



Impact	5	Catastrophic	5	10	15	20	25
	4	Major	4	8	12	16	20
	3	Moderate	3	6	9	12	15
	2	Minor	2	4	6	8	10
	1	Negligible	1	2	3	4	5
Score			Rare	Unlikely	Possible	Likely	Very Likely
			1	2	3	4	5
Likelihood							

Rating change key - since previous review	
↓	Rating has decreased
↔	Rating remains the same
↑	Rating has increased
<b>NEW</b>	Newly added risk

## Programme Risk Register

Reviewed March 2022

Ref	Risk Owner	Risk Description	Potential Consequences	Risk Rating				Mitigation	
				Likelihood	Impact	Overall Risk Rating	Rating change	Existing Controls	Proposed Actions/Comment
PR001	Programme Board	One or both Councils revisiting the decision made on 13 December 2022	<p>Would put a halt to the current considerations by the Secretary of State of the business case proposal.</p> <p>Reputational damage to both Councils regarding the established partnership.</p> <p>Negative impacts on the overall outcome of the proposed constitutional and or operational merger model.</p>	2	5	10	↔	<p>Continue to progress the various workstreams and projects of the transformation programme.</p> <p>Continue to build a strong record of collaboration between the two Councils, strengthening the rationale for merging.</p> <p>Continue to have open and regular engagement with elected members about the outcomes of all options ahead of key decisions</p>	<p>Explore, implement and promote opportunities for cohesion / alignment on key decisions from either Council to mitigate against any detrimental effects to the formation of a South Warwickshire District Council, to include the potential for joint Forward Cabinet Work Plans and joint OSC work programmes.</p> <p>Further development of joint decision-making committees, joint scrutiny arrangements and joint advisory working groups, to include mechanisms to enable engagement with all members of both Councils.</p> <p>Development of a joint member development working group, to provide the opportunity to devise a joint training programme for all members. Considering the possibility of a joint review of the respective Member Allowances Scheme by the Independent Remuneration Panel, to include any necessary alignment of member role descriptions.</p>

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PR002	Programme Board	Failure of constituent Councils to come together to implement the decision to form South Warwickshire District Council	Protracted decisions could lead to delays in programme and operational delivery.	3	4	12	↔	<p>Continue to progress the various workstreams and projects of the transformation programme.</p> <p>Continue to build a strong record of collaboration between the two Councils, strengthening the rationale for merging.</p> <p>Continue to have open and regular engagement with elected members about the outcomes of all options ahead of key decisions</p> <p>Heads of Service to continuously explore, implement and promote alignment of approaches, processes and service delivery for example when developing Service Plans.</p>	Explore, implement and promote opportunities for cohesion / alignment on key decisions from either Council to mitigate against any detrimental effects to the formation of a South Warwickshire District Council, to include the potential for joint Forward Cabinet Work Plans and joint OSC work programmes.
PR003	Programme Board	The Government may not give assent to the merger proposal.	<p>Both councils would have to seek further options to achieve savings and efficiencies</p> <p>Both Councils not realising the full potential of financial and non financial benefits</p> <p>Operational merger that follows a shared service model only, would be subject to further risk of being abandoned in the future with for example, changes to administration or priorities from either Council.</p>	3	4	12	↔	<p>Continue to build a strong record of collaboration between the two Councils, strengthening the rationale for merging.</p> <p>Consult the public and show the results of this consultation along with the responses to any themed concerns</p> <p>Regularly engage with government officials to update on progress and receive any steer on direction</p>	<p>Actively promote the expected benefits of the programme.</p> <p>Further engagement with influential stakeholders.</p>
PR004	Programme Board	A submission to merge the district councils could trigger a local government reorganisation review for the whole Warwickshire area	An invitation from Government would have to be responded to within a given timescale.	3	3	9	↔	<p>Previous scoping work has been undertaken in consultation with other district and borough councils that began to explore local government reorganisation options.</p> <p>Maintain dialogue with the DLUHC on position.</p>	To note, this is not the primary intention of the proposed merger of the two district councils.

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PR005	Programme Board	Establishment of a larger local authority could lead to a 'democratic deficit' as a result of the reduction in the overall number of elected members.	Residents feeling further removed from their representatives	2	3	6	↔	Maintain established links with Town and Parish Councils.  Links made with incoming WALC Chief Executive	Establish arrangements to help elected members encourage community participation in decision making.  Development of a joint member development working group, to provide the opportunity to devise a joint training programme for all members.  Exploit the opportunities that modern technology offers to increase engagement between residents and elected members.
PR006	Programme Board	A bigger council may result in diseconomies of scale	If unchecked, could risk long term sustainability of local government.	2	4	8	↔	Alignment of organisational policy, processes and contracts has begun.  Any changes to services are carefully assessed and the right scale for all services should be found.	Services do not have to be delivered at the super-district level if they are better delivered more locally. Economies of scale should only be made when suitable.
PR007	Programme Board	Lack of programme management and transformation capacity and capability to deliver the merger and transformation around the same time.	Failure to effectively manage interdependencies between transformation activities may lead to increased cost of delivery and / or implementation delays.	3	3	9	↔	Transformational funding will be required to fund additional Council Staff posts to manage the change. This has been initially agreed at £200k annually for a 3 year period and will be monitored by the programme board.  Programme Management Office (PMO) established to track and monitor delivery of the programme, realisation of benefits (with measurable targets), risk management, member engagement, governance and reporting.  Additional funding for project resources, harmonising terms and conditions, redundancy and specialist external advice has been granted.  Assessment of support required by services for their alignment is underway.	Take a phased approach where the merger is implemented first along with robust change management processes before wider large scale transformation takes place will help ensure there is sufficient change management capacity.  Where appropriate buy in the skills and capacity needed.  Ensure timescales are realistic based on the resources available.

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PR008	Programme Board	Newly formed teams and organisational cultures are not fully integrated	Could lead to staff issues such as reduced morale and increased staff turnover.	3	4	12	↔	<p>A clear rationale and set of principles for service integration are developed to integrate teams and enable further optimisation to take place afterwards.</p> <p>A communications strategy and plan should be produced explaining the transition process and the operating principles of the new authority.</p> <p>South Warwickshire Integration Group (SWIG): Officer workgroup formed to review and deliver the objectives of the service integration and optimisation workstream.</p>	<p>Design and delivery of the 'One Team' Workstream will seek to implement culture change activities and initiatives.</p> <p>Identify opportunities to create capacity through new staffing models.</p> <p>Maximise the opportunities afforded by workforce agility, technology and partnership working with other public sector agencies.</p> <p>Senior leadership should model the new behaviours and actively manage culture change during the transition.</p> <p>Embed new ways of working into performance management and reward systems.</p> <p>Identify staff change champions.</p>
PR009	Programme Board	Anticipated savings are not achieved and/or transition costs exceed estimates.	This may impact on the financial resilience of the new council.	3	4	12	↔	<p>Establishment of a programme management office.</p> <p>Undertake regular reviews of the savings profiles and calculations during implementation to ensure they remain realistic and achievable.</p> <p>Service integration business cases reviewed by Programme board before sign off</p>	<p>Develop thorough and realistic cost and savings plans. Use scenarios to stress test best and worst case outcomes.</p>
PR010	Programme Board	Failure to effectively manage interdependencies between transformation activities may lead to increased cost of delivery and / or implementation delays.	May lead to increased cost of delivery and / or implementation delays.	3	4	12	↔	<p>Establishment of a programme management office</p> <p>Development of a detailed implementation plan including a critical path of essential activities and deliverables for the new council.</p> <p>Implement a robust change management process.</p>	<p>Receive regular reports from workstream leads</p>

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PR011	Programme Board	Integration of ICT systems across the two councils	The complexity of IT integration may undermine and put at risk the potential benefits of common working practices gained from IT integration.	4	4	16	↔	<p>The future IT architecture will need to be defined and the current position baseline understood.</p> <p>A clear plan for migrating IT systems during the migration implemented within the ICT and Digital Workstream</p> <p>Plan and estimated cost (including support) of ICT intergation programme is being developed.</p>	<p>Being realistic about the pace of ICT integration - it will take several years and a lot of investment.</p> <p>Needs to correlate with the digital strategy and customer access strategy, when developed.</p>
PR012	Programme Board	Preparing for the transition may draw resource away from delivering other council strategies and plans.	<p>Reduction in performance and service delivery levels.</p> <p>Increase the risk of service disruption and reduce resilience of the existing and new council.</p>	3	4	12	↔	<p>Development of a robust implementation programme plan, including more detailed plans of contributory workstreams and change activities.</p> <p>Manage the resources required to contribute towards the development and implementation of the programme of change</p> <p>Heads of Service to continuously explore, implement and promote alignment of approaches, processes and service delivery for example when developing Service Plans.</p>	<p>Test resilience to ensure crisis systems, risk capacity and risk management systems are in place.</p> <p>Bring in additional resources where there are capacity and skills gaps.</p>
PR013	Programme Board	The Grading Review as part of this process may result in potential extra costs due to some posts being uplifted and others being protected.	Could compromise the delivery of anticipated savings	3	3	9	↔	<p>Review potential savings on a continual basis through the implementation phase, especially during service integrations.</p> <p>Implement agreed Joint HR Policies</p> <p>South Warwickshire Integration Group (SWIG): Officer workgroup formed to review and deliver the objectives of the service integration and optimisation workstream.</p>	<p>Explore implementation of a single job evaluation scheme for the new council.</p> <p>Further alignment of Terms and Conditions</p> <p>Cost of job evaluation process, outcomes and salary protction to be estimated.</p>

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PR014	Programme Board	Implementation of a major change may be seen as a capacity risk at a time when there will also be a major focus on COVID-19 recovery activities.	Reduction in performance and service delivery levels	3	4	12	↔	<p>Joint management team to monitor matters arising within their service areas and to escalate to the Programme Board accordingly.</p> <p>South Warwickshire Integration Group (SWIG): Officer workgroup formed to review and deliver the objectives of the service integration and optimisation workstream.</p>	<p>Set out clear timescales and resource implications for implementation, and ensure these can be met under the current ways of working and COVID-19 pressures (including any backlog of work due to the pandemic).</p> <p>Review capacity against the timescales and resource requirements, and identify gaps where recruitment / external support is required.</p>
PR015	Programme Board	The process of agreeing a new service design could lead to a service that is not ideal for either predecessor.	Reduced levels of service delivery for the existing councils now and threaten the effectiveness in a new Council.	2	4	8	↓	<p>Ensure the implementation plan allows enough time for services to be co-designed and agreed upon.</p> <p>Establish a clear rationale and principles for service integration and optimisation.</p> <p>South Warwickshire Integration Group (SWIG): Officer workgroup formed to review and deliver the objectives of the service integration and optimisation workstream.</p> <p>Service planning process to also include consideration for further alignment.</p>	<p>Any changes to services should be carefully assessed and the right scale for all services should be found.</p> <p>Services do not have to be delivered at the super-district level if they are better delivered more locally.</p>
PR016	Programme Board	Significant changes in operational and political leadership	Could impact negatively on the appetite for shared services and joint working.	2	4	8	↔	<p>Robust terms of reference for the governance structures established for the programme</p> <p>A communications strategy and plan developed to explain and relay the transition process and principles of the change programme.</p>	<p>Senior leadership should model the new behaviours and actively manage culture change during the transition.</p> <p>Identify staff and member change champions across both Councils through One Team Workstream.</p>
PR017	Programme Board	Lack of customer/stakeholder focus	<p>Increase in complaints from customers.</p> <p>Loss of faith and support in current and proposed organisation of local government</p>	2	4	8	↔	<p>Communications and engagement plan to include activities for key stakeholders including residents</p> <p>Service planning process to also include consideration for aligned customer and stakeholder focus.</p>	<p>Further engagement to take place at different stages in the run up to becoming a single Council</p>

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PR018	Programme Board	Underestimate of start-up and delivery costs	Increased budget spend could hamper any expected savings	3	3	9	↔	Financials to be regularly reviewed through the programme lifecycle including spend and savings  Additional funding for project resources, harmonising terms and conditions, redundancy and specialist external advice has been granted.	Acknowledgement that some projected costs could be impacted by external factors. Ongoing review needed.
PR019	Programme Board	Loss of service performance and council reputation	Increase in complaints from customers.  Loss of faith and support in current and proposed organisation of local government	3	4	12	↔	Joint Management Team oversee KPIs for their service areas and to escalate  Service planning process to also include consideration for further alignment.	Programme schedule to be reviewed regularly to reduce impact on business as usual service delivery
PR020	Programme Board	Not standardising policies and procedures, especially at organisational level	Left unchecked, this could lead to issues of imbalance and increase potential for mismanagement and underperformance	2	4	8	↔	Organisational policy alignment and harmonisation to be led through the Organisational Development Workstream  Acknowledgment that this will take a considerable amount of time and effort.  Inter Authority Agreement in development to embed this further.  Service planning process to also include consideration for further alignment.	Once integrated, service areas to further explore these through service delivery / action plans  The corporate strategy workstream would seek to address this wider in the transitional run up to becoming one Council
PR021	Programme Board	Getting accurate comparable data on unit costs	Savings profile for both Councils could appear imbalanced	4	3	12	↔	Acknowledgement of the current MTFPs of both councils and the associated savings.	Consolidating and creating a single MTFP
PR022	Programme Board	Political balance and constitution of each Council could present challenges for key decisions and milestones.	Protracted decisions could lead to delays in programme and operational delivery	3	4	12	↔	The Joint Arrangements Steering Group, with agreed representation and the group leaders from both Councils is used as an initial discussion forum ahead of consideration at decision making committees.	The possibility of establishing further joint committees such as Cabinet and Overview and Scrutiny to be considered at an appropriate stage

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PR023	Programme Board	Loss or absence of key officers during key activities of work in the programme such as Service Integrations	Implementation of service integrations could be hampered or delayed , impacting on the schedule.	3	4	12	↔	<p>Programme board to decide and implement interim measures to address these promptly.</p> <p>Key officers to be kept informed of programme's progress.</p>	As a contingency, other service integrations may be brought forward.
PR024	Programme Board	Large proportion of officers leave during the transformation process and before efficiencies are realised.	The retained workforce could be insufficient to deliver services and implement further transformation	2	3	6	↔	<p>Joint organisational change policy, recruitment and redeployment procedures agreed and in place from April 2021.</p> <p>South Warwickshire Integration Group (SWIG): Officer workgroup formed to review and deliver the objectives of the service integration and optimisation workstream.</p> <p>Ensure service integration is staggered so that there is sufficient staff to establish new processes and support the new organisation to manage the loss of any knowledge and experience.</p> <p>Implement a robust change management process with service areas as they integrate and then look to optimise over time..</p>	<p>Once new processes are established, consider further efficiencies and enhancement opportunities.</p> <p>Redeployment opportunities explored to address service delivery</p>