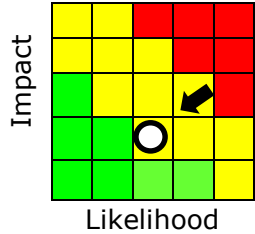
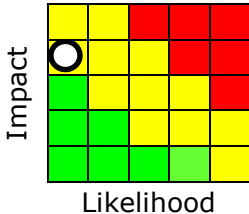
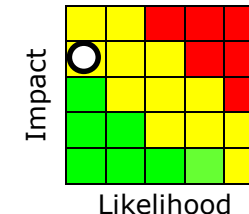
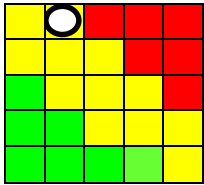


Appendix 1 - Neighbourhood Services Corporate Risk Register (April 2019)

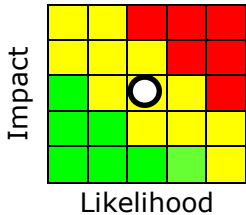
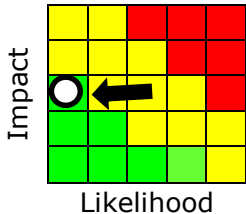
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
Generic Risks									
1.	Inability to recruit and retain staff	<p>Salary levels.</p> <p>Failure to conclude appointments quickly leading to loss of candidates.</p> <p>Terms and Conditions.</p> <p>Lack of candidates with necessary skills/qualifications.</p> <p>Changes to terms and conditions prompting dissatisfied staff to leave/retire early</p> <p>Lack of progression opportunities</p> <p>High levels of employment locally.</p>	<p>Loss of key staff.</p> <p>Inability to recruit.</p> <p>Additional costs for specialist advice.</p> <p>Loss of technical staff to private sector.</p> <p>Reduces capacity to deliver services.</p> <p>Additional strain on other staff.</p> <p>Protracted recruitment process.</p> <p>New staff having less experience.</p>	<p>Shared Services.</p> <p>Workforce planning.</p> <p>Generic Roles where ever possible.</p> <p>Apprenticeships are a possibility for some areas.</p> <p>Bench mark terms and conditions with other organisation.</p> <p>Hand over process where possible.</p> <p>Good communication with staff.</p> <p>Extension of WDC Fixed Term posts.</p>	HR HNS DMT	<p>Use of career graded posts.</p> <p>More flexible job descriptions.</p>	HR DMT	Ongoing	

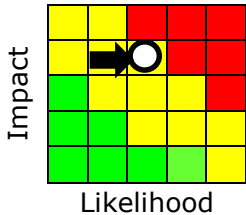
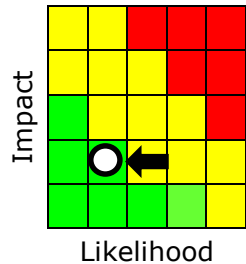
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
2.	<p>Failure to: - Respond to new legislation.</p> <p>Comply with new/existing legislation.</p> <p>Take into account legal implications of decisions.</p>	<p>Change in Government policy.</p> <p>Poor decision making.</p> <p>Lack of knowledge.</p> <p>Lack of stability in team resulting in insufficient capacity to implement required changes.</p> <p>New policies, functions or services.</p>	<p>WDC unprepared for changes resulting in additional costs/workloads for staff.</p> <p>Judicial reviews.</p> <p>Legal action against the Council.</p> <p>Potential fines and reputational damage</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> <p>Stability and clarity in roles maintained</p> <p>Continually reviewing the impact of legislative change on services.</p>	HNS DMT	<p>Attend meetings of Professional Bodies.</p> <p>Information sharing with peers</p>	DMT DMT	Ongoing Ongoing	
3.	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>Backup generators.</p> <p>Tested via desk top exercise.</p>	HNS DMT CCO Assets	Ongoing testing and review.	Staff time	Ongoing	

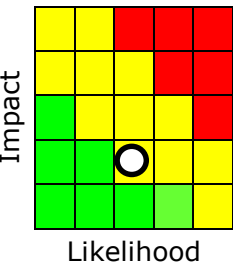
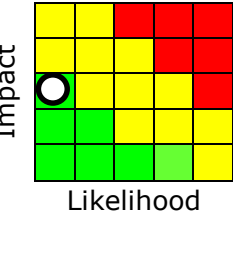
4.	Loss of IT.	<p>Computer breakdown.</p> <p>Technology problems.</p> <p>System problems, including hacking.</p> <p>Reliance on key staff.</p> <p>Acts of God e.g. fire, hurricane, flood.</p> <p>Power failure.</p> <p>Malicious acts by employee.</p> <p>Hacking/computer virus.</p>	<p>Staff not paid.</p> <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>Conversations with IT and OSS to come up with alternatives</p>	<p>Divisional managers.</p> <p>System owners.</p>	Continually reviewing business continuity plans.	DMT ICT	Ongoing	 <p>Impact</p> <p>Likelihood</p>
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5.	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>New Staff</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 brief</p> <p>Monthly team meetings.</p> <p>Quarterly performance reviews.</p> <p>One-to-ones.</p> <p>E-mail.</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>Council web site.</p> <p>Use of social media</p> <p>Cross Portfolio meetings</p>	All staff. Media Team	NS Coms Plan		Ongoing	<p>Impact</p> 
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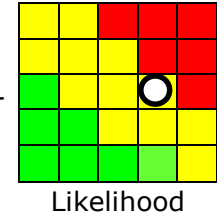
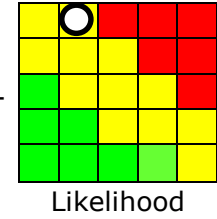
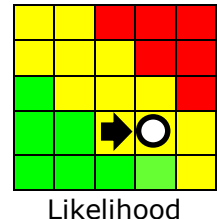
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating																																				
6.	Accidents/ health & safety of staff in office.	<p>Lack of health & safety good practice.</p> <p>Lack of health and safety awareness.</p> <p>Lack of routine WDC H&S Group meetings</p> <p>A number of new staff members</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 (radio system).</p> <p>H&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> <p>Enhancing staff knowledge through IOSH training</p> <p>Appropriate training to new starters asap</p> <p>Introduction of In Case of Emergency (ICE) list of staff within NS</p>	HNS DMS H+S A	Ongoing health and safety training for staff. (IOSH)	DMT	Ongoing	<div><div>Impact</div><table><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr></table><div>Likelihood</div></div>																																				

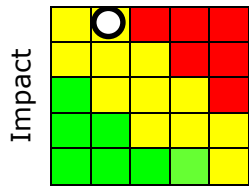
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
7.	Failure to manage the health, safety and welfare of the public	<p>Failure of contractors to abide by relevant H&S requirements, Safe Working Practices and Procedures.</p> <p>Breakdown of relationship between Council and Contractors</p> <p>Failure to maintain Council owned assets and buildings</p> <p>Council and/or contractors fails to adhere to meet safeguarding obligations as set out in legislation such as Section 11 of Children's Act 2004</p>	<p>Public involved in accidents as a result of responsibilities of Neighbourhood Services</p> <p>Reputational risk as responsible Council</p> <p>Possible involvement in legal action</p>	<p>Joint awareness training of safeguarding policy</p> <p>Sound management of assets/buildings including a planned maintenance approach</p> <p>Risk Assessments and regular health and safety inspections</p> <p>Safe working environments, policies and procedures</p>	DMT			Ongoing	
8.	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>Staff resource unable to deliver adequate service response to response due to increased areas</p>	<p>Gaps open up in Council services.</p> <p>Insufficient resource/capacity within the Council.</p> <p>Increase costs.</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> <p>Ongoing review of NS Structure</p>	DS DMT FIN	<p>Monitoring developments changes and actions require</p> <p>Review contractor capacity to take on additional work</p>	Additional costs + staff time	Ongoing	 <p>Projected property growth included in MTFS.</p>

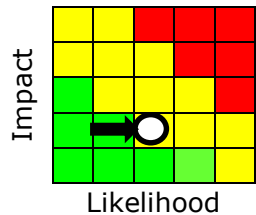
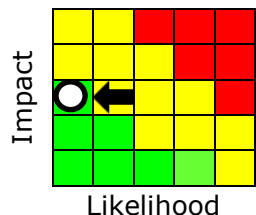
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
9.	ICT systems not able to support current service delivery and future improvements.	<p>Failure of the current ICT infrastructure being unable 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>Loss of data (breach of statutory duty)</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>Service Head sits on the ICT Steering Group</p> <p>Retention policy for original source of data.</p>	ICT DMT HNS	<p>Ongoing monitoring of new ICT issues until satisfied systems are stable.</p> <p>Implementation of new Bereavement Services System</p> <p>Implementation of new CRM/contract management systems</p>	ICT DMT Pro	2018	
10.	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>Additional staff resources to assist with updating information.</p> <p>Communication initiatives planned through Media Team.</p>	HNS DMT	<p>Review process of updating website</p> <p>Communication Plan in place</p> <p>Data capture project has been completed.</p> <p>Update of website and consultation with Media Team</p>	DMT	Ongoing	

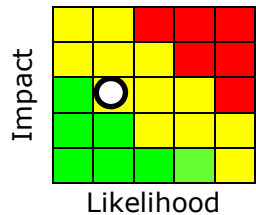
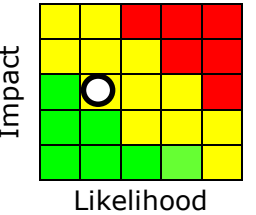
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
11.	Failure of other WDC/ partners/ stakeholders /department to provide services as agreed / expected	Reorganisation of collaborative departments Failure to recognise workflow through other departments Insufficient staff / resource available Lack of technical expertise.	Disjointed services to customers Missed opportunities Negative impact on staff morale Increased customer complaints Reputational damage	Good lines of communication between key members of staff Joint corporate working groups SMT intervention	DMT SMT	Regular meetings between NS and officers from other Service Areas		Ongoing	
12.	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 ICE contacts available for NS Staff Driving licence, insurance and MOT checked as part of appraisal process.	DMT	Highlight to SMT in corporate H&S Quarterly Report. Corporate review of procedures to ensure all appropriate checks are in place.	Staff time	Ongoing	

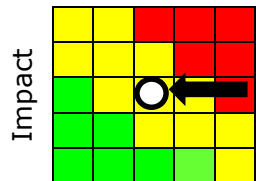
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
13.	Possibility of Non-compliant procurement	Lack of awareness of issues Deliberate act Lack of training	Legal challenge Loss of reputation Failure to achieve best value	Effective staff training and management of procurement processes Review of procurement policy and processes. Regular discussions with the Procurement Team Use of Contract Register Reviews undertaken at	DMT Procurement Team	Ongoing Review	DMT	Ongoing	
14.	Failure to correctly monitor/ manage budgets	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	Refresher training	DMT HR Finance	Ongoing	
15.	Failure to adequately maintain buildings or infrastructure	Insufficient planned or reactive repairs budget available. Poorly planned repairs and allocation of resources Diminishing funds to allow improvements to facilities	Customer dissatisfaction. Increased risk of accident or incident. Additional costs for emergency repairs.	Service representation at ASG (HoS) and manager representation at Asset Management Group (AMG). Planned preventative maintenance programme. Regular maintenance meetings held between Property surveyor and managers to highlight issues and plan programmes of work	DMT AT	Ongoing financial pressures in council finances – not all future years PPM has been financed.	Assets Team	Staff shortages in Assets Team have hindered progress in some areas	

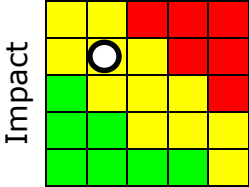
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
Contract Services									
16.	Stratford Road Depot lost to development.	Local Plan	Lack of Contractor Depot. Increase in contract costs Contractor needs to find new site.	Routine liaison with planning colleagues and strategic managers. Communication with contractors,	DMT Contractors			Ongoing	
17.	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 confirmed that HWRC at Princes Drive will be used in an emergency situation	WCC DMT	More robust WCC Continuity Plan	WCC	Ongoing	
18.	Service disruption.	Strike action by Contractors. Bad weather. Loss of disposal route.	Piles of refuse/recycling on streets. Health Risks. Financial impact. Reputation undermined. Essential services not delivered. Increase in service demand. Inability to meet service demand. Failure to meet legislative requirements.	Business Continuity Plan. Contractors will employ staff from other areas. Flexibility of contractors and staff. If usual disposal route not an option would deliver to another disposal route. Reprioritise services.	HNS DMT Contractors WCC	WCC Continuity Plan Regular Liaison	Staff time	Ongoing	

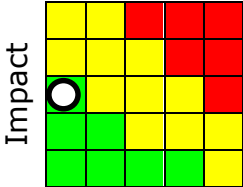
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
19.	Accidents / health and safety of contractors	<p>Lack of health & safety good practice/training.</p> <p>Lack of appropriate supervision.</p> <p>Lack of policies and procedures</p> <p>Violence/threats from customers</p> <p>Adverse weather conditions</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>Lone worker procedure</p> <p>Reporting/monitoring procedures</p> <p>Inspection by HSE</p> <p>Suspending or cancelling services due to bad weather</p>	DMT H+S A Contractors	<p>Neighbourhood Services Measure</p> <p>CO's now into routine of H&S checks.</p> <p>Need to undertake audit of process</p> <p>Inspection by H&S Executive</p> <p>Ongoing health and safety training for staff. (IOSH)</p> <p>New working practices introduced in respect of H&S contract oversight, which include improved joint inspection process, increased liaison meeting review, joint H&S committee with contractors, internal H&S policy audit.</p>	Staff time	Ongoing	 <p>Impact</p> <p>Likelihood</p>

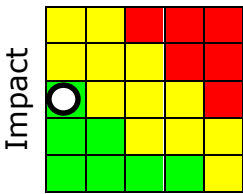
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
20.	Lack of technical expertise to deliver day to day services and projects.	Lack of trained individuals. Poor communications within Council Loss of trained individuals from Council. Contractors do not ensure their own quality.	Increased risk of accidents. Risk of poor quality work Reputational risk. Financial liabilities.	Understand who within Council has the appropriate skills and capacity. Basic awareness training in place for appropriate individuals within Neighbourhood Services. Agree Project PIDs including roles + responsibilities Use of specialist consultants.	HNS DMT AT	Ongoing monitoring of all project works. Officer assigned to this area of work		Start of each project.	
21.	Impact on service delivery due to the introduction of the National Living Wage in April 2016.	Contractor reduces workforce to balance budget.	Financial impact. Reputation undermined. Essential services not delivered correctly. Inability to meet service demand. Failure to meet legislative requirements.	Discussions with legal team. Ongoing contractor meetings.	HNS DMT Contractors	The frequency of contract meetings has been increased to closely monitor performance levels of contractors.	Legal Services Staff time	Ongoing	

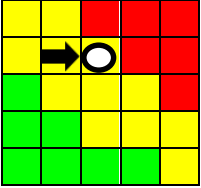
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
22.	Performance of Waste Collection Contractor not to contract specification.	<p>Contractor reduces workforce to balance budget due NLW.</p> <p>Lack of trained individuals.</p> <p>Poor communications within Council is changes to frequencies are required.</p> <p>Vehicles not fit for purpose. Poor contract oversight from WDC.</p>	<p>Financial Impact.</p> <p>Reputation undermined. Essential services not delivered correctly.</p> <p>Inability to meet service demand.</p> <p>Failure to meet legislative requirements.</p> <p>Detrimental impact on administrative support services to high customer complaints.</p>	<p>Daily/weekly works program spot checked by WDC Contract Officers.</p> <p>Weekly joint inspections of the contracts by WDC Contract Officers.</p> <p>Daily interaction with contractors.</p> <p>Rectification notices issued for contract work not to specification.</p> <p>Default notices issued to the contractors for failure to deliver to contract specification.</p>	HNS DMT Contractors	<p>Regular Liaison</p> <p>Financial deductions being made as appropriate</p> <p>The frequency of contract meetings has been increased to closely monitor performance levels of contractors.</p> <p>Quarterly performance review meetings</p>	Staff Time	Ongoing	
23.	Performance of Street Cleansing Contractor not to contract specification	<p>Contractor reduces workforce to balance budget due NLW.</p> <p>Lack of trained individuals. Poor communications within Council is changes to frequencies are required.</p> <p>Vehicles not fit for purpose. Poor contract oversight from WDC.</p>	<p>Financial Impact.</p> <p>Reputation undermined. Essential services not delivered correctly.</p> <p>Inability to meet service demand.</p> <p>Failure to meet legislative requirements.</p> <p>Detrimental impact on administrative support services to high customer complaints.</p>	<p>Daily/weekly works program spot checked by WDC Contract Officers.</p> <p>Weekly joint inspections of the contracts by WDC Contract Officers.</p> <p>Daily interaction with contractors.</p> <p>Rectification notices issued for contract work not to specification.</p> <p>Default notices issued to the contractors for failure to deliver to contract specification.</p>	HNS DMT Contractors	<p>Regular Liaison</p> <p>Financial deductions being made as appropriate</p> <p>The frequency of contract meetings has been increased to closely monitor performance levels of contractors.</p> <p>Quarterly performance review meetings</p>	Staff Time	Ongoing	

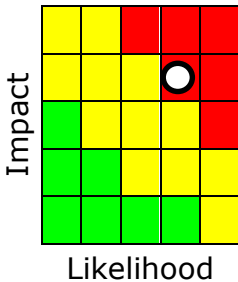
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
24.	Performance of Grounds Maintenance Contractor not to contract specification	<p>Contractor reduces workforce to balance budget due NLW. Lack of trained individuals.</p> <p>Poor communications within Council is changes to frequencies are required.</p> <p>Vehicles not fit for purpose.</p> <p>Poor contract oversight from WDC.</p>	<p>Financial Impact. Reputation undermined.</p> <p>Essential services not delivered correctly.</p> <p>Inability to meet service demand.</p> <p>Failure to meet legislative requirements.</p> <p>Detrimental impact on administrative support services to high customer complaints.</p>	<p>Daily/weekly works program spot checked by WDC Contract Officers.</p> <p>Weekly joint inspections of the contracts by WDC Contract Officers.</p> <p>Daily interaction with contractors.</p> <p>Rectification notices issued for contract work not to specification.</p> <p>Default notices issued to the contractors for failure to deliver to contract specification.</p>	HNS DMT Contractors	<p>Regular Liaison</p> <p>Financial deductions being made as appropriate.</p> <p>The frequency of contract meetings has been increased to closely monitor performance levels of contractors.</p> <p>More frequent Partnership Board meetings to agree improvement programme or alternative contract delivery arrangements.</p> <p>Quarterly performance review meetings</p>	Staff Time	Ongoing	 <p>Impact</p> <p>Likelihood</p>

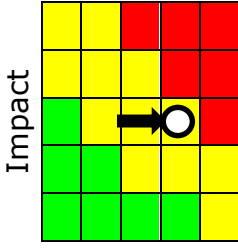
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
Bereavement Services									
25.	Customers or their agents not able to access facilities (on time)	<p>Traffic incident or other emergency situation affecting access.</p> <p>Extreme weather.</p> <p>On site vehicle congestion.</p>	<p>Disruption to services and impact on other customers.</p> <p>Unable to manage peak workflow.</p> <p>Additional overtime and/or fuel costs.</p> <p>Non-compliance with working time directive.</p> <p>Increased risk of accident due to working in darkness.</p> <p>Non-compliance with statutory instrument.</p>	<p>Emergency and contingency plans in place.</p> <p>Good communication with key stakeholders.</p> <p>Standard operating procedure.</p> <p>Selection and training of staff.</p> <p>Enhancement of resilience – multi-skilled staff.</p> <p>Capital plan to increase car parking facilities completed Nov 2016 .</p> <p>Timeslots in chapels extended from June 2017.</p> <p>6 day services available from April 2017.</p>	DMT				 <p>Impact</p> <p>Likelihood</p>

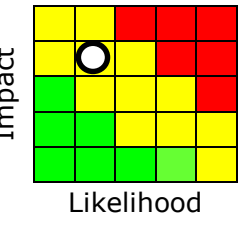
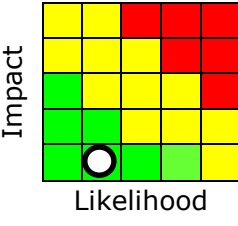
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
26.	Disruption in utilities (LPG or Electricity)	<p>Fuel shortage</p> <p>Changed to contacted supplier.</p> <p>Breakdown of telemetry system.</p> <p>Emergency requiring isolation of LPG tanks.</p> <p>Adverse weather conditions affecting power lines.</p> <p>Incident involving sub-station or supply infrastructure.</p>	<p>Cremation services cease.</p> <p>Potential build-up of volatile gasses in cremation chambers due to uncontrollable combustion.</p> <p>Loss of reputation</p> <p>Non-compliance with environmental protection legislation.</p> <p>Litigation from customers or regulator.</p> <p>Cremators fail to pre-heat on schedule, causing delays and potential disruption to specific religious practices (eg witness charge)</p> <p>Vital elements of service not able to be provided (music, lights, curtains</p> <p>Server/Computer etc fail to restart following power interruption (see risk 29)</p>	<p>Priority customer status through contract with LPG supplier.</p> <p>Emergency and Contingency plans in place.</p> <p>Members of staff check if there has been a power cut out of hours.</p> <p>Mutual aid arrangements in place with neighbouring authorities.</p> <p>UPS fitted to all systems.</p> <p>Emergency generator installed and "live" test has taken place.</p>	DMT				 <p>Impact</p> <p>Likelihood</p>

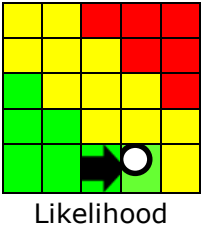
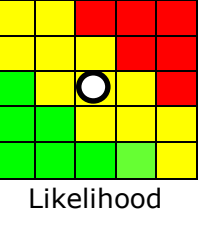
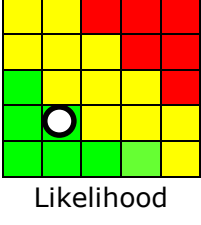
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
27.	3 rd party impact on service provision	<p>Contractor failing to meet contract specifications (see also risks 21,22 &23).</p> <p>Stakeholders and Agents for the bereaved may be based out of area and not familiar with WDC service provision</p> <p>New or poorly trained staff employed by stakeholders and agents for the bereaved</p>	<p>Damage to cremation equipment.</p> <p>Non-compliance with environmental protection legislation.</p> <p>Breach of permit conditions.</p> <p>Increased risk of infection or injury.</p> <p>Unauthorised burial or cremation.</p> <p>Reputational damage Litigation.</p> <p>Failure in "duty of care" to visitors.</p> <p>Increased customer complaints due to standards not being properly maintained.</p> <p>Insufficient time to react to changes resulting in delayed or cancelled burial.</p> <p>Increased contractor cost to call in extra labour to react to short-notice changes.</p> <p>Poor standards of service for visitors.</p> <p>Increased burden on officer time managing contractors and recalls for poor performance.</p>	<p>3rd party cremation indemnity statements.</p> <p>Regular liaison with key stakeholders.</p> <p>Training offered to stakeholders when employing new staff</p> <p>Corporate Membership FBCA</p> <p>Officer membership of ICCM.</p> <p>Permission to erect memorials only issued to monumental masons register red with BRAMM or NAMM RQMF.</p> <p>Memorial safety inspection programme – with contracted stonemason.</p> <p>Emergency and contingency plans in place.</p> <p>Regular liaison with contract management officers and contractors.</p> <p>Liaison with higher management from funeral directors who have short term issues with quality of information.</p> <p>Assist with CPD for new staff taken on by FDs.</p> <p>Default notice issued to contractors for failing to meet GM standards.</p> <p>Additional contract staff have been COTS trained – improved resilience for burial services.</p>	DMT	<p>Review memorial safety policy in line with current industry standards</p> <p>Officers trained to NAMM standard.</p> <p>Input from bereavement staff into contract re-let specifications</p>	<p>Officer Time</p> <p>Identified on relevant PDPs and included in training matrix</p> <p>Officer time</p>	<p>Ongoing</p> <p>April 2020</p>	 <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
28.	Loss of cremation equipment	<p>Explosion or damage caused by implants or unauthorised items in coffin.</p> <p>Mechanical breakdown.</p> <p>Planned maintenance.</p> <p>Lightning strike affecting PLC any interruption in utilities (see also risk 25) has the potential to affect cremation equipment.</p> <p>Failure of contractors to adequately maintain equipment.</p> <p>Uncontrolled combustion or insufficient abatement</p> <p>Prompt diagnosis (and sometimes repair) may not be possible if satellite broadband link fails.</p>	<p>Unexpected repair bills Services interrupted / delayed.</p> <p>Loss of reputation Loss of market share Unacceptable working conditions.</p> <p>H&S implications Prosecution or civil action.</p> <p>Non-compliance with environmental acts Elongated recovery periods.</p> <p>Unexpected expenditure to use neighbouring facilities, transport costs, etc... if facilities are not operational within 24hours.</p> <p>Increased stress for members of staff and long working hours to catch up on backlog.</p> <p>Closure enforcement by regulator.</p>	<p>Regular liaison with stakeholders</p> <p>Standard operating procedures</p> <p>Emergency and contingency plans</p> <p>Network of contact with other cremation authorities</p> <p>Maintenance and repair contract in place with cremator manufacturer.</p> <p>Enhanced staff training.</p>	DMT	Reinstate broadband link	ICT infrastructure team		 <p>Likelihood increased due to satellite broadband link being ineffective – therefore any breakdowns cannot be diagnosed (and potentially repaired) remotely. Reliant upon engineer being sent to site to diagnose/repair</p>

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
29.	Difficulty in accessing statutory documents and other important (non-statutory) records	<p>Disruption of Service, facilities.</p> <p>Major incident e.g. fire.</p> <p>Deliberate act of vandalism.</p> <p>Lightning strike affecting crematory PLC.</p> <p>Damp ingress in chapel of remembrance.</p> <p>Loss of ICT</p> <p>Missing information from some records/plans inherited from urban councils that were responsible for burial services prior to formation of Warwick District Council.</p>	<p>Unable to identify grave location.</p> <p>Unable to identify registered owner of exclusive right of burial</p> <p>Incorrect legislative regulations applied if consecrated and un consecrated land cannot be differentiated.</p> <p>Non-compliance with legislation.</p> <p>Book(s) of remembrance damaged/destroyed</p>	<p>Registers kept in fire proof safes.</p> <p>Duplicate plans kept off site.</p> <p>Burial and Cremation Registers scanned and kept off site.</p> <p>Books of remembrance scanned and installed onto sookie server.</p> <p>Only "todays" book kept in chapel of remembrance, other volumes kept in fire proof safes in office.</p> <p>Ashes location information cards from 1971-1983 has been scanned by BS staff.</p> <p>Ashes location registers 1983-1993 have been scanned by BS staff.</p> <p>Source documents retained for 15 years.</p> <p>Project for DMC to photograph cremation registers from 1971 – 1993 complete.</p> <p>Book of remembrance orders scanning complete April 2017</p> <p>Improved back-up facilities, broadband link complete Aug 2017</p>	DMT	<p>ICT improvements to include facility to print computerised records (which can then be kept off site).</p> <p>ICT steering group have agreed there is a need to change the CAS system.</p> <p>BSDM, HoS & ICT reviewing potential CAS replacements.</p> <p>Specific risk register detailing data transfer implications will be drawn up as part of the CAS replacement project.</p>	Staff Time and funding to digitise maps and historical data – backfilling of BSDM duties to be part of cost of CAS upgrade project.		

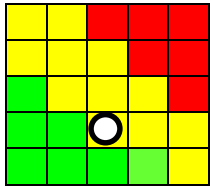
30.	Loss of BS ICT	<p>Failure of broadband infrastructure.</p> <p>Failure of onsite infrastructure.</p> <p>Failure in other council software or infrastructure.</p> <p>Failure of "Wesley music".</p> <p>Malicious intent.</p>	<p>No access to email, Total, Wesley Music downloads and other vital applications.</p> <p>Extra staff time needed to access software applications from other sites.</p> <p>Drain on staff recourses in other departments, especially ICT.</p> <p>Increased timescales to respond to customers leading to poor service.</p> <p>Increased likelihood of information being missed and wrong or out of date instructions being followed.</p> <p>Additional staff stress and fatigue.</p> <p>Daily workflow not printed if connection is lost.</p>	<p>Server "sookie" on site at crematorium.</p> <p>Local log on to "sookie" enabled for crematorium PCs.</p> <p>ICT monitoring data usage.</p> <p>Well tested contingency plans in place to ensure continued provision of music for services.</p> <p>Use of agile working from Riverside house or other WDC venue to enable access to email, Total and other vital applications.</p> <p>BSDM has email facilities enabled on WDC mobile phone.</p>	BSDM ICT	<p>Purchase of portable music system for emergency use (system currently on loan)</p> <p>Reinstate broadband link</p>	<p>To be funded from equipment budget</p> <p>ICT infrastructure team</p>	 <p>Likelihood increased due to lack of satellite broadband link, music system in not working, contingency plans in operation.</p>
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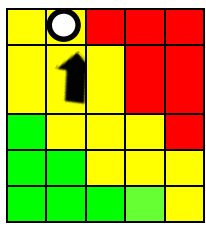
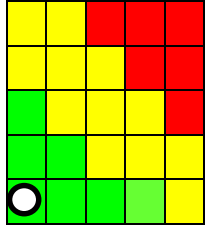
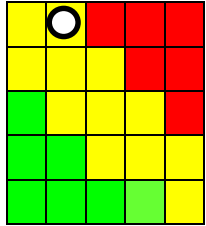
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
Off Street Car Parking / Ranger Service									
31.	Shortfall in Car Park income.	<p>The general economic climate.</p> <p>Parking habits of customers altered by the closure of MSCP's.</p> <p>Adverse weather conditions.</p>	Shortfall in off-street car park income.	Monthly monitoring of car park income against estimates allows us to identify income being behind budget.	DMT	<p>Current Car Park income is on budget.</p> <p>Positive out turn in previous years</p> <p>Closer monitoring and more focus on projections</p>	The general economic climate.	Ongoing	
32.	Claims from Slippery conditions in car parks/parks during periods of freezing weather.	An increase in the frequency of cold winters resulting in periods of sustained periods of ice and snow.	<p>Claims from members of the public resulting from accidents.</p> <p>This would be undertaken by the Rapid Response Teams with grit supplied by WCC as part of our agreement.</p> <p>The Contract Services manager or the Senior Ranger in their absence will confirm that gritting is to take place. The areas where gritting will take place are identified on plans maintained by parking services.</p> <p>A priority listing of the car parks to be gritted will be maintained and kept under review.</p> <p>Gritting Policy Review</p>	<p>Where there is a forecast for periods of snow / icy conditions of over three days specified areas of the car parks should be gritted.</p> <p>This would be undertaken by the Rapid Response Teams with grit supplied by WCC as part of our agreement.</p> <p>The Contract Services manager or the Senior Ranger in their absence will confirm that gritting is to take place. The areas where gritting will take place are identified on plans maintained by parking services.</p> <p>A priority listing of the car parks to be gritted will be maintained and kept under review.</p> <p>Gritting Policy Review</p>	DMT WCC Staff	Ongoing liaison with WCC	Staff time	Ongoing.	

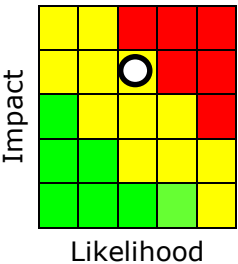
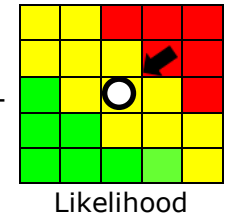
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
33.	Damage to P&D machines in off-street car parks including Pay on Foot.	Vandalism / burglary.	Loss of income. Inconvenience to public.	Rangers as part of normal duties. Daily inspections of every machine. Increased frequency of cash collection. Sufficient insurance cover. Improved security of targeted P&D machines.	DMT RNG	Ongoing inspection of machines. Annual review of cash collection frequencies and insurance levels.	Staff time	Ongoing	
34.	Damage to vehicles, property and persons in off-street car parks and parks	Vandalism. Accidents. Unauthorised use of the car parks.	Loss of Income. Reputation. Economic /Tourism.	Rangers. CCTV. Public. Police/legal action.	DMT RNG	Ongoing inspection within car parks.	Staff time	Ongoing	
35.	Anti-Social Behaviour in Parks & Cemeteries.	Quality and condition of park. Perception of safety by public.	Reduction in use of parks. Public feel unsafe. Vandalism/costs to repair damage. Staff assault.	Well maintained parks. Ranger Service. Partnership working with homelessness charities and action groups. Changes to landscape to deter anti-social behaviour considered as part of general maintenance and when new areas are being designed.	DMT	Ongoing reviews	DMT	On-going	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
36.	Structural Integrity of Multi-storey car parks	Age of multi-storey car parks. Poor maintenance regime. General deterioration through age.	Loss of income due to closure of car park. High cost repairs. Impact of local business. Shortage of car parking capacity	Improved maintenance regime with regular expert testing of the buildings. Capital investment to prolong life expectancy of car parks. New Car Park Project Manager appointed to assist with the delivery of the various strands of work. Scape framework to be used to utilise the technical advice required and progress projects through to delivery where agreed.	DMT	Linen St undergoing a monthly structural survey to ensure it is safe for public use. Detailed structural survey carried out to ensure car park is safe to use. A feasibility study is underway to ascertain the long term options for the site. It will close sometime in the near future as it has reached the end of its design life. Covent Garden MSCP planned to be rebuilt as part of the HQ relocation project. Due to the delayed closure date a detailed structural survey has been carried out to ensure the car park is safe to use.	CPPM		<div> <div>Impact</div> <div>Likelihood</div> </div>

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
37.	Increased complaints/queries/over car parking issues surrounding Covent Garden demolition and new HQ/Car Park.	Car Park Displacement Strategy for Covent Garden.	Increase calls, emails etc. Increase in PCN's	Recruitment of additional staff Working closely with partner organisations	CEX				Impact 

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
Green Spaces									
38.	Playgrounds, playground equipment, BMX parks and Skate Parks not fit for purpose.	Vandalism. Misuse by users. Lack of maintenance. Unsupervised children. Wear and tear of equipment / surface. Litter / faeces. Poor design. Lack of funding.	Personal injury. Liability. Loss of reputation.	Inspections/Checks. Play area improvement programme. Play strategy. Annual independent inspection. Post installation inspection report for new equipment. Equipment installed to appropriate British Standard. Allocation of funding to provide equipment.	DMT	Review accidents + insurance claims. There is now a play area team ROSPA trained. Refresher training for play area team and Council staff	Staff time	Ongoing	Impact 

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
39.	Direct injury and damage caused by trees.	Poorly maintained trees. Extreme weather. Poor/ inaccurate inventory. Vandalism. Lack of proactive inspections. Not implementing actions. Insufficient budget. Insufficient resource. Spread of disease.	Injury to people and property. Delays on Highway. Cost of making good. Loss of reputation. Insurance claims.	Regular independent tree inspections. On-going maintenance. Informal monitoring.	DMT WCC	Monthly operational meetings with WCC Forestry Team and GST. Agree work programme following tree survey - Ongoing New tree inspection regime in place.	DMT and WCC Forestry	Reviewed annually	 <p>Impact</p> <p>Likelihood</p> <p>Review tree inspection regime for mature trees in high footfall areas due to recent limb drops.</p>
40.	Not working effectively with "Friends of" groups.	Not aware of consultees. Poor relationship with friends group. Lack of resource/time. Lack of awareness.	Lack of funding. Reputation. Focus groups become protest groups.	Engage with groups. Dedicate resource to groups. Ensure groups are properly constituted and have sufficient numbers to be representative of the local community.	DMT	Part of very Project Brief. Community Ranger involved in consultation exercises	Staff time	Ongoing Ongoing	 <p>Impact</p> <p>Likelihood</p>
41.	Drowning or injury as a result of water body in vicinity of park or open space.	Flooding. Public misuse. Lack of maintenance of structures and minor watercourses. Failure of water use operators.	Drowning / physical injury. Reputation. Cost. Compensation claim.	Water Safety Review. Maintenance of structures by Warwick District Council and third parties. A number of the no diving/jumping signs have been removed by vandals hence change in rating. Remedial work in hand.	DMT	Review ROSPA recommendations	Staff time		 <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
42.	Ability to deliver on Green Space Strategy.	Lack of funding. Lack of resources. Changes in planning legislation.	Poor quality of open space. Lack of open space. Failure to meet Council Vision.	Delivery of action plan for Green Space Strategy. Lottery Funding. Disposal of low quality assets to give funding. Funding from Local Plan via planning department.	CMT HNS DMT FIN	Identify next PAR projects and there funding requirements. Meet Green Space Development Group. Review of the Green Space Strategy and refresh of the Green Space Action Plan. Agree source of long term funding beyond 19/18 for PAR projects, PPM Open Spaces and PPM Play Areas.	Staff time Finance Public Amenity Reserve and offsite contribution reserve.	Ongoing	
43.	The uncertainty around Sustainable Urban Drainage Systems (SuDS) in their provision, management, maintenance and their future liabilities.	No clear national or local guidance or policy on SuDS. More development means more SuDS provision No maintenance or budget provision on current SuDS on WDC land	Failure of SuDS leading to damage to properties and serious disruption Reputation Compensation claim. Poor water quality Poor open spaces.	Senior Officers currently meeting to review current and future provision to understand the issues and the best way forward with respect to statutory obligations, planning, design, management and maintenance.	CMT SMT DMT WCC Legal Team	The working group to meet on regular basis and report on actions.	Staff time	Ongoing	

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. AT= Asset Team. Pro = Procurement. RNG=Ranger Service.