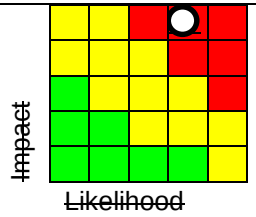
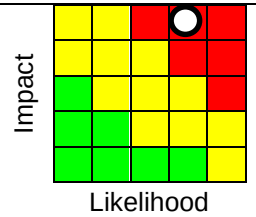
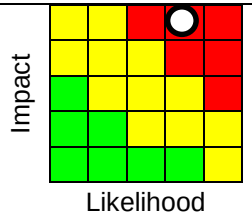
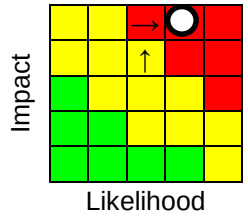
APPENDIX 1

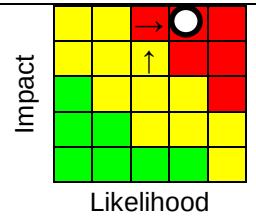
Significant Business Risk Register

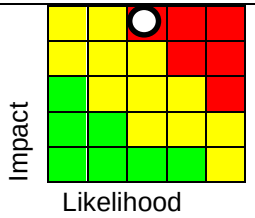
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
~~**Merger Risks**~~				
~~18. Risk of merger proposal failing to proceed or to do so within specified time~~	~~Lack of appropriate expertise at key times.~~ ~~Government decides against merger~~ ~~Lack of finance/support/ other resources~~ ~~Lack of political support within Council~~ ~~Lack of political support within SDC~~ ~~Disagreement between WDC and SDC~~ ~~Change of political control~~ ~~Lack of proper planning for change~~	~~Damage to reputation~~ ~~Financial impact as other savings have to be found~~ ~~Service impacts as other savings must be made or delays are caused~~ ~~Staff impacts as other savings must be made~~ ~~Political instability as services could be joined but not the legal entities~~	~~Merger proposal agreed by both Councils.~~ ~~Programme Team in place~~ ~~SLT now operating~~ ~~Single set of Heads of Service in place~~ ~~Service Integration Plan agreed~~ ~~Overall programme of workstreams being put in place~~ ~~Financial provision made in budget for support for changes~~ ~~Recruitment for support underway~~ ~~Regular meetings with Trades Unions~~ ~~Regular Leader and CEO meetings~~ ~~Regular staff and Councillor briefings~~ ~~Regular meetings of Cabinets~~ ~~New joint governance arrangements being put into place~~ ~~Inter authority agreement being put in place~~ ~~Alignment of policies and procedures being put into place~~ ~~New service area plans being put in place~~	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Performance Management Risks – Part 2				
2. Risk of sustained service quality reduction.	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. Increase in Members' and Citizens' expectations. 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.	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 de-motivated 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.	Effective Management of Change 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 System. (SLT) ~~Service Integration Programme has been agreed by Cabinets at WDC and SDC. [CE(SUADC) & CE(WDC)]~~	

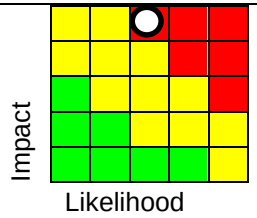
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Financial Management Risks				
6. Risk of insufficient finance to enable the council to meet its objectives (including insufficient reduction in operational costs).	Poor financial 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.	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. Loss of New Homes Bonus. 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. Comprehensive review of the organisation's response to the pandemic undertaken with findings and action plan approved by Executive. ~~Risk of S151 Officer having to issue S114 Notice.~~ Forced to make large scale redundancies.	Codes of Financial Practice and Procurement Practice. (HoFS) Effective internal audit function. (HoFS) External audit of financial accounts. (HoFS) 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. (HoFS) Council's constitution. (DCE(AJ)) Financial training. (HoFS) Robust financial planning and a Medium-Term Financial Plan that can accurately forecast income and expenditure. (HoFS/SLT) Code of Financial Practice Training. (HoFS) Plan in place to make savings as to meet the anticipated budget shortfall. (HoFS/SLT) Ongoing monitoring and future reports of existing assumed savings – e.g. leisure programme, office move, terms & conditions review. (SLT)**.** Changes to funding proposals for existing projects. Business Strategy agreed by Members and appropriately managed (SLT). ~~Service Integration Programme has been agreed by Cabinets at WDC and SDC. [CE(SUADC) & CE(WDC)]~~	

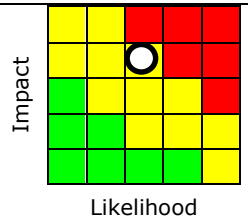
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Information Management Risks – Part 1				
13. Risk of failure to protect information assets from malicious cyber-attack.	Lack of staff training and awareness. Poor or ineffective countermeasures. Outdated software and hardware. Zero-Day vulnerabilities being exploited. Ineffective segregation and classification of data. Ineffective incident response plans. Inadequate penetration testing regime. Major shock to the organisation due to a significant adverse national or international event.	Reputational damage. Loss of public trust. Lost productivity. Recovery costs. Potential fines (ICO). Permanent data loss. Targeted for further attacks. Exfiltration of sensitive data. Bribery attempts to prevent data leakage. Long term operational difficulties. Organisation ill-prepared to deal with impact on ICT systems.	CESG approved penetration tests. (HoICT) Patch Management Policy/Procedures. (HoICT) Anti-malware/virus software. (HoICT) Use of NCSC Protected DNS Service. (HoICT) Use of NCSC Intelligence gathering and monitoring services. (HoICT) Anti-malware strategy. (HoICT) ~~Anti-malware risk log. (DCE(AJ))~~ Incident Management Policy & Procedure. (HoICT) Major Virus Response Procedure. (HoICT) Electronic Information Backup Policy. (HoICT) Data Distribution to reduce target exposure and to speed up recovery. (HoICT) ~~Introduction of multiple fileservers to reduce target exposure and to speed up recovery (DCE(AJ))~~ Introduction of temporary web site in the event of a major outage, reducing reputational damage. (HoICT) Offline backups air-gapped from live systems. (HoICT) Regular full scale DR exercises with 3rd party provider. (HoICT) e-learning solution (HoICT) ~~Next generation AV, including Intercepting Ransomware in place. (DCE(AJ))~~ National Cyber security check now in place. (HoICT) ~~Installation of~~ Network Intrusion Detection/Intrusion Prevention solution. Adoption of Cloud services and infrastructure as appropriate (for example, MS Office365). (HoICT)	 **Risk increased due to problems recruiting staff and increased cost of contractors.**
Financial Management Risks (Cont.)				

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
7. Risk of additional financial liabilities.	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.	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	Fit for the Future change programme. (SLT) 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. (HoFS) 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. (HoFS) Existence and application of Medium Term Financial Strategy. (HoFS)	 **Likelihood increased by one as inflation is already occurring and there are significantly more legal challenges.** **Impact increased by one as probably underestimated previously.**
Environmental Risks – Part 1				

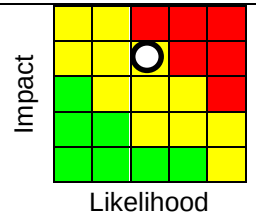
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
16. Failure to meet District's ambition to be carbon neutral within specified timeframes.	Lack of expertise. Lack of finance. Failure to reduce carbon footprint. Lack of support 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.	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.	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 ~~will~~ incorporates a more detailed risk register to manage specific risks associated with delivering the programme. A Climate Change Actin 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.	

Environmental Risks – Part 2

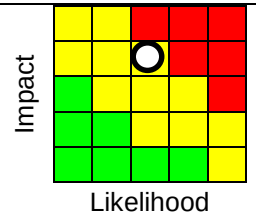
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
17. Failure to adequately prepare for the impacts of climate changes arising from higher global temperatures.	Lack of expertise. Lack of hard data about potential impacts 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.	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.	Climate Change Director appointed and Climate Adaptation Officer due to commence 1/8/22 ~~recruitment to a Climate Adaptation Officer post is underway~~. ~~Data requested from the Met Office (expected Spring 2022).~~ Active dialogue with the Met Office to consider implications of climatic changes for the District. ~~Involvement and alignment with West Midlands Adaptation Plan.~~ Membership of West Midlands Adaptation Steering Group and alignment with West Midlands Adaptation Plan. More detailed adaptation plan to be developed in Autumn 2022. The Council's climate change ambitions have been more closely defined including relating to adaptation – agreed by Cabinet in July 2021. 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.	
Performance Management Risks – Part 1				

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
1. Fit for the Future Change Programme not managed appropriately/effectively.	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 can't be agreed due to no overall political control. Major shock to the organisation due to a significant adverse national or international event.	Reduced service levels. Non or reduced achievement of objectives. Adverse financial impacts. Reputational damage. Demoralised and de-motivated staff. Organisation ill-prepared to deal with impact on finances, service delivery and staff.	Project prioritisation. (SLT) SLT are Programme Board. (SLT) Fit for the Future change programme and associated governance arrangements. (SLT) Budget monitoring process. (HoFS) Clear communications, Staff Focus Group. (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). ~~Service Integration Programme has been agreed by Cabinets at WDC and SDC. [CE(SUADC) & CE(WDC)]~~	

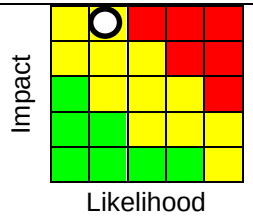
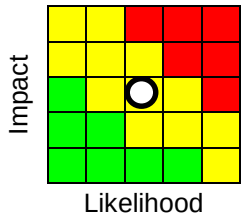
Human Resources Risk

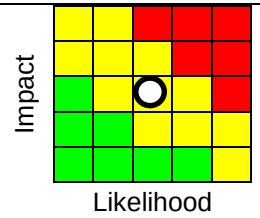
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
5. Risk of staff not developed effectively.	Ineffective workforce strategies. Not managing staffing resources efficiently and effectively. Possible insufficient training budget. Impact of Covid-19. Impact of inaccessibility of training internal and external.	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.	Link to People Strategy to be updated 2021 -2024 joint with SDC. (HoP&C/SLT) Workforce planning through Service Area Plans. (SLT) Appropriate use of external resources. (SLT) Training in different ways – Online, telephone, webinars. (SLT/HoP&C) Prioritise training based on service needs. (SLT) Acceptance that some training may be disrupted until new ways of delivery are prepared. (SLT)	

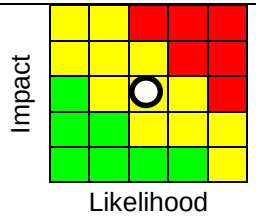
Financial Management Risks (Cont.)

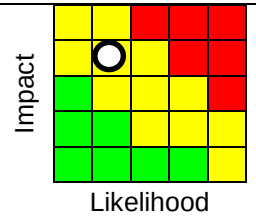
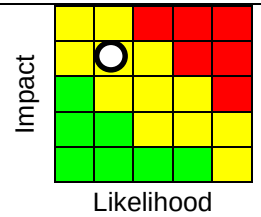
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
8. Risk of not obtaining potential income sources.	Ineffective management. Complacency. Lack of resources to investigate. Other priorities. Partner changing priorities. Income opportunities diminished due to significant adverse national or international event. Major shock to the organisation due to a significant adverse national or international event. PWLB interest rate fluctuations and/or national policy change.	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.	FFF Programme. (SLT) Effective fees and charges schemes. (HoFS) Communications & Marketing Strategy. (SLT) Regular reviews of financial forecasts to ensure income projections are up to date. (HoFS) Secure additional resources to ensure existing services are not impacted because of a focus on FFF/corporate priorities. (HoFS) ~~Ongoing engagement with the CWLEP to ensure future funding opportunities are understood and assessed. (SLT)~~ Engagement of appropriate advice to enable opportunities to remodel the Council's non-operational asset base to be assessed. ~~(DCE(AJ))~~ HoA DCN Income Generation and Commercialisation Review undertaken. (HoFS) Council appointed Executive Directors for Milverton Homes Board and Milverton Homes appointed Directors for the Joint Venture (HoH +PDCC)	

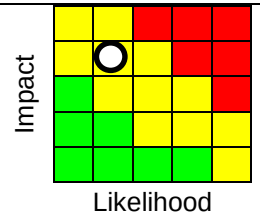
Performance Management Risks (Cont.)

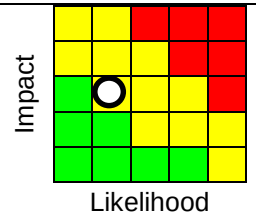
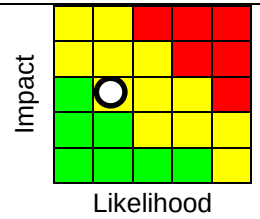
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
3. Risk of major contractor going into administration or deciding to withdraw from the contract.	Poor procurement of contractor. Poor contract management. Poor management of company. External factors. State of economy ~~(including Brexit factors)~~. Introduction of Living Wage. Major shock to the organisation due to a significant adverse national or international event.	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.	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. (SAMS)	
Procurement Risks				
9. Risk of improper procurement practices and legislative requirements not being complied with.	Weak governance arrangements. Ineffective procurement. Poor procurement function.	Reduced levels of service provision. Increased costs. Fines/penalties imposed.	Codes of Financial Practice and Procurement Practice. (HoFS) Training of staff. (HoFS/SLT) Monitoring of departmental procurement. (SLT) Procurement Strategy (incl. action plan). (HoFS) Code of Procurement Practice and related documents updated. (HoFS) Qualified internal procurement team. WCC providing additional support and expertise. (SLT)	
Asset Management Risks				

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
14. Risk of failing to provide, protect and maintain Council-owned property (buildings and equipment).	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.	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.	~~Development of an Asset Strategy linked to Asset Database. (AM)~~ ~~Corporate Asset Management Strategy and an accompanying Action Plan covering all General Fund and HRA assets has been developed.~~ ~~Maintenance of a comprehensive asset database. (AM)~~ ~~Overall strategic decisions regarding Council's corporate and HRA assets managed by multi-disciplinary Asset Strategy Group – chaired by Deputy Chief Executive. (DCE(AJ))~~ ~~Establishment of a corporate compliance and delivery group reporting to the Asset Strategy Group (AM)~~ ~~Improvements to be made to end-to-end systems to manage electrical testing, asbestos management fire safety, gas servicing and Legionella monitoring through the new Assets Team structure. (AM)~~ ~~Appropriate systems to manage electric testing, gas servicing, asbestos management and removals, legionella testing, fire risks and health and safety assessments across all Council assets (AM/HoCP)~~ ~~Remodelling of Housing Investment Programme based on HRA stock condition survey. (AM/DCE (AJ)/HoH)~~ ~~Having sufficient reserves to be able to respond to unexpected issues. (HoFS)~~ ~~Completion of the review of the relocation project and proposed redevelopment of the Covent Garden site following the Executive decision not to pursue any future projects through the LLP. (AM)~~ ~~Inclusion of financing requirements within MTFS projections~~ ~~Completion of the various elements of the Corporate Asset Management Strategy Action Plan (AM/HoH)~~ ~~Having appropriate structures to review compliance. SLT~~ ~~Fortnightly monitoring of multi-storey block improvement programme through Corporate Fire Safety Group (DCE(AJ)~~	

			~~Introduction of temporary web site in the event of a major outage, reducing reputational damage. (DCE (AJ)~~ ~~Financial planning for equipment and system renewal. (HoFS)~~ ~~Mitigations set out in ICT Risk Register + debrief and action plan when problems have emerged.~~ Maintaining and delivering on of an Asset Strategy linked to Asset Database. (HoA) Corporate Asset Management Strategy covering all General Fund and HRA assets is in place for the period 2019 – 2023 at which point it will be reviewed and updated. The Action Plan will be reviewed and updated each year. (HoA) Maintenance of a comprehensive asset database in ActiveH – a comprehensive stock condition survey for all HRA properties has been commissioned and us currently underway and this will be used to remodel the Housing Investment Programme and Housing Business Plan. (HoA / HoH) 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. (HoA) Systems and contracts in place to manage electrical testing, asbestos management, fire safety, gas servicing, lift servicing and Legionella monitoring with appropriate systems to manage electric testing, gas servicing, asbestos management and removals, legionella testing, fire risks and health and safety assessments across all Council assets. (HoA/HoCP/HoH) Having sufficient reserves to be able to respond to unexpected issues. (HoFS) Inclusion of financing requirements within MTFS projections. (HoFS) Completion of the various elements of the Corporate Asset Management Strategy Action Plan. (HoA/HoH) Having appropriate structures to review compliance. SLT Regular monitoring of multi-storey block improvement programme through Corporate Fire Safety Group. (HoH)	

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

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

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
4. Risk of corporate governance arrangements not maintained effectively.	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.	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.	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. (HoFSS) 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.	
Information Management Risks				
12. Risk of ineffective utilisation of information and communications technology.	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.	Costly services. Inefficient services. Poor customer service. Data disclosures.	ICT Strategy and Digital Transformation Strategy. (DCE(AJ)) Fully-resourced, effective and secure IT function. (DCE(AJ)) Training for staff. (DCE(AJ)) Monitoring of service plan and operational service reviews by SLT. (SLT)	

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

O = Current risk score

① ② etc = Previous risk scores

↑ → etc = trail (direction) of changes

HoA	:	Head of Assets – Steve Partner
CE	:	Chief Executive Warwick District Council – Chris Elliott
SLT	:	Senior Leadership Team – Chief Executive, Deputy Chief Executive and Heads of Services
DCE	:	Deputy Chief Executive – Andrew Jones
HoCP	:	Head of Community Protection – Marianne Rolfe
HoCT&LS	:	Head of Cultural, Tourism and Leisure Services – Rose Winship
HoD	:	Head of Development – Phil Clarke
HoFSS	:	Head of Financial Services (and S151 Officer) – Andrew Rollins (Acting)
HoH	:	Head of Housing – Lisa Barker
HoICT:	:	Head of ICT – David Elkington
HoP&C	:	Head of People & Communications – Tracy Dolphin
PDfCC	:	Programme Director for Climate Change – Dave Barber