

Warwick District Council - Significant Risk Register - Open

SRR REF	DATE RAISED TO SRR	RISK OWNER	SERVICE AREA	PORTFOLIO HOLDER	RISK TITLE	RISK DESCRIPTION	STRATEGIC OR OPERATIONAL	CONFIDENTIAL	IMPACT ON THE CORPORATE STRATEGY	RISK EXPOSURE	RAW RISK RATING				RISK CONTROL MEASURES	RISK CONTROL ACTION(S)	CURRENT RISK RATING				PROGRESS/COMMENTS	NEGATIVE OR OPPORTUNITY RISK	RISK SOURCE	REVIEW	RISK RESPONSE	ACTIONS REQUIRED	RISK STATUS
											LEVEL	SCOPE	IMPACT	LIKELIHOOD			LEVEL	SCOPE	IMPACT	LIKELIHOOD							
1	22/05/2024	DK	DCEO	HA	Change Programme	If the Council does not achieve the expected financial benefits from the change programme then this will impact the MTFs assumptions.	Strategic	No	P1	The change programme needs to deliver £2.5m of savings from the General Fund over the MTFs duration.	4	4	16	Change Programme Case for Change has been approved by Cabinet. There is a £500k invest to save fund established. Change Programme has been launched. Programme board established with key senior management and political sponsorship. See Case for Change for more information. Efficiency tracker has been established to track progress.	All of SLT	3	4	12	Change Programme launched in March 2024. Programme Board established. First set of change proposals planned for June programme board.	Negative	MTFS	28/02/2025	Reduce	Consider merge of this risk with MTFs risk (12)	Open		
2	23/05/2024	MR	Neighbourhood	WR	Ash dieback, chalara (Hymenoscyphus fraxineus)	Ash dieback is already in the district. If ash dieback spreads, then this could impact up to 80% of the ash trees in the district which would impact biodiversity, the natural landscape & the cost to WDC of felling lots of trees.	Operational	No	P3	This issue could potentially destroy around 80% of ash trees within the district. Financial cost is unbudgeted for tree felling and the possible cost is unknown. The level of spread is currently not fully known but there is monitoring in place to get a view of the problem.	4	4	16	Green Space are following the best practice from The Forestry Commission, Woodland Trust. There are regular independent tree inspections and WDC will fell dead and/or dying trees where appropriate	DA & MF	4	4	16		Negative	Service Area Plan	31/01/2025	Reduce		Open		
3	23/05/2024	MR	Community Protection	JS	Sustainable Urban Drainage Systems (SuDS)	If there is no management of SuDS by WDC on Council land, then there is a risk of flooding and insurance claims. There is no clear national guidance or policy on SuDS and increased development will require the provision of more SuDS.	Operational	No	P1 & P3	Failure of SuDS could lead to damage to properties, serious disruption and insurance/compensation claims. Flooding could also impact open spaces.	4	4	16	Condition survey of SuDS is required to understand the issues and the best way forward with respect to statutory obligations, planning, design, management, and maintenance. Previous discussions have been had between HoS but no action yet.	GSSM, SLEHOS, N&AHOS	3	4	12	Now have monthly meetings with Asset Team. Programme of inspections and maintenance is being developed. Budget in place to inspect and maintain. SuDS training for both teams is to be booked. SuDS training for both teams is to be booked. Looking at procedural note on emergency action needed on polluted or failing SuDS. Resolving the a built issues with current contractor. New contractor appointed for the SuDS inspections for built/older systems.	Negative	Legislative	28/02/2025	Reduce		Open		
4	23/05/2024	DB	Climate Change Director	LW	Delivering low cost and low carbon energy programme	If we don't have the right skills, capacity or financial resources to deliver the Programme, this will impact on a) our reputation; b) climate change and c) cost of living and impact the ability to delivery. Priority 2 of the Corporate Strategy.	Strategic	No	P2	Failure to deliver value for money; failure to deliver cost savings (for us / residents / businesses); failure to deliver carbon savings	4	4	16	Programme Board established; key staff resources identified in Climate Change, Assets; Housing; learning from other organisations; some (limited) funding in place; seek grant support and external (private) funding	DB	3	4	12		Negative	Project/Programme	31/01/2025	Reduce		Open		
8	23/05/2024	DK	DCEO	CK	Abbey Fields	If Abbey Fields Swimming Pools is not delivered on time, to specification and/or within the agreed budget then this would have a financial and reputational impact, which would affect MTFs for the general fund.	Strategic & Operational	No	P1 & P3	Nothing identified at this point. This is on the SRR due to the project value, complexity and profile. Project has contingencies as part of the overall project funding.	3	4	12	Mace employed as Project Managers. Patrick Parsons now employed to oversee any potential risk relating to piling operations. Fortnightly meetings with contractor. Monthly finance meetings. Project Board including Members. Expenditure Working Party with Members from all parties. Kenilworth Leisure Members' Liaison Group. Project Risk Register maintained at all times. Contingencies held.	PH & LD	2	4	8	Monthly programme board meetings are in place. Need to review further in December when the LGI decision is known.	Negative	Project/Programme	28/02/2025	Accept	Project officers to review this risk as the project advances to ensure that it is appropriately scored etc.	Open		
9	14/06/2024	PC	Place, Arts & Economy	CK	South Warwickshire Local Plan	If WDC fails to adopt a Local Plan, then this would lead to speculative development, reliance upon NPFF for all decisions and no control over where growth goes. Government would impose higher housing targets and action plans	Strategic	No	P3	Unable to properly plan for the growth of Warwick District. Exposure will be multi-faceted and include (1) impact on delivery of timely and appropriate infrastructure for the district, (2) failure to maximise opportunities to deliver corporate priority targets identified for Local Plan, (3) loss of control over location of new developments, (4) financial implications with loss of CL contributions.	4	4	16	Joint Local Plan team (WDC / SDC) established and in operation / governance structure in place including regular meetings with leaders and portfolio holders of WDC/SDC and joint Advisory Group / budget established / briefings for councillors and other stakeholders undertaken at key stages	PC & AC	3	4	12	Report on housing growth has been presented to the Joint Committee in August 24 and agreed. Preferred Options document scheduled for December 2024 with public consultation to follow in early 2025.	Negative	Legislative	28/02/2025	Share		Open		
10	14/06/2024	CE, DK & DB	CEO	ID & JM	Corporate Projects	If we fail to match the resources available (staffing and finance) with the priorities within the Corporate Projects List and fail to include the commissioning of the asset within the scope of the project, there is a risk that priority projects will be delayed, cost more, fail to deliver the benefits as intended or leave the Council with an asset that is not operational.	Strategic	No	All	Failure to deliver the Corporate Strategy priorities. Significant financial risks where resources have been committed to major projects. Reputational risks with communities and partners as result of failure to deliver intended outcomes	4	4	16	Central project register completed to ensure viability / visibility of current and pipeline projects, review of risk management underway and approach to project and programme management underway.	CE, DK, DB & CoPMP	3	4	12		Negative	Project/Programme	28/02/2025	Reduce		Open		
12	14/06/2024	AR	Finance	JC	Failure to deliver MTFs assumptions	If the assumptions underpinning the MTFs are inaccurate, the Council will need to make savings through other means such as cutting services or staff	Strategic	No	All	The MTFs assumes savings of £2.5m from the general fund.	3	5	15	The Change Programme includes various measures to help ensure that the savings are met, including the Fees and Charges Review. The assumptions within the MTFs are also reviewed on a regular basis during budget monitoring etc.	AR, DK, DE	3	4	12	Initial meetings to scope areas for consideration in the fees and charges review have been undertaken. Other assumptions included within the MTFs (e.g. Business Rates growth, Council Tax, Inflation etc.) will continue to be monitored and will be reviewed in detail following the production of the Q2 budget report in light of estimated budget variances	Negative	MTFS	28/02/2025	Contingent Plan	Consider merge of this risk with Change Programme risk (1)	Open		
13	14/06/2024	AR	Housing	ID, CK, JC & HA	Milverton Homes and Joint Venture	If Milverton Homes are not able to meet the assumptions set out in their business plan, the loans may not be repaid and the Council will fail to achieve the anticipated returns on investment	Strategic	No	P1	WDC has £60m invested in the JV through loans which are secured against income generating assets	2	4	8	Quarterly Governance meetings in place. MHL business plan reported annually to Cabinet. Development schemes have a business case with a ROI within certain tolerances.	AR & GL	2	4	8	Next Governance Meeting will focus on reviewing the MHL Risk Register	Negative	Delivery Model	28/02/2025	Share		Open		
14	14/06/2024	AR	Finance	JC	Procurement Act 2023	If the Council does not implement new Procurement processes, it will be in breach of the new Procurement Regulations that are due to come into force in February 2025	Operational	No	All	Reputational damage, WDC could be open to legal challenge and there could be regulatory intervention	4	4	16	Officer working group has been established, action plan has been developed and gap analysis undertaken	AR, RR, DB, DE, GL & TD	2	4	8	Action plan has commenced	Negative	Legislative	28/02/2025	Accept		Open		
15	14/06/2024	AR	Finance	JC	Closure of Accounts	If the Council is unable to have the 2023/24 accounts signed off by External Audit, the Council will have reduced assurance that its financial assumptions are correct	Operational	No	P1	Reputational damage through being named and shamed by Government with additional regulatory oversight. Additional costs due to higher interest rates as a result of reduced confidence in the Council.	3	4	12	Early and regular engagement with the new External Auditor	AR & SL	3	4	12	Work has already started on the 2023/24 accounts	Negative	Legislative	28/02/2025	Accept		Open		
16	14/06/2024	LB	Housing	HA	Asset Compliance and New Housing Consumer Standards	If we fail to accurately complete the action plans then the Council could experience a (further) regulatory judgement and action from the RSH	Operational	No	P1	There would be reputational damage and intense monitoring and supervision from the RSH. This could also impact on funding from Homes England	4	4	16	Action plan developed, governance board established, Housing Scrutiny committee established, building and fire safety leads appointed, project management resources increased and consultancy support secured.	AP, SH, RB, PC, JM & LB	3	4	12	Action plan is on track, RSH regularly updated and Penningtons undertaking a interim review on progress	Negative	Legislative	28/02/2025	Accept	Compliance Manager to review with consideration of wider risk re HQN	Open		
18	14/06/2024	LB	Housing	HA	Responsive Repairs Contract Procurement	If the Council either fails to secure a new contract and/or fails to specify a robust contract to replace the housing repairs contract that expires March 2026, then the Council would achieve poor value for money and poor services for tenants	Operational	No	P1	This is the most important service for Council tenants and drives overall tenant satisfaction. The value of the current contract is multi million.	4	4	16	Consultancy has been appointed to support this work. Project team is being formed. PID completed.	AP, SH and PD	3	4	12	Procurement project team being established	Negative	Service Area Plan	31/12/2024	Reduce		Open		
20a	14/06/2024	LB & AR	Housing	LW & HA	Failure to deliver the HRA Business Plan	If Decent Homes (DHS) and DHS2 which has been consulted on and is potentially considerably more onerous is made statute. Fire Safety and Building Safety legislation sees frequently changing legislation and regulation. These are statutory requirements and also carry the risk of reputational and financial damage. Disrepair is an increasing concern with ambulance chasers and this is causing concerns across the sector- Health and Safety issues and Statutory requirement. New Homes - meet housing need Aylum and Immigration- impact on housing register and local housing market. Home office led and numbers look to be increasing. If this is implemented it is likely to impact homelessness and temporary accommodation as well as impacting our communities and both other statutory and VCS services Damp, Mould and Condensation - Awaabs Law. Statutory requirement. qualifications for Housing Staff. If the law around this is tightened and becomes more litigious. Rents and rent setting being highly centrally controlled lessening certainty on ability to generate sufficient income to meet demand.	Strategic	No	P1 & P2	WDC has a customer base exceeding 6,000 homes. it has a predicted income of £33.4m with predicted operating costs of £33.5m including supporting borrowing of £19.3m (all figures pertaining to 2024/25 financial year). There are significant reputational risks. There are financial risks arising from disrepair with costs this year predicted between £360,000 and £1,080,000	4	5	20	Member of ARCH which lobbies on behalf of LA's. Individual officers are members of the Chartered Institute of Housing to add lobbying voice. Key relationships with DCN and LGA for Lobbying power. Horizon scanning Building known factors into the HRA BP Advice to Cabinet/Council to enable informed decisions	LB, SH, CR	3	4	12		Negative	Horizon Scan	28/02/2025	Contingent Plan		Open		
20b	14/06/2024	LB & AR	Housing	LW & HA	Failure to deliver the HRA Business Plan	If predicted house numbers fail to meet predicted levels (either through losses as a result of Right to Buy and / or not acquiring or building new homes) the viability of the HRA will be impacted	Strategic	No	P1 & P2	Inability to raise sufficient rental income to fund the service, provide decent homes, meet regulatory requirements	4	5	20	There is a pipeline of new properties coming on stream The HRA Business Plan is reviewed Annually.	LB, SH, CR	3	4	12		Negative	Service Area Plan	28/02/2025	Reduce		Open		
21	28/11/2024	PC	Place, Arts & Economy	CK	Royal Pump Rooms Roof	If the cost of repairing the roof at the Royal Pump Rooms exceeds the budgeted amount, there will be an impact on the future savings needed.	Operational	No	P1	Any cost increase over the current budget	4	3	12		PC, PR and JB	4	3	12		Negative	Project/Programme	28/02/2025	Reduce		Open		

Changes following SLT (05/09/2024)

- 1 Update all relevant Portfolio Holder fields from PW to HA (change of PH for Housing and Assets)
- 2 Update all relevant Portfolio Holder fields from JH to JM (change of name)
- 3 Risk 7 - Current Likelihood score reduced from 3 to 2 and removed SP from Risk Control Actionee(s)
- 4 Renumbered risks 9 onwards as 8 had been missed (following changes reflect the new numbers)
- 5 Risk 8 - risk area changed to DCEO and note added to Progress / Comments re reviewing in December following LGI decision
- 6 Risk 9 - Progress / Comments amended to reflect receipt of report and meeting in December not November
- 7 Risk 10 - Risk Description Amended to include the commissioning of the asset
- 8 Risk 11 - Risk Description amended to replace 'will' with 'could'
- 9 Risk 12 - Progress / Comments updated to include reference of the need to review after the Q2 budget report is produced in light of estimated budget variances
- 10 Risk 13 - LB removed from Risk Control Actionee(s) and PH changed to Shareholder Reference Group Members (ID, CK, JC and HA)
- 11 Risk 15 - Risk Title changed to Closure of Accounts
- 12 Risk 16 - Risk Owner changed to DK
- 13 Risk 17 - Risk Owner changed to CE, removed SP from Risk Control Actionee(s) and PH changed to JM (see also change 2)
- 14 Risk 18 - Risk Owner changed to DK and SP removed from Risk Control Actionee(s)
- 15 Risk 19 - Removed SP from Risk Control Actionee(s)
- 16 Risks 20 and 21 - renumbered as 20(a) and (b), Risk Title changed to Failure to Deliver the HRA Business Plan and Risk Owner updated to include AR as well
- 17 New Column added for Actions Required and new sheets for Issue Log and Actions Log

Changes following Cabinet Catch Up (09/09/24)

- 18 Removal of risks from SRR (to place into SAP risk registers):

5	23/05/2024	TD	People & Communications	JM	Ineffective Workforce Planning	If workforce planning is not effective then this will impact on staffing resources and inability to provide services effectively.	Strategic & Operational	No	P1	Disruption to Council Services; unable to meet statutory requirements; morale and pressure on staff; reduced level of service and resilience; reputational damage. There could also be increased reliance on agency staff.	3	4	12	People Strategy 2023 -2027; workforce planning through SLT Service Area Plans; recruitment, retention and remuneration project; Working for Warwick award and supporting benefits; performance management through 1-1's and appraisals.	TD	2	4	8	Monitoring and engagement of key areas of the control measures and associated actions through working groups: Workforce Steering Group; Ways of Working Group; Staff Voice; Health and Wellbeing Group.	Negative	Delivery Model	31/01/2025	Accept	Open
6	23/05/2024	DB	Climate Change Director	WR	Delivering Biodiversity Action Programme	If we don't have the right skills, capacity or financial resources to deliver the Programme, this will impact on a) our reputation; b) biodiversity in the District and c) future costs associated with ecological recovery in response to declared ecological emergency.	Strategic	No	P3	Ecological emergency declared and biodiversity highlighted in Corporate Strategy. The action plan will be expensive and there is therefore a reliance on Biodiversity Net Gain (BNG) to deliver important elements of it. BNG is in its infancy and isn't yet fully understood internally and especially externally	3	4	12	Biodiversity Action Programme (BAP) in place. Cost and responsibilities for delivery of the programme's year 1 actions identified. Need to identify and secure year 2 costs and recruit new member of staff. Need to put in place clearer programme governance	DB	3	3	9		Negative	Project/Programme	31/01/2025	Accept	Open

Changes following SLT (28/11/2024)

- 19 Risks 1, 3, 4, 8, 9, 10, 12, 13, 14, 15, 16, 20a and 20b - Review date amended to end of February
- 20 Removal of risks from SRR (to place into relevant SAP / Project risk registers):

7	23/05/2024	MR	Safer Communities, Leisure & Environment	JS	Bowling Greens	If the bowling green contractor does not maintain the greens to the required standard then they would die and the impact would be cost of replacement, the loss of events and impact on the local economy as well as Leamington's reputation as the UK home for bowls	Strategic & Operational	No	P3	In the worst case scenario it could cost up to £1m to replace all the greens. There would also be reputational damage for Leamington through loss of events and economic activity.	4	5	20	STRI guidance to protect greens if severe weather predicted. Additional funding has been agreed for more staff and recruitment underway Additional greens maintenance staff resources Additional CCTV installed	AH & MR, DA, ZC	2	4	8	Monitor weather forecasts Liaison with idVerde to use earmarked budget to secure additional greens keeping resource. Understaffing at greens by ID VERDE - managing contract.	Negative	Service Area Plan	31/01/2025	Reduce	Open
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11	14/06/2024	AR	Finance	JC	Business Rates Re-set	If a full business rate reset takes place, the Council could forego annual business rates growth in the region of circa £3m	Strategic	No	P1	While the MTFS does not make provision for the full business rates growth on a recurrent basis, the growth is typically used to support non-recurrent activity as part of budget setting. By not having access to this source of funding, the Council would either have to decide on other funding sources within the base budget, or not be able to carry out activities / projects.	3	4	12	Including a prudent forecast for Business rates within the MTFS, that does not consider all current growth on a recurrent basis. This non-recurrent funding can then be allocated at budget setting annually upon confirmation of the Core Finance Settlement.	AR	3	4	12	Negative	MTFS	31/01/2025	Accept	Open
17	14/06/2024	CE	Assets & Neighbourhoods	JM	Office Relocation	If office landlord decide to enforce the break clause the Council would not have alternative arrangement available, then would need to urgently find an alternative home	Strategic	No	P1	Possibility of landlord seeking to gain vacant possession of S1. Break clause is due on the 2026 - either side can give six months notice.	2	4	8	Timeline for activating the break clause is 2026.	RM	1	4	4	Negative	Service Area Plan	31/01/2025	Contingent Plan	Open

- 21 Actions added to Actions Required Column and Actions log for 8, 1 & 12, 16
- 22 Risk 14 - change to description to reflect the new date that the Act comes into force (February 2025 not October 24) and change to Risk Control Actionees to replace BB with RR and add GL
- 23 Risk 15 - Residual likelihood increased to 3 in line with the raw score due to current position with the 23/24 accounts
- 24 Risk 16 - Risk Owner changed to LB
- 25 Risk 18 - Risk Owner changed to LB and SH and PD added to Risk Control Actionee(s). Review date amended to end of December
- 26 Risk 19 combined into Risk 16

(Original version of 16 (with above changes already included))

16	14/06/2024	LB	Assets & Neighbourhoods	HA	Asset Compliance	If we fail to accurately complete the asset compliance action plan then the Council could experience a regulatory judgement and action from the RSH	Operational	No	P1	There would be reputational damage and intense monitoring and supervision from the RSH. This could also impact on funding from Homes England	4	4	16	Action plan developed, governance board established, compliance committee established, building and fire safety leads appointed, project management resources increased and consultancy support secured.	AP, SH, RB, PC, JM & LB	2	4	8	Action plan is on track, RSH regularly updated and Penningtons undertaking a interim review on progress	Negative	Legislative	28/02/2025	Accept	Compliance Manager to review with consideration of wider risk re HQN	Open
19	14/06/2024	LB	Housing & Asset Management	HA	New Housing Consumer Standards	If the Council is not compliant with the new consumer standards, then the Council could be in breach of the regulatory standards.	Strategic	No	P1	There would be reputational damage and intense monitoring and supervision from the RSH. This could also impact on funding from Homes England	3	4	12	Independent audit being undertaken by HQN and results due	LB, AP, SH & CR	3	4	12	Waiting for final report	Negative	Legislative	31/01/2025	Contingent Plan	Open	

- 27 New risk 21
 - 28 Change to all relevant risks to reflect the new WDC service area structure
- Changes following Cabinet Catch Up (09/12/24)**
- 29 Risk 2 - Portfolio Holder corrected (WR)