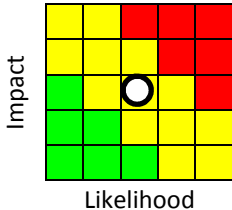
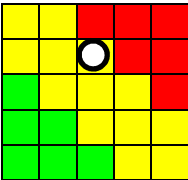
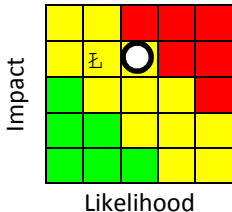


Neighbourhood Services Risk Register

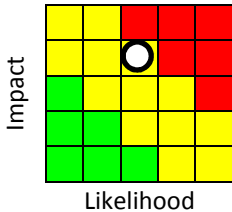
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
Generic to District Council								
1. Recruitment and retention of staff	<p>Failure to maintain a workforce that can provide good service delivery.</p> <p>Failure to identify gaps in staff skills & capacity that could lead to poor service delivery.</p> <p>Age profile of staff.</p> <p>Salary levels.</p> <p>Failure to conclude appointments quickly leading to loss of candidates.</p> <p>Terms and Conditions.</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>Shared Services.</p> <p>Succession planning.</p> <p>Generic Roles where ever possible.</p>	<p>HR</p> <p>HNS</p> <p>DMT</p>	<p>Complete training and development plan.</p>	<p>HR</p> <p>DMT</p> <p>SDT</p>	<p>March 2015</p>	

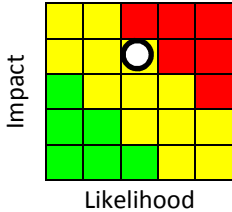
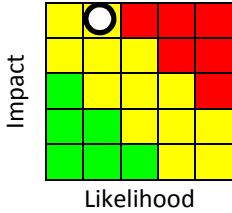
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
2.Failure to meet "Fit for the Future" Objectives	Legislative changes. Policy changes. Financial changes. Service changes. Organisational changes.	Overspending on Medium Term Financial Strategy.	Specific focus on statutory compliance and statutory consultation requirements. Early engagement with recognised Trade Unions. Comprehensive redundancy policies. Some form of central monitoring to oversee the various restructures that are taking place. Communication undertaken with affected employees throughout redundancy process.	HR HNS DMT CMT SMT	Key projects to improve service E + E	SDT	Ongoing	 <p style="text-align: center;">Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
3. Insufficient money resulting in an inability to provide normal services.	Poor financial planning. Unexpected loss of income and/or increase in expenditure. Fit for the future projects do not achieve sufficient savings. Changes to Government Policy. Reduced Government grants. Financial savings not made. Budgets exceeded. Insufficient money to provide services as specified.	Loss making services. Problems delivering key services. Reduced quality of service. Budget exceeded and therefore subsequent budgets reduced. Forced to make large scale redundancies.	Effective management of Fit for the Future Programme. Effective audit of financial accounts. Effective fees and charges schemes. Delivery plans and overall project plans have been completed. Effective internal audit function. Codes of Financial and Procurement practice.	FIN HNS DMT	As above	SDT	Ongoing	
4. Failure to:- Respond to new legislation. Comply with new/existing legislation. Take into account legal implications of decisions.	Failure to respond to new legislation, comply with new or existing legislation or to take into account legal implications of decisions. Change in Government policy. Poor decision making.	WDC unprepared for changes resulting in additional costs/workloads for staff. Damage to reputation. Judicial reviews. Financial impact. Legal action against the Council.	Legal advice available to staff. Communication with professional bodies and organisations to seek assistance and advice.	HNS DMT	Attend meetings of Professional Bodies.	DMT	Ongoing.	

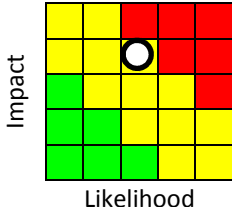
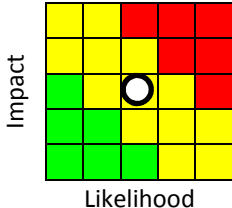
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
5. ICT systems not able to support current service delivery and future improvements.	Failure of the current ICT infrastructure being unable to meet demand. Interruption of power supply. Physical damage. Systems failure of hardware and software. Cyber attack. Use of third party systems.	Prolonged loss of systems. Additional cost to operate systems. Corrupted information and/or databases. Provision of data.	Third party support and maintenance contracts. WDC Data centre protected by UPS. WDC backup generator. Hardware resilience; dual power suppliers, RAID, virtualisation, etc. Critical business devices protected by UPS. Backup and recovery strategy. Disaster recovery in place and on-going testing? Backup and recovery systems in place? ICT Services Service Area Continuity Plan. Third Party Disaster Recovery Contract. Neighbourhood Services Business Continuity Plan.	ICT DMT	Ongoing monitoring of new ICT issues until satisfied systems are stable. Gary plans to meet with Environmental Health (Kathleen Rose) in the next quarter to discuss Firmstep/Flare issues	ICT	Likelihood moved due to problems with Firm Step	 <p>Impact</p> <p>Likelihood</p>

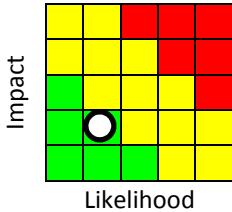
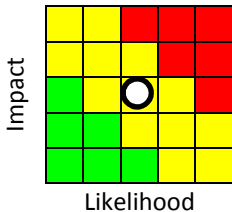
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
6. Information and service access for members of the public.	Not entering information or entering incorrect information or not developing web site to assist service delivery.	Reduced service delivery. Loss of WDC reputation.	Implementation Plan and quarterly review of web-site. Business Support looking at Website generally	HNS DMT (Michael Branson)	Review process of updating website Marketing Plan	DMT	Ongoing	
7. High or increasing levels of sickness.	Individual workloads increase resulting in higher stress levels. Pandemic. Working environment.	Some services not delivered. Increase in stress/pressure on remaining staff. Reputational risk Additional costs to cover key staff.	Detailed monitoring. Management information & data integrity improved. Continuity planning.	DMS HNS HR	TOP'S are realistic and deliverable Back to work interviews	OH	Ongoing	

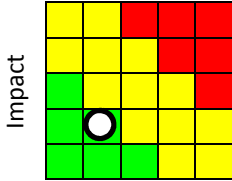
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
8.Impact of climate change on service delivery	Changes in weather as a result of climate change. Increased high winds, long periods of freezing temperatures, heavy rain or long dry spells.	<p>Long periods of cold weather could reduce our ability to collect waste.</p> <p>Long periods of high winds would impact on trees and increase the risk of damage.</p> <p>Long periods of dry weather will reduce the amount of grass cutting required but:- Increase the requirement for watering of flowering plants.</p>	<p>Maintain flexibility in the contract to allow the impact to be minimised.</p> <p>Introduce gritting in car parks when long periods of freezing weather.</p> <p>Reduce floral planting to minimise the watering of these areas.</p> <p>Green Travel Plan</p>	DMT WCC	<p>Updating of Business Continuity Plan</p> <p>Review environmental impact of operations</p>	SO	Ongoing	 <p>The residual risk rating matrix is a 4x4 grid. The vertical axis is labeled 'Impact' and the horizontal axis is labeled 'Likelihood'. The grid is color-coded as follows: <ul style="list-style-type: none"> Top-left (2 cells): Yellow Top-middle (2 cells): Yellow Top-right (2 cells): Red Middle-left (2 cells): Green Middle-middle (2 cells): Yellow Middle-right (2 cells): Red Bottom-left (2 cells): Green Bottom-middle (2 cells): Green Bottom-right (2 cells): Yellow A white circle with a black outline is positioned in the center of the grid, specifically in the cell corresponding to the second level of impact and the second level of likelihood.</p>

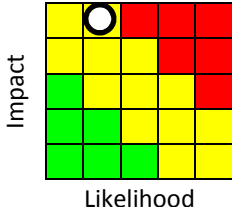
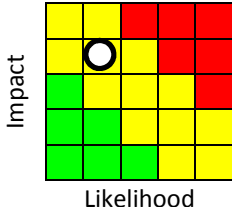
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
9. Accidents/ health & safety of staff in office.	Lack of health & safety good practice. Genuine accidents.	Injuries to staff Financial Loss of staff morale Adverse publicity, reputation Difficulty in service delivery. Increase in sickness.	Lone Worker (Tunstall system). H&S Policy and Procedures in place. Joint Consultative Group (management and unions) Operation of robust risk assessments, safe working practices. Accident/incident reporting and investigation. Safety Advisors inspection of workplace. DSE assessments.	HNS DMS H+S A	Additional health and safety training for staff.	DMT	Ongoing	
10. Accidents / health and safety of contractors	Lack of health & safety good practice. Genuine accidents. Lack of appropriate supervision.	Injuries to staff Financial Loss of staff morale. Adverse publicity. Reputation. Difficulty in service delivery. Increase in sickness.	Regular monitoring of contractors Health and Safety. Embedded Health and Safety consultation process.	DMT H+S A Contractor	Neighbourhood Services Measure	Staff time	April 2014 CO's now into routine of H&S checks. Need to undertake audit of process	

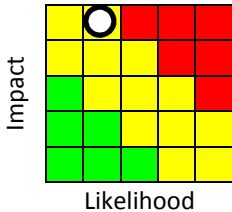
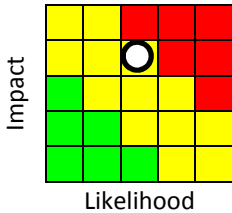
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
11. Failure of contractor to deliver service.	Poor mobilisation Under-priced contract Lack of client support	Poor service delivery	Partnership Board Mobilisation. Client support. Penalties within contract implemented.	DMT Contractor	More comprehensive measures	Staff time	April 2014	
12. The impact of a business continuity incident.	Loss of building or office space. Loss or lack of key staff. Loss of key equipment or systems.	Poor/lack of service delivery. Reputation.	Service Area Crisis Plan - Neighbourhood Services. Major Emergency Plan. See No. 15 - Flooding	HNS CCO	Continue update of crisis plan	Staff time	May 2014	

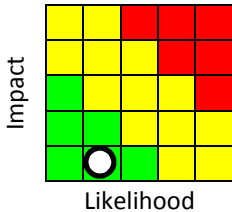
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
13. Growth within Warwick District outstrips the ability for the Council to deliver services.	Increased residential, commercial, and green space development above expectations. Changes in legislation.	Gaps open up in Council services. Insufficient resource within Council. Increase costs. Potentially broaden internal capacity review? Leave for the moment	Growth built into various contracts. Local Plan. Joint planning and delivery arrangements.	DS DMT FIN	Monitoring developments changes and actions require	Additional costs + staff time	Ongoing	
Service Specific								
Service Area Plan Risks								
Generic to Neighbourhood Services								
14. Stratford Road Depot lost to development.	Draft Development Plan for the Allocation of Sites for Gypsies and Travellers	Lack of Contractor Depot. Contractor Depot needs to be moved within development site.	Routine liaison with planning colleagues and strategic managers	Nick Gray	The draft development plan is going out for consultation at the end of Oct or start of Nov for 6 weeks and then goes to Planning Inspectorate	HNS	Decision is approx. 12 months away	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
15. Council to meet its legal implications under Waste England and Wales Regulations 2001 i.e. the "TEEP test"	The legislation requires that Regulation 13 of the adjacent legislation is fulfilled by 1 January 2015	Potential legal challenge if requirements not met	Undertake a step by step process to ensure that WDC is compliant with the legislation. A SMT report	DMT	Seek legal advice and share advice given to other Authorities	DMT	End of 2014	
16. Anti-Social Behaviour in Parks	Quality and condition of park Perception of safety by public	Reduction in use of parks. Public feel unsafe	Well maintained parks	DMT	Implementation of Park Ranger Service	DMT	On-going	

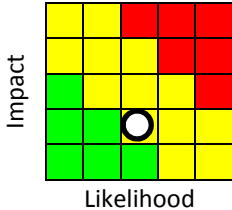
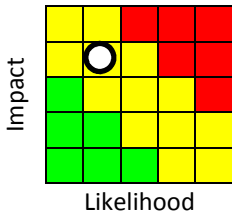
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
17. Personal injury to staff whilst undertaking day to day duties out of the office.	Lack of training. Lack of awareness. Overwork.	Injury. Increased sickness. Reduction in service delivery.	Health and Safety procedures. Risk Assessments. Lone Worker (Tunstall system). Issuing of appropriate PPE. Staff alert list.	DMT Staff	Use of new technology Better clarity of procedures Laura the Jephson Gardens ranger could do with Conflict Management Training	Staff time DA has made her aware and there is appropriate training within Car Parking in November	Ongoing	 <p>Impact</p> <p>Likelihood</p>

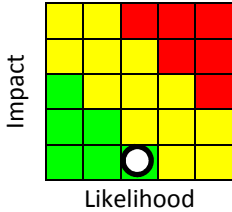
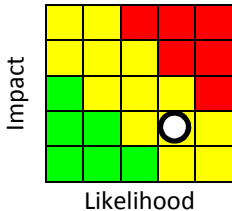
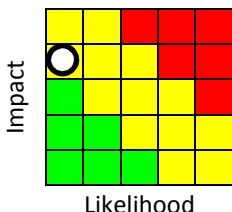
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
18. Failure by WCC to provide appropriate disposal sites for waste i.e. landfills, Civic Amenity Sites etc.	Landfill Operators cease to trade. Fire / mechanical breakdown at facility.	Additional resources required by contractor. Additional cost. Issue discussed at Warwickshire Waste Officers meeting on 13 June 2013 and WCC confirmed that they are reviewing their business continuity plan.	Good communication between Warwickshire County Council and Warwick District Council.	WCC DMT	More robust WCC Continuity Plan	WCC	TBC	 <p>Impact</p> <p>Likelihood</p> <p>Need to chase WCC for plan</p>
19. Failure in Information Management systems.	Insecure and incorrect management of personal data. Failure to maintain a secure information management resulting in unauthorised disclosure, loss of information.	Reputation damage. IT security breaches. Unable to deal with freedom of information requests properly. Disruption /closure of services.	Document management procedures.	ICT	Date recover procedures	ICT	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. Risk of contractor going insolvent <i>(Created in Oct 12)</i>	Lack of investment Inability to get credit Incorrect contract pricing	Ian Coker confirmed on 170613 that Corporate Risk Plan contains an exit strategy. There is an annual review of contractors.	Monitoring of financial viability of contractors Obtain regular audited management accounts Credit checks Have "bonds" available as part of contract Regular meetings "Exit" strategy – how do we move on? i.e. additional funding, appointing new contractor.	FIN	Annual financial check of contractors	Staff time	Annual	
Car Parks								
21. Shortfall in Car Park income.	The general economic climate.	Shortfall in off-street car park income.	Monthly monitoring of car park income against estimates allows us to identify income being behind budget. Review of following year's income budget in early January to arrive at more accurate budget for following financial year. Parking has measures aimed at increased usage and dwell time.	DMT / FIN		Staff time	Ongoing.	

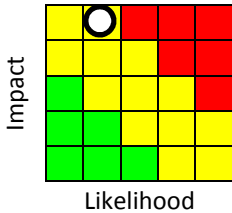
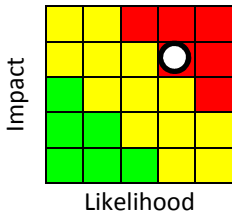
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
22. Claims from Slippery conditions in car parks/parks during periods of freezing weather.	An increase in the frequency of cold winters resulting in periods of sustained periods of ice and snow.	Claims from members of the public resulting from accidents.	<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 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.</p> <p>A priority listing of the car parks to be gritted will be maintained and kept under review.</p>	DMT WCC Staff	Ongoing liaison with WCC	Staff time	Ongoing.	 <p>Impact</p> <p>Likelihood</p>

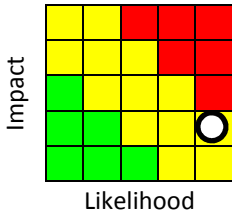
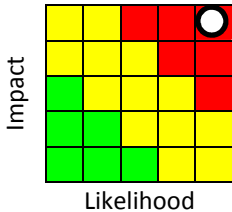
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
23. Damage to P&D machines in off-street car parks including Pay on Foot.	Vandalism / burglary.	Loss of income. Inconvenience to public.	Car Park Inspectors as part of normal duties. Daily inspections of every machine. Increased frequency of cash collection.	DMT / Staff		Staff time	Ongoing	
24. Damage to vehicles and persons in off-street car parks.	Vandalism. Accidents.	Loss of Income. Reputation. Economic /Tourism.	Car Parking Inspectors. CCTV. Public. Police.	DMT / Staff		Staff time	Ongoing	
25. Structural Integrity 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.	Improved maintenance regime with regular expert testing of the buildings. Capital investment to prolong life expectancy of car parks.	DMT	Tender required for a technical officer to deliver the necessary tender for the required repairs.	Staff Time Report to exec delayed until Oct 2014	Executive To be delivered by end of 2015.	

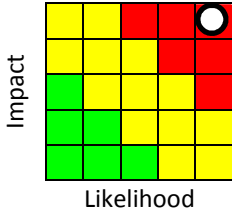
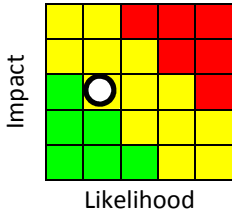
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
Grounds Maintenance related								
26. Playgrounds, playground equipment, BMX parks and Skate Parks not fit for purpose.	Vandalism. Misuse 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 playground team ROSPA trained	Staff time	Annual Review March 2014	
27. 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.	Injury to people and property. Delays on Highway. Cost of making good. Loss of reputation.	Regular independent tree inspections. On-going maintenance. Informal monitoring.	DMT WCC	Dave Anderson has had meeting and tree survey and programme put in place Now monthly meetings in place with WCC Tree Team			

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
28. Insurance type claims/damage caused by trees.	Trees historically inappropriately located. Houses, buildings, structures built too close to trees. Insufficient information about current tree stock.	Risk of damage to property / infrastructure. Insurance claims from damage sustained. Loss of public trust and confidence in our operations.	Reactive maintenance. Regular independent tree inspections.	DMT WCC				
29. Long term reputational risk from trees.	Tree work not getting completed in timely manner due to lack of resource. Loss of tree specialism from Council.	Loss of public trust and confidence in our operations.	Work with partners. Transfer work to Warwickshire County Council. Additional funding.	DMT WCC				
30. Risk of trees becoming diseased	Pests and diseases. Spread of new disease. Climate change.	Loss of stock. Cost of maintenance and/or removal.	Risk Survey. Awareness of national issues. On-going maintenance.	DMT WCC	Review disease spread.	Staff time Arb assoc WCC.	Ongoing.	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
31. Building-related problems.	Lack of maintenance. Lack of survey. Lack of maintenance work.	Closure of park. A report is going to September Exec Meeting on the priorities and cost for building maintenance	A surveyor carries out monthly inspections of all the buildings/structures that they are responsible for. Every three years a detailed condition survey is carried out.	CMT	Agree funding of Asset Plan. There is now a WDC Asset Plan.	Staff time.	2014/15 Plan agreed.	 <p>Impact</p> <p>Likelihood</p>
32. Failure to consult affectively 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.	DMT	Marketing Plan	Staff time	April 2014	 <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
33. 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 – Need to look at alternatives for Charter Bridge	DMT	Review ROSPA recommendations	Staff time	June 2014	
34. 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	Agree source of long term funding	Staff time Finance Now received an additional £300,000	Ongoing	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) if appropriate	Resource	Due Date	Residual Risk Rating
Refuse, Recycling and Street Cleansing related								
35. Service disruption.	Strike action by Contractors. 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	 <p>Impact</p> <p>Likelihood</p>
36. Demobilisation of Glendale contract – Stratford Road Depot.	Legal dispute Contractually Glendale should have left Stratford Road Depot in good order. WDC claiming that they did not, and that it has cost WDC approximately £50,000 to put right.	Depot dilapidations not completed as required	Discussions with legal team Discussions with property.	HNS H&P WCC Legal Team				 <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
37.De-mobilisation of Glendale contract – completed work	Legal dispute From WDC perspective Glendale did not complete all work and WDC deducted approx. £50,000 of payment as a result whilst Glendale believe that we owe them approximately the same amount of money for 2 weeks' worth of work.	Work not completed before end of contract.	Discussions with legal team	HNS WCC Legal Team				
38.Lack of training in risk management and Construction Design and Management Regulations.	Lack of trained individuals Poor communications within Council Loss of trained individuals from Council.	Increased risk of accidents. Reputational risk	Understand who within Council is trained in CDM Regulations Get basic awareness training in place for appropriate individuals within Contract Services.	HNS DMT H&P	Agree Project PIDs including roles + responsibilities Relevant individuals now had CDM Training.	Staff time.	Start of each project.	

Key:

CMT = Corporate Management Team

DMT = Departmental Management Team

SO = Environmental Sustainability Officer

ICT = ICT Services

H&S A = Health & Safety Advisor

FIN = Finance

CCO = Civil Contingencies Officer

SMT = Senior Management Team

HNS = Head of Neighbourhood Services

H&P = Housing & Property Services

OH = Occupational Health

WCC = Warwickshire County Council

DS = Development Services