

## Corporate Risk Register – March 2021

1	2	3	4	5	6	7	8	9	10
No	Risk	Background	Likelihood/impact Risk not managed = <b>Original Risk Score</b> (see 3x3 matrix)	Approach Tolerate Transfer Terminate Treat	Current Internal Controls and Mitigation	Likelihood/impact Mitigating internal controls in place = <b>Current Risk Score</b> (see 3x3 matrix)	Action Required Y/N	Target Risk (likelihood/ impact)	Who
<b>CORPORATE LEADERSHIP</b>									
1	Failure to respond to the coronavirus pandemic.	There is a risk that infection rates, deaths and other social and economic impacts of the pandemic are worse in the LRF area, Worcestershire or Wychavon than elsewhere if the Council's response is lacking.	<b>High / Critical Score 9</b>	Treat	The Council is part of the West Mercia Local Resilience Forum response dealing with a wide range of issues. In addition, the Council has been providing support to our communities and businesses such as through the business grant scheme. So far, the Council has adequately resourced and prioritised its responses.	<b>Low / Critical Score 6</b>	Y Continue to resource and prioritise its response to the pandemic	<b>6</b>	<b>SMT</b>
2	Failure to ensure recovery following the coronavirus pandemic.	The Council will be key to the recovery of its communities and economy and will also need to recover as an organisation to be able to do this effectively.	<b>High / Critical Score 9</b>	Treat	The Council has developed and is working to a Recovery Plan which sets out a range of actions under each of the following four pillars: our communities and the local economy; resetting the business of the Council; recovery of the organisation; and councillors and democracy. The Council has committed to revising the recovery plan which will be within the next 2-3 months.	<b>Medium / Critical Score 8</b>	Y Ensure Recovery Plan is finalised, communicated, resourced and prioritised and that actions are monitored by the Executive Board	<b>6</b>	<b>SMT</b>

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<b>3</b>	Failure to clearly implement our vision, aim, priorities and promises.	There is a risk of failure to respond to changes and to recognise external influences, such as the potential economic and political implications of the UK leaving the EU, changes in legislation e.g. resulting from the National Resources and Waste Strategy review and now the coronavirus pandemic (see above). Potential for lack of purpose, direction, and adverse external audit reports.	<b>High / Critical Score 9</b>	Treat	<p>The Council's Strategy and Promises have been reviewed in light of the coronavirus pandemic. Timescales have been re-examined for 6 of the promises and 4 new promises have been proposed.</p> <p>The Council will continue with other controls such as effective performance management, awareness of outside drivers, contribution to consultation drafts etc., use of reserves as necessary.</p>	<b>Low / Critical Score 6</b>	Y Continue to monitor events closely and maintain strong financial position.	<b>Low / Critical Score 6</b>	<b>SMT</b>
<b>MANAGEMENT OF THE COUNCIL'S FINANCES</b>									

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4	Failure to sustain a robust on-going 5-year financial strategy, including the effective management of changes to the Business Rates system.	Financial stability underpins all we do. Following the coronavirus pandemic, the Government has now announced a further delay to the changes to local government financing until April 2022. Consequently, longer term financial planning remains difficult and our new Grow Save Charge Plan may need to be delayed further.	<b>High / Critical Score 9</b>	Treat	<p>The Grow Save Charge plan has been agreed as a response to the reduction in Government Grant. This is supported by political and managerial awareness of the risks, cautious approach to budgeting and robust systems of financial control.</p> <p>The Council's financial position remains strong despite the likely impact of coronavirus on our income streams. Furthermore, we are not relying too heavily on sources of income which may not be sustainable, such as New Homes Bonus.</p> <p>We have remained in the Worcestershire Business Rates Pool to capture more of the benefits from business rates growth and the Pilot for 75% Business Rates Retention in 2020/21 has been successful with significant resources retained by Worcestershire councils.</p>	<b>Medium / Critical Score 8</b>	Y Continue to forecast over the medium term on a prudent basis. Consider an interim Grow, Save, Charge plan until future funding arrangements are confirmed.	<b>Low / Critical Score 6</b>	<b>VA</b>

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5	Failure to operate a successful Treasury Management investment process.	Potential impact on financial stability. To safely invest and maximise investment income, while taking account of the risks in the banking sector, e.g. the coronavirus pandemic and the impact of the UK leaving the EU.	<b>High / Significant Score 7</b>	Treat	Maintain up to date Treasury Management Strategy, policy and procedures. Monitoring via Audit Committee. Engagement with Link Asset Management as external advisors. An update has been approved by Executive Board and Audit Committee which is based on a revised Treasury Management Strategy which addresses risks associated with the coronavirus pandemic.	<b>Medium / Significant Score 5</b>	Y Continue to monitor the external environment carefully, particularly during economic uncertainty associated with coronavirus pandemic and the UK leaving the EU.	<b>Low / Significant Score 3</b>	VA
6	Failure to ensure the effective management of the Revenues & Benefits services.	Civica Ltd administers the collection of Council Tax and Business Rates, the payment of Housing Benefits and administration of the Council Tax Reduction scheme on behalf of Wychavon District Council. The coronavirus pandemic is leading to a significant increase in demand for revenues and benefits services.	<b>High / Significant Score 7</b>	Treat	Partnership agreement in place. Contract performance monitored monthly by the shared service Management Board. Annual risk-based audits to review and provide assurance on the management of the service. Quality Assessor post within the Internal Audit team continuing to review the accuracy of Housing Benefit and Council Tax Reduction claims.	<b>Medium / Significant Score 5</b>	Y Continue to monitor performance. Officers need to consider the implications of contract expiry in advance of October 2023.	<b>Low / Significant Score 3</b>	VA

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<b>SERVICE DELIVERY</b>									
7	<p>Failure to adopt the SWDP Review and meet the required timescales in accordance with the Local Development Scheme.</p> <p>Failure may lead to financial loss, reputational damage, speculative applications and adverse appeal decisions.</p>	<p>To manage the planning risk of unregulated development and to identify costs associated with plan preparation and the defending of appeals. To maintain an adequate 5-year land supply and properly dealing with the expansion of the Worcester City boundary. Potential delays to the SWDP Review process as a result of the coronavirus pandemic. Failure or delays may mean we don't maintain a 5 year land supply and therefore will be exposed to unwanted speculative planning applications.</p>	<b>High / Significant Score 7</b>	Treat	<p>SWDP adopted by the 3 partnering Councils in February 2016. Delivery of major housing development sites underway. Joint Advisory Panel charged with the progression of the Plan, and will have updated terms of reference.</p> <p>CIL adopted following consultation charging schedule kept under annual review. Review of the SWDP commenced.</p> <p>SWDP Issues and Options consultation commenced in 2018 in accordance with the Local Development Scheme. Still expected to submit the draft Plan in 2020. The team responsible for producing the review of the SWDP Development Team is fully resourced and there has been an internal promotion to reflect the complexity of the workload. It should be noted that the Head of Planning Policy has signalled their intention to retire in October 2021 and this post will be recruited to in advance to secure a handover period. All three SWCs approved a revised timetable for the SWDPR which includes a delay of 12 months. Work is on track against this revised timetable.</p>	<b>Medium / Significant Score 5</b>	Y	<b>Low / Significant Score 3</b>	<b>HJ</b>

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8	Failure to respond effectively in the event of a major civil emergency.	The potential loss of key buildings. Effect on essential services and welfare of public throughout the district. To play our part in the strategic coordination of resilience in the event of an emergency at both local and regional level e.g. floods, storms, pandemic, terrorist incident, widespread loss of utilities, cyber attacks.	<b>Medium / Critical Score 8</b>	Treat	Emergency Plan (2017) Business Continuity Plan (2017). Multi Agency Action Plan (MAAP). Rest Centre policies and procedures, including regular exercises and training. Learning from current and past experiences and various exercises. Revised SLA with Worcestershire County Council, who provide us with strategic emergency planning guidance on the recovery plan, signed and in place. Additional resilience with joint working with Malvern Hills District Council. The Council has now given notice on the above SLA and are looking at resources across both MHDC and WDC to ensure resilience. There will undoubtedly be reviews of responses to the current coronavirus pandemic and these will provide further learning opportunities. 3 additional members of SMT are now trained in emergency planning.	<b>Medium / Significant Score 5</b>	Y  Continue to monitor and assess level of preparedness under the new joint management structure.	<b>Low / Significant Score 3</b>	<b>SG</b>

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MANAGEMENT OF DATA									
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<b>9</b>	Failure to ensure the continuous availability of critical IT systems.	Potential effect on all services. To particularly address risks associated with complex ICT systems supported by a shared resource.	<b>High / Critical Score 9</b>	Treat	Continuous review of Business Continuity plans for the ICT Shared Service to ensure availability of IT systems. Annual work programme addressing critical areas to ensure resilience. Resilience and security arrangements have been a priority.	<b>Medium / Critical Score 8</b>	Y On-going review of the Business Continuity/ Disaster Recovery arrangements. Investigate and implement cloud based Disaster Recovery.	<b>Low / Critical Score 6</b>	<b>VA</b>

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<b>10</b>	Failure to respond effectively to cyber attack.	To reduce the potential for damage from a cyber attack and to allow swift restoration of ICT systems.	<b>High / Critical Score 9</b>	Treat	<p>Security controls in place and continuously reviewed internally and externally (LGA / MHCLG).                      ICT security engineer in post focused on ICT and data security.                      ICT business continuity and disaster recovery plans continually reviewed and tested.                      Critical ICT vulnerabilities patched within 14 days of release.                      Data backups stored off site.                      Staff and Councillor Cyber Security awareness training.                      Regular Security bulletins to staff and Councillor.                      NCSC active cyber defence utilised.                      Constant review of threats by security engineer from sources at NCSC, LRF Cyberhub, West Midlands WARP network and CISP.                      Regular simulated phishing exercises linked with staff awareness training.</p>	<b>Medium / Critical Score 9</b>	Y	<p>Implement recommendations of MHCLG security report.                      Review of backups to ensure immutability.                      Maintenance of Government Cyber-Essentials accreditation.</p>	<b>Low / Critical Score 6</b>	<b>VA</b>
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11	Failure to ensure compliance with the General Data Protection Regulation 2018 (GDPR).	GDPR regulations implemented in May 2018. Note there has been some relaxation on the part of the Information Commissioner's Office in respect of data sharing necessary to respond to the coronavirus pandemic. Increased risk of inadvertent data breach due to remote working.	<b>Medium / Significant Score 5</b>	Treat	<p>ICT and data security/ data protection policies in place. Employees responsible for the adequacy of data security arrangements.</p> <p>Mandatory data security e-learning completed by all staff. Data Protection Officer appointed.</p> <p>Processes devised to ensure continued compliance with GDPR moving forwards (e.g. gaining consent, privacy policy agreements, etc.)</p> <p>Legal advice relating to GDPR and practical advice on its implementation provided. Information asset audit complete.</p> <p>All teams reviewed retentions schedules and confirmed working towards compliance. Cyber Essential accreditation in place to complement PCI and PSN compliance. Final internal documents relating to GDPR live on intranet. Joint review of retention schedules has now taken place.</p>	<b>Low / Significant Score 5</b>	N	<b>Low / Significant Score 3</b>	VA

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12	Failure to maintain effective control over the quality of reported data	Decision making might be based on inaccurate, irrelevant and unreliable information	<b>Medium / Significant Score 5</b>	Treat	Managerial responsibility for quality of internal control mechanisms. Ownership of budgets. Validation, monitoring and reporting procedures. Annual review of the performance management system by Internal Audit.	<b>Low / Significant Score 3</b>	N	<b>Low / Significant Score 3</b>	VA
<b>SHARED SERVICE AND PARTNERSHIP ARRANGEMENTS</b>									
13	Failure to manage a major failure of a significant Council contractor, including any significant related industrial relations issues.	New risks related to the coronavirus pandemic and the impact on many businesses. Potential loss of service delivery, which could negatively impact on Council reputation. Examples include the Revenues & Benefits strategic partnership with Civica, Wychavon Leisure, waste, recycling and street cleansing, grounds maintenance and public toilet cleaning contracts	<b>High / Critical Score 9</b>	Treat	The Council's practices have been reviewed and are considered to be robust. Good contract and people management, effective contract team, use of shared procurement expertise, more frequent credit checks (including parent companies), requirement for bonds where appropriate. Good governance arrangements in place, with a Revenues and Benefits Management Board. Close working with other contractors, to ensure up to date information regarding industrial relations issues. Board representation on Wychavon Leisure. Ensuring due diligence is undertaken for new contractors, including financial checks, etc., as well as regular on-going checks for existing contractors. Due to the impact of pandemic financial support has been	<b>Medium / Critical Score 8</b>	Y Additional checking will be required given higher risks of business failure related to the coronavirus pandemic. Need to work closely with Wychavon Leisure to ensure recovery plan in place for the re-opening of the Council's leisure centres.	<b>Low / Critical Score 6</b>	SMT

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					agreed with Wychavon Leisure and the recovery of the centres is to be monitored by the Council on a regular basis				
14	Failure to monitor/ manage where applicable all shared services and joint working arrangements.	Revs and Bens, Regulatory Services, Internal Audit, Building Consultancy, ICT, Human Resources and others. To ensure that acceptable service standards are achieved and that demands and workloads are managed effectively, so that financial savings are realised from the projects.	<b>High / Significant Score 7</b>	Treat	Project Boards / Project Groups to deal with implementation issues. Legal agreements in place. Performance monitoring. Use of business process reengineering and careful monitoring of IT risks. Performance of Revs & Bens partnership remains good. Continued monitoring of the planning shared service needed to ensure full benefit realisation.	<b>Low / Significant Score 3</b>	N	<b>Low / Significant Score 3</b>	<b>SMT</b>

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<b>HEALTH AND SAFETY</b>									
<b>15</b>	<p>Failure to manage the health, safety and welfare of staff, contractors and the public.</p>	<p>To manage the risk to safety of staff, contractors and the public. To ensure driver safety and awareness. Potential reputational risk as a responsible employer. Possible involvement in legal action.</p> <p>New risk associated with keeping staff, contractors and the public safe during the coronavirus pandemic.</p>	<p><b>Medium / Significant Score 5</b></p>	Treat	<p>Safe working environment, policies and procedures, e.g. Fire Safety policy, Travel at Work policy, Safe Driving at Work policy, IIP and a new staff appraisal system. Steps taken to mitigate against the risk of staff contracting coronavirus. Revised sickness absence policy, health and other wellbeing initiatives. Awareness of appropriate legislation e.g. Corporate Manslaughter Act, Equalities Act. The Council is following guidance regarding social distancing and is keeping in touch with staff working from home to ensure their good health and wellbeing. Surveys and support activities have been rolled out to ensure that staff wellbeing is supported.</p>	<p><b>Low / Significant Score 3</b></p>	N	<p><b>Low / Significant Score 3</b></p>	<b>SMT</b>

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<b>CORPORATE GOVERNANCE</b>									
<b>16</b>	Failure to maintain effective Corporate Governance arrangements.	<p>To maintain effective Member standards and Council Constitution. To ensure that there is on-going review and self assessment of the effectiveness of governance arrangements within the Council.</p> <p>Potential for increased fraud, financial impropriety or improper business practices within the sector in the current economic climate as resources become stretched, resulting in reputational damage for the authority.</p> <p>Inability to maintain effective governance arrangements.</p> <p>Need to ensure decision making structures continue to operate in the current coronavirus pandemic.</p>	<b>Medium / Critical Score 8</b>	Treat	<p>Annual governance self assessment review by both Service Managers and SMT. Audit Committee terms of reference include consideration of external reviews, such as those from the Council's external auditors EY. Appropriate committee monitoring.</p> <p>To continue to raise awareness of the risk of fraud and the implications of the Bribery Act 2010.</p> <p>Policy on Anti-Fraud &amp; Corruption and Money Laundering has been formally adopted.</p> <p>Proactive work of internal audit teams. Continued review and promotion of policies, e.g. Financial Regulations, Employee Codes of Conduct, etc. within the organisation.</p> <p>Virtual meetings are taking place during the coronavirus pandemic and a key objective of the draft Recovery Plan is to ensure an orderly return to normal decision making structures.</p> <p>Elections team now maintain a full risk register in relation to elections being carried out during pandemic</p>	<b>Low / Critical Score 6</b>	N	<b>Low / Critical Score 6</b>	<b>VA</b>

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17	Council and / or contractors fails to adhere to meet safeguarding obligations as set out in legislation such as Children Act 2004 section 11	Local Authority staff and contractors need to be aware of and act upon the Wychavon Safeguarding Children and Vulnerable Adults policy. Lessons learnt from high profile cases, e.g. Rotherham, Oxfordshire.	<b>Medium / Significant Score 5</b>	Treat	<p>Joint Safeguarding Policy for MHDC and WDC with a lead Joint Safeguarding Officer. Named Safeguarding Support officers identified Reviewed annually).</p> <p>Joint awareness training of safeguarding policy to be delivered and kept up to date for Wychavon staff and key contractors, in particular Wychavon Leisure.</p> <p>Staff briefings delivered on safeguarding and child sexual exploitation.</p> <p>Safeguarding training audit carried out and targeted training provided.</p> <p>Adoption of the Worcestershire Child Sexual Exploitation action plan.</p> <p>Training on safeguarding to be completed by all Members.</p> <p>Discussions with Worcestershire County Council regarding the Alternative Delivery Model for delivery of Children's Services.</p> <p>Currently no volunteers working directly on behalf of the District Council in relation to the response to the coronavirus pandemic.</p>	<b>Low / Significant Score 3</b>	N	<b>Low / Significant Score 3</b>	<b>SG</b>

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1	2	3	4	5	6	7	8	9	10
<b>MANAGEMENT OF COUNCIL'S ASSETS</b>									
18	Failure to maintain Council owned assets and buildings.	To manage the health and safety risks of customers and staff and to ensure budgets are managed effectively to maintain assets to a satisfactory standard. To consider and manage the risk of redundant properties.	<b>Medium / Significant Score 5</b>	Treat	Effective budget monitoring, sound management of assets/ buildings including a planned maintenance approach. Risk assessments and regular health and safety inspections. Additional social distancing and other measures introduced as a result of the coronavirus pandemic.	<b>Low / Significant Score 3</b>	N	<b>Low / Significant Score 3</b>	VA
19	Failing to properly address all risks associated with new property developments and investments which involve the Council.	Developments include Vale Park, railway station car park projects, housing projects and sports projects including the provision of 3G sports pitches. The Council has created a strategic land investment fund to allow officers to purchase land for investment purposes.	<b>High / Significant Score 7</b>	Treat	Appropriate input from the Council's legal, property and finance teams, alongside brought-in specialist advice as necessary. Property Services and Legal Services teams are fully staffed, and extra resources have been provided.	<b>Medium / Significant Score 5</b>	Y Introduce further due diligence measures following the coronavirus pandemic.	<b>Low / Significant Score 3</b>	VA