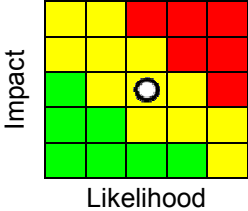
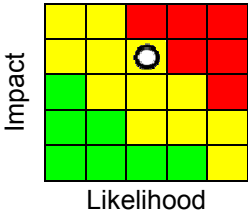
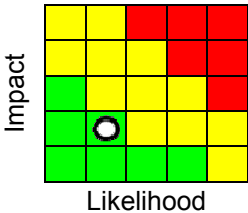


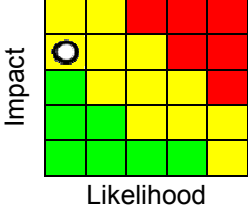
Neighbourhood Services Risk Register

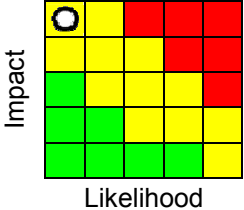
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
Generic to District Council				
1. Giving incorrect information and advice	i. Untrained staff. ii. Communication problems. iii. Re-organisation iv. Loss of key staff v. Inaccurate data	i. Negligence and liability claims. ii. Adverse publicity. iii. Loss of reputation iv. Waste of resources	i. Training procedures. ii. Qualified staff. iii. Risk assessments. iv. Quality standards v. Supportive environment. vi. Good IT/Information Systems/Accurate data vii. Clear processes	

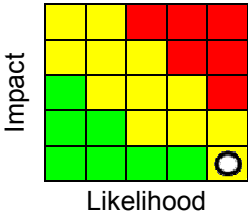
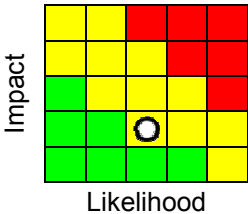
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
2. Recruitment and retention of staff	<ul style="list-style-type: none"> i. Failure to maintain a workforce that can provide good service delivery. ii. Failure to identify gaps in staff skills & capacity that could lead to poor service delivery. iii. Age profile of staff. iv. Salary levels. v. Failure to conclude appointments quickly leading to loss of candidates. vi. Terms and Conditions. 	<ul style="list-style-type: none"> i. Loss of key staff. ii. Inability to recruit. iii. Additional costs for specialist advice. iv. Loss of technical staff to private sector. 	<ul style="list-style-type: none"> i. Shared Services. ii. Succession planning. iii. Generic Roles where ever possible 	

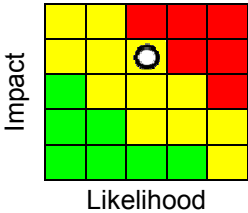
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
3. Failure to meet "Fit for the Future" Objectives	i. Legislative changes. ii. Policy changes. iii. Financial changes. iv. Service changes. v. Organisational changes.	i. Overspending on Medium Term Financial Strategy.	i. Specific focus on statutory compliance and statutory consultation requirements. ii. Early engagement with recognised Trade Unions. iii. Comprehensive redundancy policies. iv. Some form of central monitoring to oversee the various restructures that are taking place. v. Communication undertaken with affected employees throughout redundancy process.	 <p>Impact</p> <p>Likelihood</p>

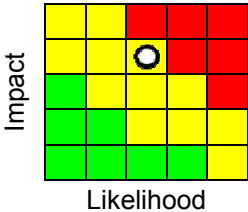
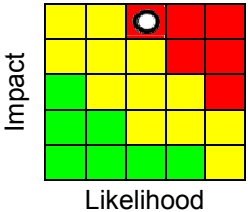
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
4. Insufficient money resulting in an inability to provide normal services.	<ul style="list-style-type: none"> i. Poor financial planning. ii. Unexpected loss of income and/or increase in expenditure. iii. Fit for the future projects do not achieve sufficient savings. iv. Changes to Government Policy. v. Reduced Government grants. vi. Financial savings not made. vii. Budgets exceeded. viii. Insufficient money to provide services as specified. 	<ul style="list-style-type: none"> i. Loss making services. ii. Problems delivering key services. iii. Reduced quality of service. iv. Budget exceeded and therefore subsequent budgets reduced. v. Forced to make large scale redundancies. 	<ul style="list-style-type: none"> i. Effective management of Fit for the Future Programme. ii. Effective audit of financial accounts. iii. Effective fees and charges schemes. iv. Delivery plans and overall project plans have been completed. v. Effective internal audit function. vi. Codes of Financial and Procurement practice. 	 <p>Impact</p> <p>Likelihood</p>

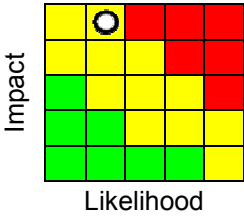
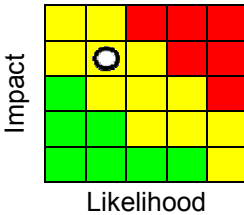
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
5. Failure to:- (a) Respond to new legislation. (b) Comply with new/existing legislation. (c) Take into account legal implications of decisions.	i. Failure to respond to new legislation, comply with new or existing legislation or to take into account legal implications of decisions. ii. Change in Government policy. iii. Poor decision making.	i. WDC unprepared for changes resulting in additional costs/workloads for staff. ii. Damage to reputation. iii. Judicial reviews. iv. Financial impact. v. Legal action against the Council.	i. Legal advice available to staff. ii. Communication with professional bodies and organisations to seek assistance and advice.	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
6. ICT systems not able to support current service delivery and future improvements.	<ul style="list-style-type: none"> i. Failure of the current ICT infrastructure being unable to meet demand. ii. Interruption of power supply. iii. Physical damage. iv. Systems failure of hardware and software. v. Cyber attack. vi. Use of third party systems. 	<ul style="list-style-type: none"> i. Prolonged loss of systems. ii. Additional cost to operate systems. iii. Corrupted information and/or databases. iv. Provision of data. 	<ul style="list-style-type: none"> i. Third party support and maintenance contracts. ii. WDC Data centre protected by UPS. iii. WDC backup generator. iv. Hardware resilience; dual power suppliers, RAID, virtualisation, etc. v. Critical business devices protected by UPS. vi. Backup and recovery strategy. vii. Disaster recovery in place and ongoing testing? viii. Backup and recovery systems in place? ix. ICT Services Service Area Continuity Plan. x. Third Party Disaster Recovery Contract. xi. Neighbourhood Services Business Continuity Plan. 	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
7. Information and service access for members of the public.	i. Not entering information or entering incorrect information or not developing web site to assist service delivery.	i. Reduced service delivery. ii. Loss of WDC reputation.	i. Implementation Plan and quarterly review of web-site.	
8. High or increasing levels of sickness.	i. Individual workloads increase resulting in higher stress levels. ii. Pandemic. iii. Working environment.	i. Some services not delivered. ii. Increase in stress/pressure on remaining staff. iii. Reputational risk iv. Additional costs to cover key staff.	i. Detailed monitoring. ii. Management information & data integrity improved. iii. Continuity planning.	

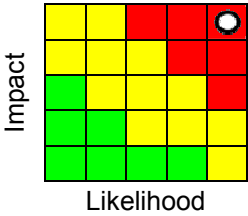
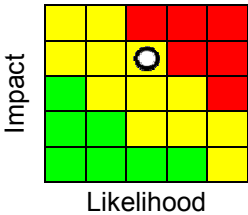
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
9. Impact of climate change on service delivery	i. Changes in weather as a result of climate change. Increased high winds, long periods of freezing temperatures, heavy rain or long dry spells.	i. Long periods of cold weather could reduce our ability to collect waste. ii. Long periods of high winds would impact on trees and increase the risk of damage. iii. Long periods of dry weather will reduce the amount of grass cutting required but:- iv. Increase the requirement for watering of flowering plants.	i. Maintain flexibility in the contract to allow the impact to be minimised. ii. Introduce gritting in car parks when long periods of freezing weather. iii. Reduce floral planting to minimise the watering of these areas.	 <p>Impact</p> <p>Likelihood</p>

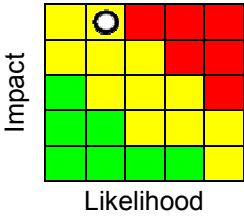
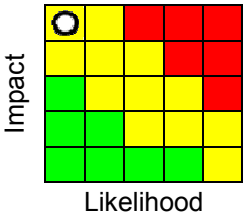
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
10. Accidents/ health & safety of staff in office	i. Lack of health & safety good practice. ii. Genuine accidents.	i. Injuries to staff ii. Financial iii. Loss of staff morale iv. Adverse publicity, reputation v. Difficulty in service delivery. vi. Increase in sickness.	i. Lone Worker (Tunstall system). ii. H&S Policy and Procedures in place. iii. Joint Consultative Group (management and unions) iv. Operation of robust risk assessments, safe working practices. v. Accident/incident reporting and investigation. vi. Safety Advisors inspection of workplace. vii. DSE assessments.	
11. Accidents / health and safety of contractors	i. Lack of health & safety good practice. ii. Genuine accidents. iii. Lack of appropriate supervision.	i. Injuries to staff ii. Financial iii. Loss of staff morale. iv. Adverse publicity. v. Reputation. vi. Difficulty in service delivery. vii. Increase in sickness.	i. Regular monitoring of contractors Health and Safety. ii. Embedded Health and Safety consultation process.	

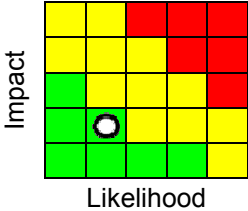
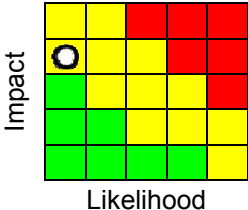
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
12. Inability to fund services.	i. New contract arrangement. ii. Lack of Central Government funding. iii. Changes in Council priorities.	i. Poor service delivery.	i. Good procurement process to deliver savings and improve service.	 <p>A 5x5 Risk Rating Matrix with Impact on the vertical axis and Likelihood on the horizontal axis. The matrix is color-coded: Green for Low (bottom-left 3x3), Yellow for Medium (top-left 3x3 and bottom-right 3x3), and Red for High (top-right 3x3). A black circle with a dot is located in the top-left cell (High Impact, Low Likelihood).</p>
13. Failure of contractor to deliver service.	i. Poor mobilisation ii. Underpriced contract iii. Lack of client support	i. Poor service delivery	i. Partnership Board ii. Mobilisation. iii. Client support. iv. Penalties within contract implemented.	 <p>A 5x5 Risk Rating Matrix with Impact on the vertical axis and Likelihood on the horizontal axis. The matrix is color-coded: Green for Low (bottom-left 3x3), Yellow for Medium (top-left 3x3 and bottom-right 3x3), and Red for High (top-right 3x3). A black circle with a dot is located in the top-left cell (High Impact, Low Likelihood).</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
14. The impact of a business continuity incident	i. Loss of building or office space. ii. Loss or lack of key staff. iii. Loss of key equipment or systems.	i. Poor/lack of service delivery. ii. Reputation.	i. Service Area Crisis Plan - Neighbourhood Services. ii. Major Emergency Plan.	<p>Impact</p> <p>Likelihood</p>
15. Flooding	i. Climate change ii. Adverse weather.	i. Risk of drowning ii. Damage to Council and other properties. iii. Disruption to services iv. Cost of clear up following flood event v. Adverse publicity.	i. Service Area Crisis Plan ii. Warwick District Council Emergency Plan iii. Health and Safety Risk Assessments made before implementing services in adverse conditions. iv. Desilting budget v. Ditch clearance	<p>Impact</p> <p>Likelihood</p>

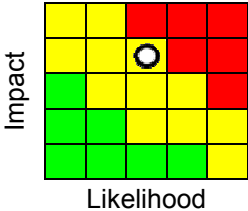
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
16. Growth within Warwick District outstrips the ability for the Council to deliver services.	i. Increased residential, commercial, and green space development above expectations. ii. Changes in legislation.	i. Gaps open up in Council services. ii. Insufficient resource within Council. iii. Increase costs.	i. Growth built into various contracts. ii. Local Plan. iii. Joint planning and delivery arrangements.	<p>Impact</p> <p>Likelihood</p>
Service Specific				
Service Area Plan Risks				
17. Reduction in recycle income.	i. Economic downturn causing instability and drop in recycles prices.	i. Negative coverage about value of recycling. ii. Risk to reputation. iii. Significant reduction in income. iv. Undermining public to recycle.	i. Monitoring of prices. ii. Contract relet April 2013 that will remove risk from the register.	<p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
18. Failure to renew partnership agreement for on-street parking.	i. Warwickshire County Council decides to externalise on street enforcement across County.	i. Lack of joined up / street enforcement.	i. Consider options open to Warwick District Council to tender for work.	
19. Car Park Income does not meet budget.	i. The general economic climate and other external factors will impact on car park income.	i. Shortfall in off-street car park income.	i. Monthly monitoring of car park income against estimates allows us to identify income being behind budget. ii. Review of following year's income budget in early January to arrive at more accurate budget for following financial year.	

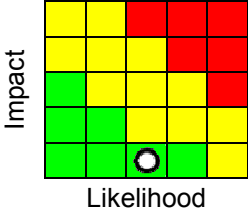
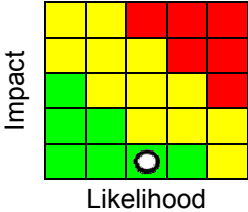
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
20. Contract re-let costs are greater than anticipated.	i. Higher than expected tender values.	i. Reduced service delivery. ii. The requirement for additional finances.	i. Proper Procurement Process. ii. Budget modelling. iii. Clear specification.	
Generic to Neighbourhood Services				
21. Failure by contractors to comply with Council Policy; Health and safety.	i. Poor training. ii. Lack of appropriate supervision.	i. Injury /death of contractors or public. ii. Litigation. iii. Prosecution by HSE. iv. Reputation.	i. H&S Policy and Procedures in place. ii. Operation of robust risk assessments, safe working practices etc. iii. Undertake review and monitoring process.	

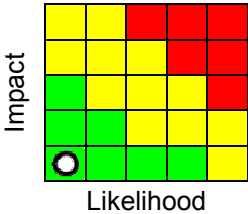
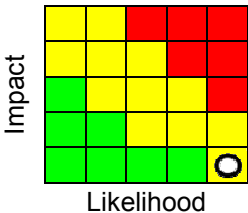
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
22. Personal injury to staff whilst undertaking day to day duties.	i. Lack of training. ii. Lack of awareness. iii. Overwork.	i. Injury. ii. Increased sickness. iii. Reduction in service delivery.	i. Health and Safety procedures. ii. Risk Assessments. iii. Lone Worker (Tunstall system). iv. Issuing of appropriate PPE. v. Staff alert list.	
23. Failure by WCC to provide appropriate disposal sites for waste i.e. landfills, Civic Amenity Sites etc.	i. Landfill Operators cease to trade. ii. Fire / mechanical breakdown at facility.	i. Additional resources required by contractor. ii. Additional cost.	i. Good communication between Warwickshire County Council and Warwick District Council.	

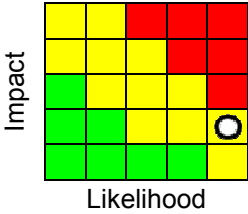
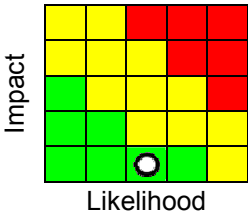
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
24. Service growth outstrips contractors' ability to deliver services.	i. Increased residential development & open space developments above what is expected. ii. Changes in legislation.	i. Gaps will open up in the service. ii. Increase in customer complaints. iii. Increased resource required within Contract Services.	i. Growth built into contracts. ii. Good communication with Planning department. iii. Dialogue on Local Plan.	
25. Failure in Information Management systems.	i. Insecure and incorrect management of personal data. ii. Failure to maintain a secure information management resulting in unauthorised disclosure, loss of information.	i. Reputation damage. ii. IT security breaches. iii. Unable to deal with freedom of information requests properly. iv. Disruption/closure of services.	i. Document management procedures.	
Car Parks				

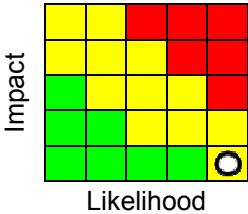
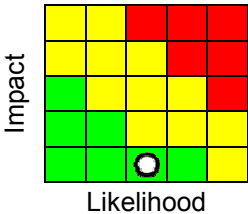
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
26. Shortfall in Car Park income.	i. The general economic climate.	i. Shortfall in off-street car park income.	i. Monthly monitoring of car park income against estimates allows us to identify income being behind budget. ii. Review of following year's income budget in early January to arrive at more accurate budget for following financial year. iii. Parking develop measures aimed at increased usage and dwell time.	 <p>Impact</p> <p>Likelihood</p>

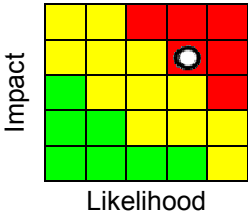
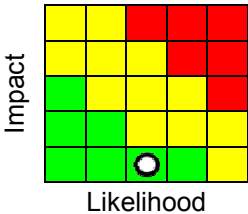
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
27. Claims from Slippery conditions in car parks/parks during periods of freezing weather.	i. An increase in the frequency of cold winters resulting in periods of sustained periods of ice and snow.	i. Claims from members of the public resulting from accidents.	i. Where there is a forecast for periods of snow / icy conditions of over three days specified areas of the car parks should be gritted. ii. This would be undertaken by the Rapid Response Teams with grit supplied by WCC as part of our agreement. iii. The parking services manager or the operations manager 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. iv. A priority listing of the car parks to be gritted will be maintained and kept under review.	<p>The risk matrix is a 5x5 grid. The vertical axis is labeled 'Impact' and the horizontal axis is labeled 'Likelihood'. The grid contains yellow, green, and red cells. A black circle with a white dot is located in the bottom-left cell (Low Likelihood, Low Impact).</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
28. Damage to P&D machines in off-street car parks including Pay on Foot.	i. Vandalism / burglary.	i. Loss of income. ii. Inconvenience to public.	i. Car Park Inspectors as part of normal duties. ii. Daily inspections of every machine. iii. Increased frequency of cash collection.	
29. Damage to vehicles and persons in off-street car parks.	i. Vandalism. ii. Accidents.	i. Loss of Income. ii. Reputation. iii. Economic/Tourism.	i. Car Parking Inspectors. ii. CCTV. iii. Public. iv. Police.	

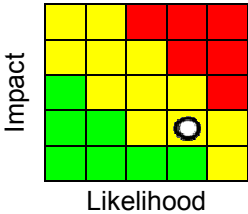
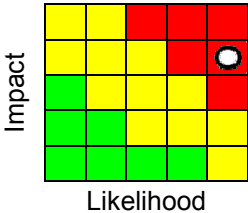
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
30. Lock in of people at multi-storey car parks.	i. Cars "tail gating" other users through gates. ii. Users not reading signs in car parks.	i. Requirement to release individuals from car park.	i. Signage in place. ii. System in place to allow a person to be released via the pedestrian gate. iii. Call out system is in place.	
Grounds Maintenance related				
31. Playgrounds, playground equipment, BMX parks and Skate Parks not fit for purpose.	i. Vandalism. ii. Misuse by users. iii. Lack of maintenance. iv. Unsupervised children. v. Wear and tear of equipment / surface. vi. Litter / faeces. vii. Poor design. viii. Lack of funding.	i. Personal injury. ii. Liability. iii. Loss of reputation.	i. Inspections/Checks. ii. Play area improvement programme. iii. Play strategy. iv. Annual independent inspection. v. Post installation inspection report for new equipment. vi. Equipment installed to appropriate British Standard. vii. Allocation of funding to provide equipment.	

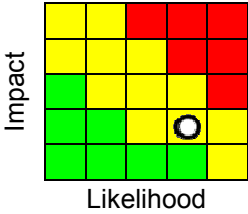
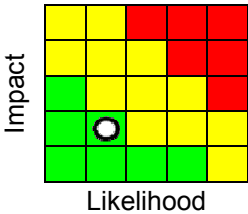
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
32. Direct injury and damage caused by trees.	<ul style="list-style-type: none"> i. Poorly maintained trees. ii. Extreme weather. iii. Poor/ inaccurate inventory. iv. Vandalism. v. Lack of proactive inspections. vi. Not implementing actions. vii. Insufficient budget. viii. Insufficient resource. 	<ul style="list-style-type: none"> i. Injury to people and property. ii. Delays on Highway. iii. Cost of making good. iv. Loss of reputation. 	<ul style="list-style-type: none"> i. Regular independent tree inspections. ii. Ongoing maintenance. iii. Informal monitoring. 	
33. Insurance type claims/damage caused by trees.	<ul style="list-style-type: none"> i. Trees historically inappropriately located. ii. Houses, buildings, structures built too close to trees. iii. Insufficient information about current tree stock. 	<ul style="list-style-type: none"> i. Risk of damage to property / infrastructure. ii. Insurance claims from damage sustained. iii. Loss of public trust and confidence in our operations. 	<ul style="list-style-type: none"> i. Reactive maintenance. ii. Regular independent tree inspections. 	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
34. Long term reputational risk from trees.	<ul style="list-style-type: none"> i. Tree work not getting completed in timely manner due to lack of resource. ii. Loss of tree specialism from Council. 	<ul style="list-style-type: none"> i. Loss of public trust and confidence in our operations. 	<ul style="list-style-type: none"> i. Work with partners. ii. Transfer work to Warwickshire County Council. iii. Additional funding. 	
35. People/Events being locked in a park at night.	<ul style="list-style-type: none"> i. Locking park before designated time i.e. dusk. ii. Not checking before locking. iii. People refusing to leave. iv. Poor communication between departments / teams before event. 	<ul style="list-style-type: none"> i. Possible injury to those trying to leave ii. Vandalism. iii. Bad publicity. 	<ul style="list-style-type: none"> i. Contractor operates managed closure of area. ii. Review signage. iii. Appropriate communication between events team and Contract Services prior to event. 	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
36. Risk of trees becoming diseased e.g. Dutch Elm Disease.	i. Pests and diseases. ii. Spread of new disease. iii. Climate change.	i. Loss of stock. ii. Cost of maintenance and/or removal.	i. Risk Survey. ii. Awareness of national issues. iii. Ongoing maintenance.	
37. Building-related problems.	i. Lack of maintenance. ii. Lack of survey. iii. Lack of maintenance work.	i. Closure of park.	i. Communicate to users.	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
38. Failure to consult affectively with "Friends of" groups.	i. Not aware of consultees. ii. Poor relationship with friends group. iii. Lack of resource/time. iv. Lack of awareness.	i. Lack of funding. ii. Reputation. iii. Focus groups become protest groups.	i. Engage with groups. ii. Dedicate resource to groups.	<p>Impact</p> <p>Likelihood</p>
39. Drowning or injury as a result of water body in vicinity of park or open space.	i. Flooding. ii. Public misuse. iii. Lack of maintenance of structures and minor watercourses. iv. Failure of water use operators.	i. Drowning / physical injury. ii. Reputation. iii. Cost. iv. Compensation claim.	i. Water Safety Review. ii. Maintenance of structures by Warwick District Council and third parties.	<p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
40. Loss of tree officer.	i. Lack of succession planning. ii. Retirement. iii. Ill Health. iv. Moving jobs.	i. Lack of skills. ii. Risk to property and person. iii. Skill gap.	i. Succession planning. ii. Resource sharing. iii. Joint working. iv. Shared service.	
41. Ability to deliver on Green Space Strategy.	i. Lack of funding. ii. Lack of resources. iii. Changes in planning legislation.	i. Poor quality of open space. ii. Lack of open space. iii. Failure to meet Council Vision.	i. Delivery of action plan for Green Space Strategy. ii. Lottery Funding. iii. Disposal of low quality assets to give funding. iv. Funding from Local Plan via planning department.	
Refuse, Recycling and Street Cleansing related				

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
42. Service disruption.	i. Strike action by Contractors. ii. Weather. iii. Loss of disposal route.	i. Piles of refuse/recycling on streets. ii. Health Risks. iii. Financial impact. iv. Reputation undermined. v. Essential services not delivered. vi. Increase in service demand. vii. Inability to meet service demand. viii. Failure to meet legislative requirements.	i. Business Continuity Plan. ii. Contractors will employ staff from other areas. iii. Flexibility of contractors and staff. iv. If usual disposal route not an option would deliver to another disposal route. v. Reprioritise services.	
43. Injury to members of the public at Pubic Convenience.	i. Falls and trips due to wet floor or faulty/damaged equipment.	i. Adverse publicity. ii. Injury.	i. Reviews of PCs on daily basis as part of monitoring process. ii. Procedure for cleaning.	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
44. Damage to Public Conveniences of buildings and/or fittings.	i. Vandalism and/or unacceptable use.	i. Adverse publicity. ii. Facility out of use for period of time. iii. Cost of repair.	i. Daily cleanse of PCs by contractor to identify problems.	<p>Impact</p> <p>Likelihood</p>