<p>National ballot</p> <p>Union Actions</p> <p>Unhappy staff</p>	<p>Breakdown of employment relationship</p> <p>Loss of reputation through disruption to service delivery</p> <p>Staff morale.</p>	<p>Strong formal and informal communication forums and mechanisms at a local level</p>	CMT/SMT	<p>Introduction of National Living Wage</p>			

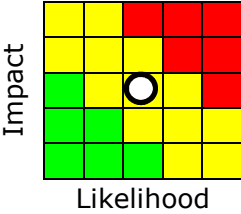
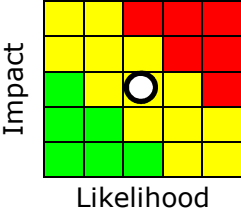
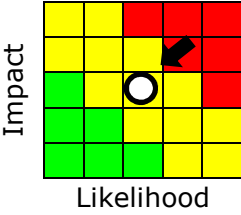
	<b>Risk Description</b>	<b>Possible Triggers</b>	<b>Possible Consequences</b>	<b>Risk Mitigation/Control</b>	<b>Officer</b>	<b>Further Action(s) (if appropriate)</b>	<b>Resource</b>	<b>Due Date</b>	<b>Residual Risk Rating</b>
16.	Failure to communicate effectively	<p>Untrained staff</p> <p>Reorganisation</p> <p>Inaccurate data on systems or website</p> <p>Poor communication/information</p> <p>High workload.</p> <p>Reliance on key staff.</p> <p>Staff absence.</p> <p>Human error.</p> <p>Inappropriate form of communication.</p>	<p>Incorrect information used to carry out work.</p> <p>Negligence and liability claims</p> <p>Adverse publicity</p> <p>Loss of reputation</p> <p>Waste of resource</p> <p>Poor service to customers</p> <p>Additional workload.</p> <p>Staff morale.</p> <p>Stress.</p>	<p>Monthly team meetings.</p> <p>One-to-ones.</p> <p>E-mail.</p> <p>Core brief.</p> <p>Intranet.</p> <p>Circulation of minutes from meetings.</p> <p>Corporate communication strategy.</p> <p>Staff training.</p> <p>Qualified/experienced staff</p> <p>Quality standards</p> <p>Good IT/Information Systems</p> <p>Web improvement plan</p>	All staff.	NS Coms Plan		Ongoing	
17.	Failure of other WDC/ partners/ stakeholders department to provide services as agreed / expected (neighbourhood/ property)	<p>Reorganisation of collaborative departments</p> <p>Failure to recognise workflow through other departments</p> <p>Insufficient staff / resource available</p>	<p>Disjointed services to customers</p> <p>Missed opportunities</p> <p>Negative impact on staff morale</p> <p>Increased customer complaints</p> <p>Reputational damage</p>	<p>Good lines of communication between key members of staff</p> <p>Joint corporate working groups</p> <p>SMT intervention</p>	DMT SMT				



	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
<b>Generic to Neighbourhood Services</b>									
18.	Loss of key records.	System failure.  Accidental disposal.  Theft – particularly of IT equipment.  Inadequately trained staff.	Unable to provide service.  Possible litigation. Financial loss.  Bad publicity.  Reputation damage. Loss of confidence.  Resource implications for replication.  Staff morale. Stress.  Staff absence.  Litigation.	IT able to restore systems. Staff training.  Secure storage of sensitive paper documents.  Document retention policy.  <b>Replace outdated/unsupported ICT systems</b>	HNS	Need to address issues in Bereavement Services	ICT DMT	2016	
19.	Stratford Road Depot lost to development.	Local Plan	Lack of Contractor Depot.  Contractor Depot needs to be moved within development site.  Contractor needs to find new site.	Routine liaison with planning colleagues and strategic managers.  Communication with contractors,	DMT Contractors			Ongoing	
20.	Council to meet its legal implications under Waste England and Wales Regulations 2001 i.e. the "TEEP test"	The legislation requires that Regulation 13 of the adjacent legislation is fulfilled by 1 January 2015	Potential legal challenge if requirements not met	Report produced setting out WDC compliance and shared with Members  <b>Use of a kerbside collection scheme to collect recyclables separately.</b>	DMT Contractors				

	<b>Risk Description</b>	<b>Possible Triggers</b>	<b>Possible Consequences</b>	<b>Risk Mitigation/Control</b>	<b>Officer</b>	<b>Further Action(s) (if appropriate)</b>	<b>Resource</b>	<b>Due Date</b>	<b>Residual Risk Rating</b>
21.	Anti-Social Behaviour in Parks	Quality and condition of park  Perception of safety by public	Reduction in use of parks.  Public feel unsafe  Vandalism/costs to repair damage	Well maintained parks  Ranger Service	DMT	Review impact of Park Ranger Service	DMT	On-going	
22.	Driving for work (council and personal vehicles) – Accidents.	Poorly maintained vehicles  Staff not trained in their responsibilities  Stress/Tiredness	Damage to vehicle or property  Persona injury, Legal action, insurance claims etc.	Regular maintenance and checks of vehicles  Staff training at commencement of job role.  Effective health & safety controls and risk assessments  Staff Provision of own insurance for Business use of personal vehicles	DMT	Highlight to SMT in corporate H&S Quarterly Report.  Need to check individual's MOT, Licence etc. Who will do work?  <b>Corporate review of procedures to ensure all appropriate checks are in place.</b>	Staff time	On-going	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
23	Homeworking – poor service level and health and safety risks present.	IT provision not working  H&S risks not mitigated  Appropriate level of service delivery not maintained	Inability to deliver work programme  Legal challenge  Customer expectation not met  Poor staff welfare/increased stress/ Isolation  Dissatisfaction for staff either being coerced into homeworking or denied homeworking  Insurance claim	Effective H&S controls in place for work place assessment and lone working.  Effective management of service delivery  The issue of the use of routine use of laptops and DSE assessments and working at home needs to be resolved, arguably through the WDC H&S Group.	DMT HNS				
24.	Failure by WCC to provide appropriate disposal sites for waste i.e. landfills, Civic Amenity Sites etc.	Landfill Operators cease to trade.  Fire / mechanical breakdown at facility.  Poor access maintained.	Additional resources required by contractor.  Additional cost.  Inability to provide waste collection service.	Good communication between Warwickshire County Council and Warwick District Council.  WCC have told us that HWRC at Princes Drive will be used in an emergency situation	WCC DMT	More robust WCC Continuity Plan	WCC		
25.	Possibility of Non-compliant procurement	Lack of awareness of issues  Deliberate act  Lack of training	Legal challenge  Loss of reputation  Failure to achieve best value	Effective staff training and management of procurement processes  <b>Review of procurement policy and processes.</b> <b>Regular discussions with the Procurement Team</b>	DMT				

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
26.	Failure to correctly monitor/ manage budgets (Short term elevated risk due to merging of departmental functions)	Insufficient staff training  Pressure of work leading to insufficient resource being committed  Uncertainty of income due to external factors.	Uncertainty for corporate budgets  Unable to meet service commitments	Regular budget monitoring  Regular meetings with Finance  Training of Budget Managers  Total training  More budget codes to be created alongside different individuals having responsibility	HNS DMT				
27.	Not applying Equality and Diversity principles	Non-compliance with legal requirements  Discrimination against group or person	Challenge by Govt Department or external agency  Legal action and/or compensation claim by group or individual	Staff training and awareness raising  Regular review of Equality Impact assessments  Information provided centrally	SMT DMT	Review with support of HR Team	HR	Ongoing	
28.	Failure to make progress on corporate and departmental priorities	Unable to provide sufficient resources to support these areas of work.  Restructure  New Services  Vacant posts	Reputation undermined due to failure to meet commitments that have been made publically.  Organisational priorities not delivered.	Regular prioritisation of work through services and corporate meetings  Managing expectations by publishing and sticking to realistic time scales  Continually monitor workloads  Realistic Service Plans and Team Operational Plans.	DMT	Continual Review	DMT CMT SMT	Ongoing	

	<b>Risk Description</b>	<b>Possible Triggers</b>	<b>Possible Consequences</b>	<b>Risk Mitigation/Control</b>	<b>Officer</b>	<b>Further Action(s) (if appropriate)</b>	<b>Resource</b>	<b>Due Date</b>	<b>Residual Risk Rating</b>
29.	Project to take back responsibility for telephony from the joint WDC/WCC CSC. Separate risk register as part of the project but added into the NS Risk Register for specific element relating to the Service Area	End of agreement with WCC for shared Customer Service Centre	Reduction in service. Inability to provide services. Loss of key staff Confusion for customers	Additional staff employed to fill vacant posts transferred from WCC. Additional training for staff Review of systems used previously and how current systems needed to be adapted. Review of business continuity plans /crisis plan Updating new phone numbers on website, corporate literature/communications.	HNS DMT	Agree corporate measures for customer services.	Service Area Reps	April 2016	<p>The residual risk rating is represented by a 4x4 grid. The vertical axis is labeled 'Impact' and the horizontal axis is labeled 'Likelihood'. The grid cells are colored as follows: (1,1) Yellow, (1,2) Yellow, (1,3) Red, (1,4) Red; (2,1) Yellow, (2,2) Yellow, (2,3) Red, (2,4) Red; (3,1) Green, (3,2) Green, (3,3) Yellow, (3,4) Yellow; (4,1) Green, (4,2) Green, (4,3) Yellow, (4,4) Yellow. A white circle with a black outline is placed in the cell at (3,3), representing a risk level of 2.</p>

**Key:** HR=Human Resources: HNS=Head of Neighbourhood Services DMT=Departmental Management Team. CMT=Corporate Management Team. SMT=Senior Management Team. FIN=Finance. CCO Civil Contingencies Officer. SO Sustainability Officer. OH Occupational Health