

NBBC Strategic Risk Register

Current Version: 15th April 2021

Risk Level Indicator Matrix and Descriptors

Key

Green	Green (acceptable)
Amber	Amber (tolerable)
Red	Red (unacceptable)

Likelihood

4	4	8	12	16
3	3	6	9	12
2	2	4	6	8
1	1	2	3	4
	1	2	3	4

Impact

Likelihood

- 4: **Very High** – occurrence is most likely or has already happened and will do so again if control measures are not introduced
 3: **High** – occurrence is anticipated within the next 12 months
 2: **Significant** – occurrence is probable in the next 3 years
 1: **Low** – foreseeable, but not probable in the next 3 years

	Level of Impact	Service Delivery	Financial / Legal	Reputation / Community
4	Major	<ul style="list-style-type: none"> • A service delivery failure causes significant hardship to people for a period of 3 to 4 weeks or more or 1 week for anyone that is vulnerable, or failure to meet a nationally mandated deadline • Loss of major stakeholder/partner. • Adverse outcome of a serious regulatory enquiry 	<ul style="list-style-type: none"> • Financial loss over £400,000 • Serious risk of legal challenge 	<ul style="list-style-type: none"> • Sustained adverse TV/radio coverage • Borough wide loss of public confidence • Major damage to local environment, health and economy • Multiple loss of life
3	Serious	<ul style="list-style-type: none"> • A service delivery failure causes significant hardship for a period of 2 to 3 weeks or 3 to 7 calendar days for vulnerable people • Formal regulatory inquiry • Loss of a key partner or other partners 	<ul style="list-style-type: none"> • Financial loss between £200K and £399K • High risk of successful legal challenge 	<ul style="list-style-type: none"> • Significant adverse coverage in national press or equivalent low national TV coverage • Serious damage to local environment, health and economy • Extensive or multiple injuries &/or a fatality
2	Moderate	<ul style="list-style-type: none"> • A service delivery failure causes significant hardship for 1 to 2 weeks or 1 -2 calendar days for vulnerable people • Loss of a significant non-key partner • Legal concerns raised • Loss of employees has moderate effect on service provision 	<ul style="list-style-type: none"> • Financial loss between £50K and £199K • Informal regulatory enquiry 	<ul style="list-style-type: none"> • Significant adverse coverage in local press or regional TV • Large number of customer complaints • Moderate damage to local environment, health and economy • Moderate injuries to an individual
1	Low	<ul style="list-style-type: none"> • Disruption to services for up to 1 week • Minor legal implications • Loss of employees not significantly affecting service provision 	<ul style="list-style-type: none"> • Financial loss up to £49K 	<ul style="list-style-type: none"> • Minor adverse media coverage • Minor environmental, health and economy damage • Minor increase in number of customer complaints • One or more minor injuries to an individual

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
R1	<p>Potential failure to provide adequate accommodation to meet the needs of the borough with consequent impact on the lives of residents</p> <p>NOTE: See also R20, Pandemic – services, social and economic implications</p>	Very High / Major (RED)	<p>1. Housing / Homelessness Strategy.</p> <p>2. Corporate Strategic Housing Group (CSHG) - comprising Housing, Legal, Planning & Finance officers.</p> <p>3. Warwickshire Heads of Housing Group (WHOH).</p>	Strategic Housing Manager (unless stated)	Very High / Serious (RED)	<p>1. Housing Needs Survey (2010), Strategic Housing Market Assessment (2013), Housing Options data.</p> <p>2. CSHG minutes.</p> <p>1&2: Sustainable 30 Year Business Plan</p> <p>3. Minutes of WHOH meetings.</p>	Director (R&H)

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			<p>4. Affordable Housing Supplementary Planning Document (Borough Plan).</p> <p>5. Implementation plan relating to the Homelessness Reduction Act.</p> <p>6. Housing Revenue Account Development and Acquisition Strategy.</p> <p>7. Investment Partner status with Homes England.</p> <p>8. Development Team for HRA new builds.</p> <p>9. Funds identified for HRA Business Plan for acquisitions and new builds.</p>	5 – 9: Director (R&H)		<p>4. Document in place.</p> <p>5– 7. Documents / minutes of meetings</p> <p>8. Management Team minutes</p> <p>9.HRA Business Plan</p>	

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			<p>10. Nominations agreements with registered providers.</p> <p>Planned:</p> <p>1. HRA / GF development programme.</p> <p>2. Consultation on Town Centres Area action plan (development plan document).</p> <p>3. Review of Borough Plan</p>	<p>10. Strategic Housing Services Manager</p> <p>1: Head of Development / Head of Regeneration and Estates Property Services</p> <p>2: Director (D, P & PP)</p> <p>3: Director (D, P & PP)</p>		<p>10. Agreement records.</p> <p>1. Programmes in place.</p> <p>2. Document in place.</p> <p>3. Publication of revised plan.</p>	

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R3	<p>A major NBBC contractor or supplier cannot deliver a service as planned or ceases trading / failure to comply with requirements for procuring goods and services</p> <p>NOTE: See also risk R19 (disruption ensuing from Brexit process) and R20, Pandemic – services, social and economic implications</p>	Significant / Major (AMBER)	<p>1. Legally binding contract documentation.</p> <p>2. Contract monitoring activities.</p> <p>3. Procurement process that is in place and regularly reviewed as defined by contract procedure rules. On-going supplier monitoring including credit check via Corporate Governance Group (CGG).</p> <p>4. On-going financial check (key contracts).</p>	<p>1. Strategic Creditors and Procurement Manager</p> <p>2: Respective Directors</p> <p>3&4: Strategic Creditors and Procurement Manager on behalf of Executive Director (Resources)</p>	Low / Major (GREEN)	<p>1. Tender documents, contract conditions and legal documentation.</p> <p>2. Minutes of meetings with contractors.</p> <p>3. Latest version of Contract Procedure Rules.</p> <p>4. Records of processed invoices.</p>	Executive Directors on behalf of Management Team

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			5. In-house Corporate Governance training.	5&6: Audit & Governance Manager		5. Records of in-house governance training.	
			6. Internal audit.			6. Internal Audit reports.	
			7. External legal advice.	7: Legal services Manager		7. Records of legal advice.	
			8. Designated Strategic Procurement Team.	8: Executive Director (Resources)		8. Team in place / training and contract support records.	
			9. Pay suppliers promptly to aid cash flow.	9: Executive Director (Resources)		9. Regular payments performance reports.	
			10. Consideration of provision of service by NABCEL.	10: Executive Director (Resources), Director (R&H)		10. Business Cases / Cabinet reports.	

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			<p>11. Contractors required to provide Parent Company Guarantee &/or performance bond, as required.</p> <p>12. Assisting contractors with cash flow.</p> <p>13. Additional payments to assist contractors.</p>	<p>11: Executive Director (Resources)</p> <p>12: Relevant Director in conjunction with Creditors and Procurement Manager and Executive Director (Resources)</p> <p>13: Relevant Director in conjunction with Creditors and Procurement Manager and Executive Director (Resources)</p>		<p>11. Tender documents, contract conditions and legal documentation</p> <p>12. Payments made.</p> <p>13. Payments made.</p>	

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			<p>14. Compliance with Cabinet Office Public Procurement Policy Notes (PPNs).</p> <p><u>Planned:</u></p> <p>1. Review of Contract Procedure Rules.</p> <p>2. Formal agreement in place for the Leisure Management Contract.</p>	<p>14: Creditors and Procurement Manager</p> <p>1: Executive Director (Resources) / Audit and Governance Manager</p> <p>2: Executive Director (Operations) / Directors (D, P & PP and LR & H))</p>		<p>14. Creditors and Procurement records.</p> <p>1. Updated procedure rules.</p> <p>2. Contract in place, which requires final sign off.</p>	

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			<p>3. Monitor and review the Covid-19 pandemic situation and operational recovery for leisure contract and future financial impact on the existing contract.</p> <p>4. Application to National Leisure Recovery Fund (NRLF) submitted, to support financial impact of leisure re-opening.</p>	<p>3: Executive Directors / Director (LR &H)</p> <p>4: Executive Directors / Director (LR &H)</p>		<p>3. Interim agreements signed off with contractor until March 2021 / Leisure contract management fee re-negotiated from March 1st, 2020 onwards.</p> <p>4. Interim arrangements in place for Dec 2020 until June 2021 through NRLF finances with leisure contractor.</p>	

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			5. Negotiations regarding Leisure Contract regarding the financial impact of leisure contract from June – March 2022, pending recovery process.	5: Executive Directors / Director (LR &H)		5. Review leisure contract through open book accounting through Procurement Policy Note (PPN) route as to future financial support required.	

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R4	<p>Failure to maintain the economic vibrancy of the borough / town centres</p> <p>NOTE: See also R20, Pandemic – services, social and economic implications</p>	Very High / Major (RED)	<p>1. Non-constituent member of West Midlands Combined Authority (WMCA)</p> <p>2. Member of Coventry & Warwickshire Local Enterprise Partnership (CWLEP).</p> <p>3. Cross Border Delivery Partnership.</p> <p>4. Economic Development Strategy.</p> <p>5. Partnership working with Chamber of Commerce and Federation of Small Businesses (FSB) and others.</p>	<p>1,2,6,8,10: Executive Director (Operations)</p> <p>3,4,5, 7: Director (R&H)</p>	Very High / Major (RED)	<p>1,2,6. Minutes of WMCA meetings</p> <p>3, 4, 5. Minutes of meetings of CWLEP and Joint Committee</p> <p>3. Minutes of meetings of the partnership</p> <p>4. Cabinet report</p> <p>5. Minutes of partner meetings, FSB awards</p> <p>1 – 5. Papers relating to Economic Growth Programme Board</p>	Executive Directors on behalf of Management Team

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			<p>6. Maintain “Invest Warwickshire” – website for available commercial property.</p> <p>7. Business Rates Local Discount scheme.</p> <p>8. Residential development commenced at Church Street Nuneaton completed August 2020.</p> <p>9. Think Local First supporting local businesses.</p> <p>10. WMCA employment support pilot in Camp Hill.</p> <p>11. Transforming Nuneaton master plan.</p>	<p>7: Director (R & H)</p> <p>8: Head of Regeneration and Estates / Head of Town Centres and Marketing</p> <p>9: Director (R&H)</p> <p>10: Head of Communities / Economic Development Officer</p> <p>11: Head of Regeneration and Estates</p>		<p>6. Website in place</p> <p>7. Policy in place</p> <p>8. Development in progress</p> <p>9. Corporate Governance Group report</p> <p>10. Support in place</p> <p>11. Plan in place</p>	

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			<p>12. Employment land allocations in borough Plan.</p> <p>13. Bid to Government's "Future High Streets" fund.</p> <p>14. Letting and further development of former Co-Op building.</p> <p>15. Delivery of Transforming Nuneaton master plan including spend against CWLEP and "One Public Estate" grants.</p> <p>16. Prepare Towns Fund bid to Government</p>	<p>12: Head of Planning</p> <p>13: Management Team</p> <p>14: Executive Directors</p> <p>15: Head of Regeneration and Estates</p> <p>16: Director (R &H)</p>		<p>12. Borough Plan in place.</p> <p>13. Confirmed funding / project risk registers.</p> <p>14. Site development.</p> <p>15. Programme Board minutes.</p> <p>16. Confirmed funding / project risk registers.</p>	

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			<p>17. Bedworth visioning document completed and Transforming Bedworth Group established.</p> <p>18. Procured regeneration partner for Abbey Street, Nuneaton.</p> <p>19. Appointed additional staff capacity for Nuneaton.</p> <p>20. Warwickshire Town Centres Strategic Task Force (set up due to Covid-19 pandemic)</p>	<p>17: Town Centres and Marketing Manager</p> <p>18: Head of Regeneration and Estates</p> <p>19. Director (R &H)</p> <p>20: Head of Town Centres and Marketing</p>		<p>17. Records in place.</p> <p>18. Procurement and other programme management documentation</p> <p>19. Staff in post / induction records.</p> <p>20. Meeting minutes / outcomes correspondence.</p>	

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			<p>21. Abbey Street development approved by Cabinet in October 2020 (Planning application submitted December 2020).</p> <p><u>Planned:</u></p> <p>1. Development of Business Improvement District (BID) proposal.</p> <p>2. Consultation on Town Centres Area action plan.</p> <p>3. Leisure Strategy and parks concept plans.</p> <p>4. Bid being prepared for "Levelling Up Fund".</p>	<p>21: Head of Regeneration and Estates</p> <p>1. Head of Town Centres and Marketing</p> <p>2: Head of Planning, Development Control</p> <p>3: Director (L, H &R)</p> <p>4: Executive Directors</p>		<p>21. Cabinet / Planning Committee minutes. Branding and Management Agreement (BAMA) for hotel development.</p> <p>1. Study in place.</p> <p>2. Cabinet progress reports.</p> <p>3. Strategy and plans in place / Cabinet progress reports.</p> <p>4. Bid submitted.</p>	

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R5	Failure to reduce the fear of crime and disorder.	High /- Serious (RED)	<p>1. Nuneaton and Bedworth Safer Communities Partnership (NABSCOP). Meets monthly. Action points identified & regularly reviewed. Has own Risk Register.</p> <p>2. Police & Crime Commissioner (PCC) grants.</p> <p>3. Annual strategic assessment of crime, the level of crime & its impact on the community.</p> <p>4. Corporate Community safety Group.</p>	1-6: Communities Manager.	Sig / Moderate (GREEN)	<p>1 & 3. Minutes of NABSCOP meetings, including crime performance statistics. External OSP reports.</p> <p>2. Financial accounts (PCC grant receipt and usage). External OSP reports.</p> <p>3. Confidential strategic document in place.</p> <p>4. Minutes of Corporate Community safety Group.</p>	Director (R&H)

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			<p>5. Anti-Social Behaviour & Harassment Policy / Anti-Social Behaviour Strategy 2019-21.</p> <p>6. Communities Officer (anti-social behaviour).</p> <p>7. CCTV coverage.</p> <p>8. Replacement of DPPPOs with Public Space Protection Orders.</p>	<p>7: Executive Director (Resources) and Director (R&H)</p> <p>8: Director (R&H)</p>		<p>5. Relevant case management records in Flare system / ASB Case Management Group minutes.</p> <p>6. Officer in place.</p> <p>7. CCTV records / British Standard BS7958 Certification / Police Tasking Group minutes.</p> <p>8. Minutes of internal meetings.</p>	

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			<p><u>Planned:</u></p> <p>1. Review and update Anti-Social Behaviour & Harassment Policy / Anti-Social Behaviour Strategy 2019-21.</p>	1: Communities Manager		1. Relevant case management records in Flare system / ASB Case Management Group minutes / New document in place.	

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R6	<p>Arson or an accidental fire in NBBC corporate buildings, General Purpose flats and Independent Living Complexes</p> <p>NOTE: Single council housing incidents do not constitute a strategic risk.</p>	Significant / Major (AMBER)	<p>1. Fire Management Group (FMG).</p> <p>2. Regularly serviced fire detection & alarm systems / fire extinguishers and appropriate Fire Risk Assessments (FRA) regularly reviewed.</p> <p>3. Quarterly Health & Safety inspections give attention to fire risks.</p> <p>4. Annual Capital Fire Safety Work Programme in Housing Revenue account stock.</p>	<p>1: Director (D, P & PP)</p> <p>2: Plant Maintenance / Energy Officer, Director (D, P & PP), Head of Health and Safety and Asbestos</p> <p>3: Respective Directors.</p> <p>4: Housing Property Services Manager</p>	Low / Major (GREEN)	<p>1. FMG meeting minutes.</p> <p>2. Service records, Fire extinguisher service records & records of FRA outcomes. External report (review of arrangements).</p> <p>3. Quarterly Health & Safety inspection records.</p> <p>4. Cabinet reports and Capital Projects Meeting Minutes.</p>	Executive Directors on behalf of Management Team

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			<p>5. Business Continuity Plans.</p> <p>6. Existing insurance policy documents.</p> <p>7. Liaison with Warwickshire Fire and Rescue Service Fire Prevention Team.</p> <p>8. External Wall Insulation specification reviewed.</p> <p>9. Internal audit of fire risk arrangements (completed December 2020).</p>	<p>5: Respective Directors.</p> <p>6: Audit and Governance Manager</p> <p>7: Head of Health and Safety and Asbestos</p> <p>8: Director (R&H)</p> <p>9: Head of Health and Safety and Asbestos</p>		<p>5. Business Continuity Plan documents in place.</p> <p>6. Policy documents in place.</p> <p>7. E-mail records and meeting minutes / outcomes.</p> <p>8. Property records.</p> <p>9. Internal Audit report.</p>	

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			<p>10. Maglock doors fitted to communal areas of Independent Living Complexes.</p> <p>11. Certified fire doors – Ministry of Housing Communities and Local Government (MHCLG).</p> <p>12. Review of evacuation policy in complexes in progress (2020/21).</p> <p>13. Review of fire arrangements in Independent Living and General-Purpose flats (2020/21).</p> <p>14. Corporate review of Health and Safety arrangements (2020/21).</p>	<p>10: Director (R&H)</p> <p>11: Property Services Manager</p> <p>12: Director (R&H)</p> <p>13: Director – (R&H) / Director – (D, P & PP)</p> <p>14: Director – (D, P & PP)</p>		<p>10. Doors in place.</p> <p>11. Certification in place.</p> <p>12. Report in place.</p> <p>13. Report in place.</p> <p>14. Report in place.</p>	

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			<p>Planned:</p> <p>1. On-going review of corporate assets.</p> <p>2. Implement Internal Audit report action plan.</p> <p>3. Act on appropriate recommendations arising from public enquiries (i.e., Grenfell Tower).</p>	<p>1. Management Team</p> <p>2. Head of Health and Safety and Asbestos</p> <p>3: Director (R&H)</p>			

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R7	<p>Breakdown of Council services due to an emergency or significant incident.</p> <p>NOTE: See also R20, Pandemic – services, social and economic implications</p>	Low/Major (AMBER)	<p>1. Corporate Business Continuity Plan.</p> <p>2. Each Directorate has an effective Business Continuity Plan (BCP).</p> <p>3. Two separate server rooms in different towns connected by high-speed links.</p> <p>4. Emergency Plan including regular training.</p> <p>5. Re-configuration of the 2nd internet connection at Bedworth to takeover if the Nuneaton internet connection is down</p>	<p>1: Executive Directors</p> <p>2 & 3: Directors.</p> <p>3: Director (CS&BI).</p> <p>4: Executive Directors.</p> <p>5: Director (CS&BI).</p>	Low/ Serious (GREEN)	<p>1. Plan in place.</p> <p>2: Plans in place.</p> <p>3: Maintained by IT / Maintenance Contracts.</p> <p>4: Plan in place.</p> <p>5. In place.</p>	Executive Directors and Director (CS&BI)

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			<p>6. Shared service Emergency Planning Officer in place.</p> <p><u>Planned:</u></p> <p>1. Update Business Continuity Plans.</p> <p>2. Explore options to resolve power outages.</p> <p>3. Explore options to have active / active mirroring of the services at Nuneaton and Bedworth.</p> <p>4. Update Emergency Plan.</p>	<p>6: Director (CS&BI).</p> <p>1: Directors</p> <p>2&3: Director (CS&BI)</p> <p>4: Director (CS&BI) and Joint Emergency Planning Officer (shared service)</p>		<p>6. Joint Emergency Planning Officer (JEPO) two-year work streams plan.</p>	

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R8	Failure to deliver / refresh the key elements of "Delivering Our Future (DOF) 2019 – 31.	High / Moderate (AMBER)	<p>1. Member training programme.</p> <p>2. Annual Development Reviews.</p> <p>3. Management Development training.</p> <p>4. Performance management framework.</p> <p>5. DOF Delivery Plan.</p> <p>6. Monitor and utilise external funding opportunities.</p>	<p>1: Executive Directors</p> <p>2: Directors</p> <p>3.: Director (CS&BI)</p> <p>4: Audit and Governance Manager</p> <p>5 - 7: Management Team</p>	Very High / Moderate (AMBER)	<p>1, 2 & 3. Records of all formal Employee & Member meetings and training.</p> <p>4 & 5. Strategic Performance Report (monthly to management / quarterly to Cabinet / Overview and Scrutiny Panels).</p> <p>6. Capital Programme and Revenue Budgets.</p>	Executive Directors on behalf of Management Team

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			<p>7. Partnership working arrangements.</p> <p><u>Planned:</u></p> <p>1. On-going annual review of DOF delivery plan.</p> <p>2. Reassessment of action timescales due to implications of the Covid-19 pandemic.</p>	<p>1: Audit and Governance Manager</p> <p>2. Management Team</p>		<p>7. Partnership board meeting minutes.</p> <p>1. Current plan in place</p> <p>2. Management Team minutes / updated delivery plan.</p>	

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
R9	<p>Failure to effectively manage Health, Safety & welfare arrangements to limit the potential for accidents and financial penalties</p> <p>NOTE: See also R20, Pandemic – services, social and economic implications</p>	High / Major (RED)	<p>1. Health and Safety Co-ordinators Group (HASCOG).</p> <p>2. Health & Safety policies & procedures.</p> <p>3. Risk assessments and safe systems of work.</p> <p>4. Mandatory Health & Safety training.</p> <p>5. Designated Corporate Health and Safety Team.</p> <p>6. Fire Safety Management Group (FMG).</p> <p>7. Asbestos Management Group (AMG).</p>	<p>1, 5, 6 & 7: Director (D, P & PP),</p> <p>2, 4 & 8: Head of Health and Safety and Environmental Health</p> <p>3: Directors</p>	Significant / Major (AMBER)	<p>1, 2, 3. HASCOG minutes.</p> <p>4. Training Records</p> <p>5. Team in place.</p> <p>6. FMG Meeting minutes.</p> <p>7. AMG meeting minutes.</p>	Director (D, P & PP)

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			<p>8. New compliance software system (NSHARE) in place.</p> <p><u>Planned:</u></p> <p>1. Implement actions from Internal Audit report.</p> <p>2. Fully implement new compliance software system (NSHARE).</p> <p>3. Corporate review of Health and Safety arrangements.</p> <p>4. Develop effective reporting and assurance for Management Team.</p>	<p>1&2: Head of Health and Safety and Environmental Health</p> <p>3&4: Director – (D, P & PP)</p>		<p>1. FMG Meeting minutes.</p> <p>2. I.T. system fully implemented.</p> <p>3. Report in place and recommendations implemented.</p> <p>4. Management Team reports and minutes.</p>	

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
R10	Failure to effectively manage the Council's finances	V. High / Serious (RED)	<p>1. Regular monitoring of budgets including Cabinet reporting.</p> <p>2. Adequate level of reserves held to manage fluctuations. Section 151 assurance statement on budget proposals.</p> <p>3. Nuneaton and Bedworth Community Enterprises Ltd (NABCEL).</p>	Management Team (all)	Low / Moderate (GREEN)	<p>1 & 6. Strategic Performance Management Report to Management Team / Cabinet / Full Council / Corporate Governance Group.</p> <p>2. Earmarked reserves maintained and kept under review / S151 Officer's annual Assurance Statement on reserves.</p> <p>3. NABCEL meeting minutes.</p>	Executive Directors / Section 151 Officer – Executive Director (Resources)

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			<p>4. Housing Revenue Account Business Plan.</p> <p>5. Updated Medium-Term Financial Plan.</p> <p>6. Strategic Risk Register maintenance and review.</p> <p>7. Financial and HRA risk assessments.</p> <p>8. Effective / robust internal and external audit.</p> <p>9. Quarterly reporting to Audit and Standards Committee.</p>			<p>4. Internal / External audit / annual Cabinet report.</p> <p>4 / 5. Cabinet / Full Council minutes.</p> <p>6. Document controlled Strategic Risk Register.</p> <p>7. HRA Business Plan and budget reports.</p> <p>8. Audit reports.</p> <p>9. Audit and Standards Committee reports.</p>	

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			<p>10. Financial and contract procedure rules.</p> <p>11. The Executive Director (Resources) is the President of the Society of District Treasurers and, through this role, has close liaison with various Government Departments in relation to future local government financial matters.</p> <p>12. Refresher budget holder training.</p> <p>13. Level of reserves reviewed as part of 2021/22 budget setting process.</p>	<p>11: Executive Director (Resources)</p> <p>12. Head of Financial Services</p> <p>13: Executive Director (Resources)</p>		<p>10. Internal / External audit reports.</p> <p>11. Meeting minutes.</p> <p>12. Training records.</p> <p>13. Cabinet report.</p>	

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			<p>14. Adherence to CIPFA Financial Management Code.</p> <p><u>Planned:</u></p> <p>1. Financial training for Elected Members following May elections.</p>	<p>14: Executive Director (Resources)</p> <p>1: Head of Financial Services.</p>		<p>14: Self-assessment document.</p> <p>1. Training records.</p>	

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
R11	Nuneaton and Bedworth Community Enterprises Ltd. (NABCEL) gives rise to unplanned liabilities	Significant / Serious (AMBER)	<p>1. NABCEL Board.</p> <p>2. Articles of Association adopted.</p> <p>3. Each new business activity for NABCEL is supported by a robust business case that must be approved by both the Council and the NABCEL Board.</p> <p>4. Appropriate and effective policies and procedures are in place and budgets are monitored regularly.</p> <p>5. Appropriate insurance cover in place.</p>	Head of Financial Services (unless otherwise stated)	Low / Moderate (GREEN)	<p>1. Board meeting papers & minutes.</p> <p>2. Articles of association</p> <p>3. Business cases / Cabinet minutes.</p> <p>4. Policies located in records management system and budget monitoring.</p> <p>5. Insurance certification.</p>	Executive Director (Operations) on behalf of Management Team

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			<p>6. External accounting support.</p> <p>7. Internal Audit.</p> <p>8. Shareholder agreement / committee.</p> <p>9. Shareholder board member training.</p> <p>10. Fixed term Managing Director in place.</p> <p>11. Three-year Business Strategy.</p> <p>12. Five-year Business Plan.</p>			<p>6. External Account reports.</p> <p>7. Internal Audit reports.</p> <p>8. Shareholder agreement record / minutes of Shareholder Committee meetings.</p> <p>9. Training records.</p> <p>10. Contract of employment and work plan.</p> <p>11. Strategy in place. Annual review completed.</p> <p>12. Business Plan in place. Annual review completed.</p>	

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			<p>13. Annual review of Business Strategy and Business plan.</p> <p><u>Planned:</u></p> <p>1. Review of senior management arrangements.</p>	<p>13. NABCEL Managing Director</p> <p>1. Director – (R&H)</p>		<p>13. Updated Strategy and Plan in place.</p> <p>1. Report completed and new structure implemented.</p>	

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
R12	<p>Safeguarding children and adults with care and support needs from abuse, neglect and harm</p> <p>NOTE: See also R20, Pandemic – services, social and economic implications</p>	Significant / Serious (AMBER)	<p>1. Safeguarding Policy and Guidance.</p> <p>2. Corporate safeguarding lead officer and single point of contact for Warwickshire Multi Agency Safeguarding Hub (MASH)</p> <p>3. NBBC Recruitment & selection procedure.</p> <p>4. Disclosure & Barring Service policy and checks (DBS).</p> <p>5. MASH) and Adult Social Care (ASC).</p>	<p>Audit and Governance Manager (unless stated).</p> <p>3: Director (CS &BI).</p>	Low / Serious (GREEN)	<p>1. Policy in place and raining records.</p> <p>2. Job description and person specification.</p> <p>3. Recruitment records.</p> <p>4. DBS check records.</p> <p>5. NBBC Website, safeguarding page.</p>	Executive Director (Resources)

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			<p>6. Safeguarding refresher training (every 3 years).</p> <p>7. Warwickshire Safeguarding Board best practice guidelines.</p> <p>8. Warwickshire Housing safeguarding lead officer.</p> <p>9. Multi Agency Protection Authority (MAPA)</p> <p><u>Planned:</u></p> <p>1. Analysis of financial data to better inform the funding decision made by the Portfolio Holder.</p>	<p>8. Strategic Housing Services Manager.</p> <p>9: Director (R&H).</p> <p>1. Audit and Governance Manager.</p>		<p>6. Training records ("DELTA").</p> <p>7. Minutes of meetings (quarterly)</p> <p>8. Correspondence / meeting minutes.</p> <p>9. Minutes of meetings.</p> <p>1. Balance Sheet and Income and Expenditure Account.</p>	

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			2. Update sharing agreement with MASH.	2. Audit and Governance Manager / Equalities and Safeguarding Officer		2. Revised agreement in place.	

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R14	Inadequate information management resulting in penalties applied by the Information Commissioner's Office / Non-compliance with General Data Protection Regulations (GDPR)	Very High/ Major (RED)	<p>1. Corporate Information Governance Group (CIGG) / Information Management Group.</p> <p>2. Use of an accredited contractor to dispose of electrical equipment (including IT equipment). The contractor guarantees data destruction & provides certification accordingly.</p> <p>3. Compliance with Public Services Network Code of Connection (PSN Co-Co).</p> <p>4. Senior Information Risk Owner (SIRO) and Deputy appointed.</p>	<p>1: Audit & Governance Manager</p> <p>2: Director (CS&BI).</p> <p>3: Director (CS&BI).</p> <p>4: Executive Director (Resources).</p>	Significant / Major (AMBER)	<p>1 and 2. Contractor agreement and meeting minutes</p> <p>3. Annual PSN Compliance Certification / "Cyber Essentials Scheme" certification (see also risk R16)</p> <p>4. SIRO's Job Description</p>	Executive Director (Resources)

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			<p>5. Information Governance Framework/ ICT Code of Conduct for Employees/Member Protocol for the Use of IT Resources.</p> <p>6. Appointment of Data Protection Officer (DPO) in line with Data Protection regulations.</p> <p>7. Information Management Group action plan.</p> <p>8. Data audit and publication of privacy notices.</p>	<p>5: Audit and Governance Manager.</p> <p>6: Audit and Governance Manager.</p> <p>7: DPO.</p> <p>8: Audit and Governance Manager.</p>		<p>5. Individual Cabinet Member Decision</p> <p>6. DPO in place.</p> <p>7. Highlight reports to CIGG.</p> <p>8. Audit records (records of processing activity)/notices on council website.</p>	

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			<p>9. External Audit undertaken (Information Security Advice Limited).</p> <p>10. Data Protection training available on Delta to be reviewed to ensure that it is up to date and appropriate</p> <p>11. Data breach monitoring report to be developed and monitored by the Corporate Governance Group</p>	<p>9: Audit and Governance Manager.</p> <p>10: DPO and Training Officer</p> <p>11. Audit and Governance Manager and DPO</p>		<p>9. Report in place.</p> <p>10. Delta training records.</p> <p>11. Monitoring report</p>	

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			<p><u>Planned:</u></p> <p>1. Data Protection policy to be updated</p> <p>2. Data Protection information to be made available to employees via the new Intranet</p> <p>3. Information asset register to be reviewed annually</p>	<p>1. DPO</p> <p>2: DPO</p> <p>3. Information asset owners</p>		<p>1. Policy approved.</p> <p>2. Intranet</p> <p>3. Asset registers</p>	

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R15	<p>Insufficient planning or resourcing of capital investment priorities</p> <p>NOTE: See also R4 (failure to maintain economic vibrancy of the borough / town centres)</p>	Significant / Serious (AMBER)	<p>1. Corporate Asset Management Team (CAMT)).</p> <p>2. Regular monitoring of capital projects.</p> <p>3. Asset Management Plan & Capital Strategy (5 years).</p> <p>4. Capital Programme Management meetings.</p> <p>5. Housing Revenue account (HRA) Business Plan (subject to regular review).</p>	<p>1: Executive Director (Operations)</p> <p>2: Executive Director (Resources), supported by CAMT.</p> <p>3: Executive Director (Operations).</p> <p>4 & 5: Director (R&H).</p>	Low / Moderate (GREEN)	<p>1. Minutes of CAMT meeting.</p> <p>2 & 5. Capital Programme Management meetings / Budget reports to management.</p> <p>3, 6 & 10. Cabinet reports.</p> <p>4. CAMT (reports to & minutes of meetings).</p> <p>5. Plan in place.</p>	Executive Directors and Director (R&H).

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			6. Medium Term Financial Plan.	6: Executive Director (Resources)		6. Plan in place.	
			7. Acquisitions and Disposal Programme.	7: Director (R&H))		7. Programme in place.	
			8. Internal audit programme.	8: Audit and Governance Manager		8. Audit reports.	
			9. Treasury Management Strategy and Prudential Indicators.	9 & 10: Executive Director (Resources)		9. Strategy in place / Council minutes.	
			10. Half yearly reports to Cabinet on Capital programme.			10. Cabinet reports.	
			11. WMCA funding for land remediation.	11. Head of Regeneration and Estates		11. Funding received.	

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			<p>12. "Future High Streets" funding agreed.</p> <p>13. "Town Centres" funding agreed.</p> <p><u>Planned:</u></p> <p>1. Revised HRA Asset Management Plan.</p> <p>2. Review and update Capital Strategy.</p>	<p>12: Head of Regeneration and Estates</p> <p>13: Director (R&H)</p> <p>1: Property Services Manager</p> <p>2: Executive Director (Resources)</p>		<p>12 & 13. Monitoring and evaluation returns and programme board minutes / CAMT reports / minutes.</p> <p>1. Plan in place.</p> <p>2. Document in place and adopted.</p>	

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R16	"Cyber" crime or attack	High/ Major (RED)	<ol style="list-style-type: none"> 1. Public Services Network (PSN) annual compliance certification. 2. Anti-virus, managed firewall, security patches and robust back-up procedure updated weekly. 3. Awareness training sessions held throughout the year (linked to "Nexus Comply" module). 4. Monthly e-communication from Cyber Crime Officer (WCC). 	<ol style="list-style-type: none"> 1: ICT Client Manager 2: ICT Client Manager 3 & 4: Director (CS&BI) 	Low / Major (AMBER)	<ol style="list-style-type: none"> 1 & 2. PSN certification in place 3. Training programme and attendance records. 4. Monthly e-communication. 	Director (CS& BI)

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			<p><u>Planned:</u></p> <p>1. "Cyber Essentials" certification to be re-instated in conjunction with the new Housing computer package.</p>	1. ICT Client Manager		1. Certificate in place.	

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R19	Disruption ensuing from "Brexit" process	Very High/ Major (RED)	<p>1. "Brexit" preparedness action plan.</p> <p>2. Local Resilience Forum (LRF).</p> <p>3. Regular updates to Senior Managers.</p> <p>4. Brexit support and advice for local businesses.</p> <p>5. Liaison with suppliers in relation to their resilience.</p> <p>6. Regional information briefing network.</p>	<p>1: Management Team</p> <p>2: Director (CS&BI)</p> <p>3: Director (D, P & PP)</p> <p>4: Director (R&H)</p> <p>5. Relevant Directors</p> <p>6: Executive Directors.</p>	Very High/ Moderate (AMBER)	<p>1. Action plan in Council's Records Management system.</p> <p>2. Minutes of LRF meetings.</p> <p>3. E-mail records.</p> <p>4. NBBC website.</p> <p>5. Supplier correspondence.</p> <p>6. Correspondence / minutes.</p>	Executive Directors on behalf of Management Team

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			<p>7. Brexit lead officer appointed.</p> <p>8. Communities information support on settled status.</p> <p>9. Staff trained on settled status.</p> <p>10. LA Preparation Brexit Fund - £50,000 to assist with helping business and others prepare for Brexit</p> <p>11. West Midlands and Warwickshire EU exit risk assessment – subject to regular review by Warwickshire LRF</p>	<p>7: Director (CS &BI)</p> <p>8: Communities Manager</p> <p>9: Communities Manager</p> <p>10. Executive Director (Resources)</p> <p>11. Director (CS &BI)</p>		<p>7. Officer in place.</p> <p>8. Event records.</p> <p>9. Training records.</p> <p>10. Budget records.</p> <p>11. Risk Assessment in place.</p>	

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			<p>12. Data Protection software application review.</p> <p><u>Planned:</u></p> <p>1. Discussions with the Growth Hub, CWLEP, Federation of Small Business (FSB) and Coventry and Warwickshire Chamber of Commerce (CWCC) to identify all business issues and support mechanisms.</p>	<p>12. Director (CS &BI)</p> <p>1: Economic Development Manager</p>		<p>12. Software application reviewed for Data Protection risks.</p> <p>1. Minutes of meetings and appropriate action plans.</p>	

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R20	Pandemic – service, social and economic implications	Very High/ Major (RED)	<p>1. Corporate Business Continuity Plan.</p> <p>2. Each Directorate has an effective Business Continuity Plan (BCP).</p> <p>3. Emergency Plan including regular training.</p> <p>4. Risk assessment in place to address and co-ordinate the safe delivery of (revised) services / working arrangements.</p>	<p>1: Executive Directors</p> <p>2: Executive Directors / Directors.</p> <p>3: Director (CS&BI).</p> <p>4. Head of Health and Safety</p>	Very High/ Major (RED)	<p>1. Plan in place.</p> <p>2: Plans in place.</p> <p>3. Plan in place / training records.</p> <p>4. Risk assessment in place.</p>	Executive Directors on behalf of Management Team

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			<p>5. Pandemic response and recovery:</p> <ul style="list-style-type: none"> • Warwickshire Recovery Advisory Group [WRAG] • Warwickshire Services Resilience and Recovery Group • West Midlands [including Warwickshire] Resilience and Recovery Group 	5 - 8: Executive Directors.		<p>5 & 6. Terms of reference / meeting minutes:</p> <p>Chief Executives and Council Leaders from WCC and Districts & Boroughs.</p> <p>Chief Executives from WCC and Districts & Boroughs.</p> <p>Chief Executives from Constituent / Non-Constituent LA members of WMCA and also senior “blue light” officers.</p>	

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			<p>6. Support for local businesses in the community:</p> <ul style="list-style-type: none"> • Coventry and Warwickshire Business Support • NBBC Business Support Partnership • West Midlands [including Warwickshire] Resilience and Recovery Group • Incident Management Team (IMT) 				

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			<p>7. Implement directives from Central Government, as required.</p> <p>8. Effective and timely communication systems (employees, Elected Members, public and media).</p> <p>9. Delivery of Government Coronavirus Business Grants.</p> <p>10. Delivery of Government funded Discretionary grants to small businesses.</p> <p>11. NBBC Pandemic recovery plan.</p>	<p>9 & 10: Director (R&H)</p> <p>11: Executive Directors</p>		<p>7. Regular completion of pro forma returns to Government.</p> <p>8. E-mail and public / media communications / bulletins.</p> <p>9. Payment records on Civica system.</p> <p>10. Applications and payment records on Civica system.</p> <p>11. Cabinet minutes.</p>	

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			<p><u>Planned:</u></p> <p>1. Update Emergency / Business Continuity Plans.</p> <p>2. Initiatives to spend “welcome back” funding.</p>	<p>1. Executive Directors / Directors</p> <p>2: Town Centres and Marketing Manager</p>		<p>1. Plans in place.</p> <p>2. spend allocations.</p>	

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
R21	Noncompliance with s10(1) of the Freedom of Information Act 2000 – Failure to respond within the prescribed time limit	Very high/Mode rate (AMBER)	<p>1.Monthly FOI reports to senior managers.</p> <p>2.Dash Customer Service Workflow application used to manage outstanding cases.</p> <p>3.Email alerts on receipt of new requests.</p> <p>4.Nominated officers in some service areas to monitor outstanding requests.</p> <p>5. External Audit undertaken (Information Security Advice Limited).</p>	<p>1: Senior Managers</p> <p>2: Director (CS&BI)</p> <p>3: Director (CS&BI)</p> <p>4: Executive Directors/ Directors</p> <p>5: Audit and Governance Manager</p>	Very high/Mode rate (AMBER)	<p>1.Reports.</p> <p>2.Dash application.</p> <p>3.Emails.</p> <p>4.Nominated Officers.</p> <p>5.Report in place.</p>	Executive Directors on behalf of Management Team

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			<p>6.All aged outstanding requests regularly reviewed.</p> <p>7.Workflow process regularly reviewed and updated if necessary.</p> <p>8. Regular targeted training on meeting FOI request deadlines.</p> <p><u>Planned</u></p> <p>1.Consider feasibility of having a dedicated employee to monitor and manage FOI requests.</p>	6-8: Information Management Group (IMG)		<p>6.Outstanding request reports</p> <p>7.Outstanding request reports</p> <p>8.Training records</p> <p>1.Outstanding request reports</p>	

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
R22	Failure to deliver sub-regional recycling facility in partnership with other authorities	Low / Very High (GREEN)	<p>1. "Arm's length" company (Shelbourne Resources Ltd.) in place with Executive Director (Operations) on the board.</p> <p>2.Experienced consultants as part of project delivery team (accountant, solicitor, Civil Servants and Quantity Surveyor).</p> <p>3.Detailed Business Case with stress-testing of assumptions (assessed and approved by partner authority Section 151 officer).</p> <p>4.Experienced and competent project management team appointed.</p>	1-4: Executive Director (Operations)	Low / Very High (GREEN)	<p>1.Memoranda and articles (Company House).</p> <p>2. Project management team in place / project records.</p> <p>3.Business Case in place / Council reports.</p> <p>4. Project management team in place / project records.</p>	Executive Director (Operations)

<u>Risk Ref</u>	<u>Risk Description</u>	<u>Gross Risk</u>	<u>Mitigation Control Existing / Ongoing</u>	<u>Mitigation Owner</u>	<u>Net Risk / STATUS</u>	<u>Sources of Assurance</u>	<u>Risk Owner</u>
			5.Elected Member Shareholder panel established to oversee project plan.	5: Cabinet member for Central Services and Refuse		5.Panel reports and minutes.	