

Wychavon District Council Corporate Risk Register – 2024/25

REF	RISK	ORIGINAL RISK SCORE	EXISTING CONTROLS & MITIGATING ACTIONS	RESIDUAL RISK SCORE	RISK OWNER
1	Failure to clearly implement our vision, aim, priorities and promises.	9	<p>Annual review and update of the four year strategy and promises document. New strategy and plan launched for 2024-2028 with engagement from all members and informed by the residents survey</p> <p>Performance Management Framework in place with all service plans clearly contributing to the achievement of the council's overall vision, priorities and promises.</p> <p>Promise delivery plans in place from 2024 to clearly identify responsible officer and timeline.</p> <p>The Signals of Success report provides for quarterly monitoring and formal reporting to members of delivery against all plans</p> <p>Overview & Scrutiny considers performance reporting on a quarterly basis.</p> <p>Annual Residents' Survey undertaken to ensure public feedback and engagement enables residents to influence member and council policy decision.</p> <p>Intelligently Green Plan overview by the Natural Capital Panel on a regular basis</p>	3	Chief Executive

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2	<p>Failure to sustain a robust on-going 5-year financial strategy, including the impact of Government grant funding changes, increases in inflation and the demands on services from residents and communities who are affected by the cost of living crisis</p>	9	<p>Robust Medium Term Financial Plan covering 5-year period in place and reviewed on an annual basis</p> <p>Budget Scrutiny Group in place to carry out a detailed review of the budget considerations prior to Council</p> <p>Balances in place to support the 5 year plan</p> <p>Annual review of reserves to ensure they are being utilised effectively</p> <p>Use Pixel Advisory Service to model impact of Government funding decisions.</p> <p>Monthly monitoring of business rates and Council Tax income and appeals using independent experts to advise on appeals.</p> <p>Monthly monitoring and forecasting undertaken with heads of service and quarterly report sent to all members</p> <p>We have remained in the Worcestershire Business Rates Pool to capture more of the benefits from business rates growth.</p> <p>Budget setting meetings with Heads of Service/ Directors, Deputy Chief Exec, Head of Finance, Resources & Investment Portfolio Holder held as part of annual budget setting process.</p>	3	Deputy Chief Executive
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3	Failure to operate a successful Treasury Management investment process.	7	<p>Maintain up to date Treasury Management Strategy, policy and procedures. Monitoring via Audit Committee.</p> <p>Engagement with Link Asset Management as external advisors. Appropriately qualified staff to undertake role who regularly attend technical update training sessions</p>	3	Deputy Chief Executive
4	Failure of contract procurement, including jointly with others, and contract management arrangements to deliver service outcomes safely and effectively, leading to service failure, financial loss and reputational damage.	7	<p>Procurement strategy and procedures in place.</p> <p>Dedicated Procurement Manager to provide expert support to staff in letting and re-letting of contracts. The manager updates contract officers on changes to legislation regularly</p> <p>Effective contract and performance management/monitoring against defined outcomes</p> <p>Dedicated contract management arrangements in place for all major service contractors, including review meetings.</p> <p>Use of portal for all procurement activities.</p> <p>Reminders issued to Heads of Service around procurement rules.</p>	3	Deputy Chief Executive
5	Failure to adopt the SWDP Review and meet the required timescales in accordance with the LDS leading to financial loss, reputational damage, speculative applications, and	7	<p>SWDP adopted by the 3 partnering Councils in February 2016.</p> <p>Joint Advisory Panel has oversight of the progression of the Plan and All Member Briefings are held.</p> <p>CIL adopted following consultation charging schedule kept under annual review.</p> <p>Following initial inspection further work being undertaken prior to resubmission expected to take until September 2024.</p>	5	Director of Planning & Infrastructure

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	adverse appeal decisions.		<p>Post of Head of Development Planning being recruited to support the delivery of strategic sites</p> <p>Regular review of project budget and resources to progress the SWDP review in accordance with LDS timetable.</p> <p>Full review of CIL charging schedule to follow after examination of the SWDPR.</p>		
6	Failure to respond effectively in the event of a major civil emergency. e.g. flood, fire, pandemic, terrorism, resulting in loss of life, amenities, buildings or infrastructure leading to significant financial loss and reputational damage.	8	<p>Emergency Plan in place with partners and routinely tested.</p> <p>Cross boundary support during a gold command type major incident agreed</p> <p>Formal training provided to all relevant staff jointly across Wychavon and Malvern Hills (through joint SMT) on Councils' response to major civil emergency, including 3 members of SMT who are now trained in emergency planning.</p> <p>Zurich Municipal review of emergency planning, with a focus on cyber security / loss of IT, was undertaken in May 2022 across both councils, with the resulting action plan being implemented as appropriate.</p> <p>Contact details for emergency officers updated regularly and available to all officers</p> <p>Implementing the use of a range of ICT hosting methods to achieve a mixed estate of locally and cloud hosted systems.</p>	6	Chief Executive

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7	<p>Failure of Business Continuity Plan to respond effectively in the event of a major civil emergency, resulting in service failure and leading to financial loss and reputational damage.</p>	9	<p>Business Continuity Plans in place and regularly reviewed</p> <p>Disaster Recovery Plan in place</p> <p>Out of Hours duty rota in place</p> <p>Risk based insurance, fire and safety procedures in place.</p> <p>Business Continuity training and table top exercises on emergency situations with annual testing carried out annually, jointly with Malvern.</p> <p>Formal training provided to all relevant staff jointly across Wychavon and Malvern Hills (through joint SMT).</p> <p>New climate change adaptation plan in development, with project plan in place and initial engagement with Heads of Service underway.</p>	3	Deputy Chief Executive
8	<p>Failure to respond effectively to cyber-attack.</p>	9	<p>Continuous review of Business Continuity Plans for the ICT Shared Service to ensure availability of IT systems.</p> <p>Disaster Recovery Plan in place</p> <p>Cyber security team resourced to implement additional security processes</p> <p>Annual work programme addressing critical areas to ensure resilience.</p> <p>Data back ups stored off site.</p> <p>Mandatory cyber awareness training for all staff and councillors updated regularly and regular ICT security bulletins</p> <p>New external firewall in place to improve security.</p> <p>Regular phishing exercises linked with staff awareness training</p> <p>Security controls in place and continuously reviewed internally and externally (LGA-/DLUHC), with additional controls in train for implementation.</p> <p>Critical ICT vulnerabilities patched within 14 days of release.</p> <p>NCSC active cyber defence utilised.</p> <p>Constant review of threats by security engineer from sources at NCSC, LRP, Cyberhub, West Midlands WARP network and CISP.</p> <p>Training session provided to all Heads of Service and SMT by Zurich Municipal focusing on cyber security and loss of IT.</p>	7	Head of IT & Cyber Security

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			<p>Implementing the use of a range of ICT hosting methods to achieve a mixed estate of locally and loud hosted systems.</p> <p>Further mitigations required to reduce likelihood to low:</p> <ul style="list-style-type: none"> • Implement and test incident response plan • Automation in place to act on security alerts and reduce impact of security incident outside of normal working hours. 		
9	<p>Failure to ensure compliance with the General Data Protection Regulations (GDPR) through lack of availability, control and access to critical data and records, leading to potential enforcement action and service failure, resulting in significant reputational damage and financial loss.</p>	7	<p>Comprehensive ICT and data protection policies in place.</p> <p>All staff have completed mandatory data security e-learning. New, additional GDPR elearning module was mandatory for all staff to complete. Ongoing completion of additional mandatory elearning modules required of staff periodically.</p> <p>Appointed Data Protection Officer, in compliance with GDPR.</p> <p>Processes in place to ensure continued ongoing compliance with GDPR (eg gaining consent, privacy policy agreements etc).</p> <p>Information asset audit, to ensure compliance with GDPR, complete.</p> <p>Final internal documents relating to GDPR live on intranet.</p> <p>Joint review of retention schedule has now taken place.</p>	5	<p>Director of Legal & Governance</p>
10	<p>Failure to manage a major failure of a significant Council contractor, including any significant related industrial relations issues.</p>	8	<p>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.</p> <p>Close working with other contractors, to ensure up to date information regarding industrial relations issues. Board representation on Wychavon Leisure.</p> <p>Ensuring due diligence is undertaken for new contractors, including financial checks, etc., as well as regular on-going checks for existing contractors.</p>	3	<p>SMT</p>

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			Regular senior level engagement with FCC to identify, assess and manage any risks arising from future service change.		
11	Joint working arrangements fail, leading to poor service delivery, inability to deliver statutory duties, inefficiency and failure to deliver strategic objectives, resulting in financial loss and reputational damage.	7	<p>SLA/ legal agreements in place, including financial arrangements,</p> <p>Lines of responsibilities and delegations in place</p> <p>Joint Service Plans in place for all shared services.</p> <p>Good governance arrangements in place for shared services.</p>	3	SMT
12	Failure to manage the health, safety and welfare of staff, contractors and the public.	8	<p>Health and safety policies and procedures are in place, shared with and observed by staff (e.g. fire safety, safe driving at work).</p> <p>Staff receive health & safety information and training appropriate to their roles, refreshed and updated as needed.</p> <p>Risk assessments are conducted, actioned, shared with relevant staff, and reviewed as necessary.</p> <p>Accident, incident and near miss reporting is in place, reports reviewed and follow up action taken as appropriate.</p> <p>Health and safety group in place, and meet bi-monthly to discuss issues and prescribe appropriate action.</p> <p>Systems are in place for statutory inspections, checks and maintenance to ensure safety of buildings, plant & equipment (e.g. fire alarm servicing, gas & electrical installation inspections, routine safety and compliance checks).</p> <p>Safe contractor management - RAMS are requested and scrutinised, site inductions take place, evidence of competence requested where appropriate.</p>	3	Deputy Chief Executive/ SMT

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13	Failure to maintain effective Corporate Governance arrangements.	8	<p>Member standards in place</p> <p>Revised Constitution in place.</p> <p>Member training provided, including induction for new members.</p> <p>Audit & Standards Committee includes independent member</p> <p>Reviews undertaken by Internal and External Audit.</p> <p>Anti fraud and corruption policy, whistleblowing policy all in place.</p> <p>Creditor/Debtor matching process for NFI.</p> <p>Performance Management Framework, integrated with Risk Management and Data Quality, in place and reviewed regularly at officer and SMT level.</p> <p>Ongoing monthly budget monitoring meetings and quarterly reports to members Independence from MHDC with separate Deputy Chief Executives.</p> <p>Annual Governance Statement compliant with the CIPFA recommendations in 'Delivering Good Governance in Local Government Framework'. LGA Peer Review undertaken.</p>	3	Director of Legal & Governance
14	Council and / or contractors fails to adhere to meet safeguarding obligations as set out in legislation such as Children Act 2004 section 11	7	<p>Joint Safeguarding Policy for MHDC and WDC with a lead Joint Safeguarding Officer for each Authority now in place.</p> <p>Safeguarding Lead for WDC regularly attends County Council Safeguarding Network.</p> <p>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, modern slavery, trafficking and self-neglect.</p>	3	Director of Communities & Housing

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			<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>		
15	Failure to maintain Council owned assets and buildings	7	<p>Effective budget monitoring, sound management of assets/ buildings including a planned maintenance approach. Risk assessments and regular health and safety inspections.</p> <p>Asset management plan being developed</p>	3	Deputy Chief Executive
16	Failing to properly address all risks associated with new property developments and investments which involve the Council.	7	<p>Appropriate input from the Council's legal, property and finance teams, alongside brought-in specialist advice as necessary.</p> <p>New Head of Service recruited and starting in April</p>	3	Deputy Chief Executive
17	Failure to manage staff welfare and morale, leading to high turnover, failure to recruit to key posts, including at Director level, poor service delivery and financial loss	8	<p>Safe working environment.</p> <p>Updated joint HR policies and procedures.</p> <p>Regular communication and briefings to keep staff informed and connection days arranged on a regular basis</p> <p>Staff survey undertaken bi-annually with subsequent action plans put in place to address issues raised</p> <p>Health & Wellbeing champions & Health and Wellbeing Officer in place.</p> <p>Staff Engagement Team (SET) under review for a relaunch</p> <p>Agile working strategy.</p> <p>Active programme of staff learning and development</p>	3	Deputy Chief Executive

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			<p>Workforce and succession previews, targeted recruitment for critical posts. Quarterly HR Stats reviewed by SMT.</p> <p>Employee Benefits Programme.</p> <p>Employee Assistance Programme and review of quarterly usage reports</p> <p>Monthly meetings with UNISON</p> <p>Review of exit interview data</p>		
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RISK ASSESSMENT MATRIX

LIKELIHOOD OF OCCURENCE	HIGH	4	7	9
	MEDIUM	2	5	8
	LOW	1	3	6
		NOTICEABLE	SIGNIFICANT	CRITICAL
		IMPACT		