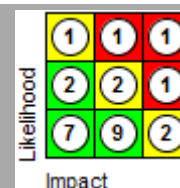






Corporate Risk Management Report



Corporate Risk Register



	Risk Code	Risk Title	Current Risk Score	Trend Indicator
	CRK-002	City Plan Priorities - Resources	5	
	CRK-003	Cultural Change	3	
	CRK-004	Development Plan	9	
	CRK-005	Local Government Funding	7	
	CRK-006	Investment Portfolio	3	
	CRK-007	Business Rates Local Retention	4	
	CRK-008	Civil Emergency	3	
	CRK-011	ICT Security	8	
	CRK-012	ICT Systems Infrastructure	6	
	CRK-014	Shared Services	3	
	CRK-016	Health and Safety	6	
	CRK-017	Safeguarding	5	
	CRK-018	*COVID-19* Asset Maintenance	3	
	CRK-020	*COVID-19* Well-being of workforce	2	
	CRK-021	*COVID-19* Loss of income	2	
	CRK-023	*COVID-19* Contractor insolvency	1	
	CRK-025	*COVID-19* Return to Premises	1	
	CRK-026	*COVID-19* Staff Resources	3	
	CRK-027	COVID-19 Leisure Centre Operations	3	
	CRK-028	*COVID-19* Test and Trace Impact on Staff Resource	1	
	CRK-031	ICT equipment capability	3	
	CRK-032	Lone working	1	
	CRK-033	*COVID-19* Financial Planning	1	
	CRK-034	*COVID-19* Management of multiple incidents	3	




Risk Code	Risk Title	Current Risk Score	Trend Indicator
 CRK-035	*Covid-19* Fire marshall & first aider presence in offices	1	
 CRK-037	*COVID 19* unable to provide appropriate PPE to staff satisfaction and H&S requirements resulting in compromised protection measures impacting on staff attendance and well-being	1	

CRK-002 City Plan Priorities - Resources

Insufficient resources and skills gap to deliver City Plan Priorities.

Managed By: Shane Flynn

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
			<ul style="list-style-type: none"> • Unable to deliver and implement our vision, mission and City Plan with significant impact on the shape of the City, its residents and council staff. • Reputational damage with stakeholders and the public - internally and externally. • Reduced local influence as a public sector organisation and place shaper • Limited buy in from staff on Business as Usual or future work.

Latest Note

The risk remains significant but has been raised to medium likelihood.



There are sufficient reserves to meet all existing city pan priorities but the 2022/23 budget-setting process resulted in the business rates risk reserves being reduced to the minimum requirement and the depletion of the Income risk reserve. Further reductions in spending power or increases in future budgets may result in the need to repurpose City Plan Fund reserves to maintain minimum requirements.

✔ CRK-003 Cultural Change

Failure to embed the cultural change around continuous improvement and 'excellence'.

Managed By: David Sutton

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	-	<ul style="list-style-type: none"> • Reputation damage - internally and externally. • Reduced morale and limited buy in from staff on future programs and projects. • Declined perception of organisational management.

Latest Note

Risk remains "tolerable"

The significant transition required as a result of the Covid-19 lockdown was dealt with by staff in a very flexible and committed way. The return to the office plans are maintaining Covid security while supporting team-based approaches and continuing two way staff communication and engagement.


Further decisions on office utilisation are pending which will determine future ongoing working arrangements and the need to revise Excellence priorities.

CRK-004 Development Plan

An up-to-date development plan is a statutory requirement for all local planning authorities. Due to the Covid-19 emergency there is a risk that the Council will not be able to meet the statutory timetable for review. Due to Covid evidence can not be gathered under current conditions and there is also a risk of staff sickness.

Managed By: Corin Beames;

Approach: Tolerate

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
			<ul style="list-style-type: none"> • Reputational damage - DCLG will intervene and commission a third party to produce a plan for the City. • The City will not meet its housing or employment growth targets. • Planning permissions will be won on appeal. • Significant legal and appeal costs could be incurred.

Latest Note

Following discussions between the three local authorities in April 2022, it has been determined that additional time is required to prepare the SWDP Review for the Regulation 19 (Publication) stage.

Further work is required relating to infrastructure and viability evidence base updates and planning for the proposed strategic locations.



The impact of the latest delay to the SWDP Review is still being assessed and a new timetable will be drawn up in due course.

CRK-005 Local Government Funding

There is a risk of reduced government funding following the outcome of the Government's 'Fairer Funding Formula' review.

Managed By: Shane Flynn

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	-	<ul style="list-style-type: none"> Reduced ability to deliver current service levels across the Council

Latest Note

The risk remains high as there is a significant budget gap in the Medium Term Financial Plan which needs to be addressed.

The 2022/23 budget settlement was favourable and as long as the commitment to maintain core spending power remains in place, this should continue to reduce the budget gap. However, the current settlement agreements are for one year only so there is a significant risk that funding levels will not be continued into future years.

The Shared Prosperity Fund should provide a three-year funding source but it is not known at this stage how much of the funding can be used to absorb existing pressures or whether it will be included in core spending power calculations.

CRK-006 Investment Portfolio

Macro-economic financial crisis that impacts on the Council's investment portfolio.

Managed By: Shane Flynn

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
			<ul style="list-style-type: none"> • Significant financial loss • Reputational damage nationally, with stakeholders and the public - internally and externally. • Impact on service delivery.

Latest Note

Risk reduced to Low

The Council is only marginally reliant on investment income and there is expected to be no significant impact on the two Development Fund purchases, as the tenants are public sector.

The Commercial and Income Strategies have been revised in the light of the PWLB decision to prevent borrowing purely to generate income from investments. Property investment in 2022/23 onwards will be in respect of FHSF, Towns Fund and Levelling Up Fund property acquisitions and development, where the business cases support these.

A study into Council-led housing development is due to report in Q1 2022/23. Housing is one of the areas exempt from the PWLB restrictions on borrowing to invest

CRK-007 Business Rates Local Retention

Risk of large employer leaving the City

Managed By: Shane Flynn

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	<ul style="list-style-type: none"> • Significant financial loss • Reputational damage nationally, with stakeholders and the public - internally and externally. • Impact on service delivery.

Latest Note

No revision to risk score. While there continues to be pressure on the High Street there is also development supported by the capital funding that the Council has received. The closure of one major employer will have an impact but a new supermarket has received planning permission which will increase the business rates base.

Collection rates have fallen behind historical levels but this is partially due to the increase in net debit as business start to become eligible for rates again following the Covid exemption periods.



The Business Rates Pool is to be continued for 2022/23 and there remain sufficient risk reserves to mitigate any impact in the short term. Appeals under the 'check-challenge-appeal' remain low compared to historic levels.

CRK-008 Civil Emergency

If we are unable to respond effectively in the event of a major civil emergency, i.e. flooding, flu pandemic

Managed By: David Sutton

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	<ul style="list-style-type: none"> • Significant financial loss • Significant legal costs • Reputational damage nationally, with stakeholders and the public - internally and externally. • Impact on service delivery.

Latest Note

The pandemic no longer requires significant specific corporate resources and business as usual arrangements are supporting effective management of associated issues.

An exercise was undertaken at CMT in September to consider and prepare for concurrent emergencies of flooding and a cyber attack, running alongside Covid. Learning points were reviewed and actioned.




Work is ongoing to mitigate the risks of cyber attack including IT security measures, enhanced IT recovery capability and increased staff awareness and vigilance through training.

CRK-011 ICT Security

If we are unable to control and secure ICT systems and data against malicious attack and unauthorised access including cyber crime.

Managed By: David Sutton; Nigel Winters

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>		<ul style="list-style-type: none"> • Significant financial loss and sanctions/fines • Significant legal costs • Reputational damage nationally, with stakeholders and the public - internally and externally.

Latest Note

Risk score remains unchanged in the light of recent successful attacks on other local authorities and increased threat levels associated with the war in Ukraine.

Impact will be reduced following ongoing implementation of cyber action plan. This includes improved hardware capacity to support business continuity (data recovery) and improved detection of anomalies (SIEM, security incident and event monitoring), continued migration of data to the cloud.



Regular phishing exercises are being undertaken by ICT service to test vulnerability due to human error. A new training programme has been introduced and targeted action is taken with those who have not acted appropriately during phishing exercises. Staff awareness of this issue has increased but further awareness raising and vigilance is required.

CRK-012 ICT Systems Infrastructure

If there is not continuous availability of critical IT systems, , loss of buildings or loss of data links.
 Note: CRK-011 ICT security addresses malicious attack.

Managed By: David Sutton; Nigel Winters

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	<ul style="list-style-type: none"> • Significant financial loss • Significant legal costs • Reputational damage with stakeholders and the public - internally and externally. • Impact on service delivery.

Latest Note


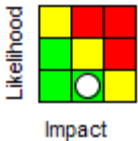
All systems replicated from primary data centre to secondary data centre. All critical systems should be available within 48 hours of losing primary data centre. However, a review has identified that there is only server sufficient capacity for priority 1 systems to be restored within agreed timeframe.
 Work is underway to procure additional server capacity during Q1-Q2 which is subject to supply chain issues.
 Resilient (triangular) data links between the three SW sites provide alternative connections in the event of loss between two sites.

CRK-014 Shared Services

If we fail to monitor/ manage where applicable all shared services which leads to a significant service failure

Managed By: David Sutton

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	<ul style="list-style-type: none"> • Significant financial loss and sanctions/fines . • Significant legal costs • Reputational damage nationally, with stakeholders and the public - internally and externally. • Impact on service delivery.

Latest Note




No change - Current arrangements for shared services have established governance arrangements.
 The likelihood of service failure remains low.

CRK-016 Health and Safety

Major Health and Safety incident -e.g. legionella out break, death/personal injury at work, or member of the public.

Managed By: Sian Stroud

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
			<ul style="list-style-type: none"> • Loss of life • Criminal proceedings • Significant financial loss and sanctions/fines • Significant legal costs • Reputational damage nationally, with stakeholders and the public - internally and externally. • Impact on service delivery.

Latest Note

No change to assessment. Public Toilets, Play Areas, Museums, Guildhall and the customer service centres continue to be risk assessed for COVID-19 safety and a variety of appropriate measures are being maintained to reduce risk to an acceptable level and protect the safety of employees and visitors.

The MAG has been cleared and reconfigured for use on a team basis from 21 June.

Further work has been undertaken to ensure safety of Refuse operatives following a positive Covid case and further policy developments are underway to enable regular testing for staff.




Health and Safety as a function has been brought into Governance Services to create better synergy between the Legal and Technical requirements of H&S.

CRK-017 Safeguarding

Major Safeguarding incident relating to one of the Council's services/contracts

Managed By: Tom Mountford;

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>		<ul style="list-style-type: none"> • Criminal proceedings • Significant financial loss and sanctions/fines • Significant legal costs • Reputational damage nationally, with stakeholders and the public - internally and externally.

Latest Note

2x additional Housing Solutions Officers have been recruited to with focus on domestic abuse using the Domestic Abuse Act New Burdens Funding. Demand for the DAWN (DA) project through WCT remains high with waiting lists to access the service. Demand for homelessness services due to DA and subsequent pressure on TA increasing. Provision of 8 properties for use as safe houses in progress.

Caseloads remain high for the 2 young persons pathway officers with continuation funding from County confirmed for 1x post for 22/23 but not beyond.



Rough Sleeper numbers remain steady and have reverted back to consistent figures following spike in November, picked up in annual count. Awaiting outcome of RS15 submission for 3 year funding structure focussed on rough sleeping. Protect & Vaccinate scheme concluding with plans in place for 5 remaining to prevent returning to rough sleeping.

CRK-018 *COVID-19* Asset Maintenance

If the Council fail to conduct relevant assessments and maintain owned assets and buildings this could result in building damage and risks to Health and Safety

Managed By: Shane Flynn

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	-	<ul style="list-style-type: none"> • Criminal proceedings • Significant financial loss and sanctions/fines • Significant legal costs • Reputational damage nationally, with stakeholders and the public - internally and externally.

Latest Note

This is not a 'covid-19' risk but remains a general risk.


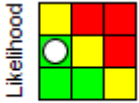
The risk remains 'Low'. A detailed assessment of building management was undertaken in 2020 which clarified responsibilities and identified any gaps which need to be filled. This process is now complete and there are clear responsibilities for building management for all premises. Social distancing has been maintained in respect of desk space and will continue as long as this supports hybrid working.

CRK-020 *COVID-19* Well-being of workforce

If we do not effectively manage staff mental well-being this could result in loss of morale, sickness and absence(Risk Log ref: R0045)

Managed By: Alison Darbyshire; Sian Stroud

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	-	In addition to the effect on individual members of staff, adverse well-being could lead to significant staff absence and therefore a reduction in service delivery and reputational damage.

Latest Note

Government guidelines mean that there is no longer laws in place to self isolate although it is still currently recommended. The Council continues to take a cautious approach and asks employees to work from home or report as sick if they test positive for Covid. We currently have good stock levels across the Council for tests which should last some months and provides reassurance for employees and their colleagues.

✓ CRK-021 *COVID-19* Loss of income

Loss of income due to disruption to services and changes in customer behaviour may affect the Council's finances (Risk Log ref: R0046)

Managed By: Mark Baldwin

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	Income from services is a significant proportion of the Council's funding and therefore a substantial loss of income would reduce the Council's available expenditure budget.

Latest Note

Income levels have improved further with most restrictions now lifted. However in several cases they remain below the pre-pandemic levels and are being closely monitored to see if they are set to increase further or if there has been a permanent change in behaviour.

✓ CRK-023 *COVID-19* Contractor insolvency

Contractors may become insolvent resulting in delay or loss of services/goods (Risk Log ref: R0073)

Managed By: Shane Flynn

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	Contractor insolvency could result in a significant disruption to continuity of service and potential financial loss and reputational damage to the Council

Latest Note

Risk remains low and risk will now close.

The Council has followed guidance in Procurement Policy Notes issued by the Cabinet Office to maintain payments to suppliers and continues to work with individual suppliers to maintain facilities and services.

There are some supply chain issues but these do not appear to be significant enough to indicate any risks of serious concern. The main likely ongoing impact is rising costs as a result of supply problems.



CRK-025 *COVID-19* Return to Premises

There is a risk to the Council’s reputation if the return of staff and public access to buildings is not effectively planned and managed.

(Risk Log ref: R0109)

Managed By: Shane Flynn

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	If return to premises is not well planned there could be potential for uncertainty for staff and customers leading to disruption to service delivery and damage to eth Council’s reputation

Latest Note

No change - this risk will now close.

Staff returned to office working for the majority of their time from the end of October 2022



Essential services have returned to operating from Council premises and arrangements are well established.

CRK-026 *COVID-19* Staff Resources

Planning and implementing the return to business as usual whilst continuing to respond to the emergency puts an unacceptable strain on staff resources

Managed By: Shane Flynn

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	

Latest Note

Risk remains low and will now be closed

Concerns raised nationally about potential shortages of drivers for refuse vehicles are not applicable to Worcester because of the balance of skills and capacity in the workforce.



Staff continue to be offered regular testing opportunities to help reduce risk and concerns over wellbeing. LFT kits are available at Council offices for staff to use.

✓ CRK-027 COVID-19 Leisure Centre Operations

There is a risk to the viability of the Leisure Operator due to the continued closure and projected reduction in demand

Managed By: Lloyd Griffiths

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	

Latest Note


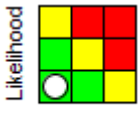
The Council will continue to hold monthly open book account meetings with Freedom Leisure through 2022/2023 until such time as the recovery position for the new financial year has been clarified and in order to understand the ongoing cost pressures, and in particular inflation and energy costs. The closing position for 2021/2022 saw the Council receive a reduced management fee (approx. 30-40%) through financial support provided including the NLRG grant of £171k.

✓ CRK-028 *COVID-19* Test and Trace Impact on Staff Resource

There is a risk that self isolation of significant numbers of staff under the Test & Trace system will impact on service delivery

Managed By: Shane Flynn

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	

Latest Note

Risk remains minimal and this risk will now close. There is no longer a requirement to self-isolate.

CRK-031 ICT equipment capability

Recent infrastructure changes (corporate Wifi) combined with introduction of new devices to a large number of staff may lead to issues with functionality once staff start returning to council buildings to work.

Managed By: David Sutton

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	

Latest Note

No change to the risk score for this period.

All office based staff have now been issued with Windows 10 laptops.

All staff have now moved to cloud hosted email, and work has begun to plan and implement migration of W drive storage. This will remove reliance on our servers for all but a small number of legacy applications, beginning what will be a significant reduction in reliance on our RDS servers.

Some issues with Wifi and data bandwidth have been encountered and work has recently been completed to address these. This will be kept under review in Q1.

CRK-032 Lone working

Reduced staff levels may result in an increase in lone working, increasing the risk associated with this (Risk Log ref: R0011)

Managed By: Alison Darbyshire;

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	

Latest Note


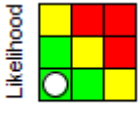
This remains a low risk and will now close. Office staff have returned to the office for the majority of their working week and business as usual in other areas

CRK-033 *COVID-19* Financial Planning

There may be varied demand for support from an range of local businesses and organisations to enable them to stay solvent as a result of Covid outside of the Government funded scheme. Without an agreed set of criteria for providing support, the Council will be unable to respond appropriately to this rising demand.

Managed By: Shane Flynn

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	-	

Latest Note

Risk remains low and will now close.

The Council has passed on substantial resources to help maintain businesses and continues to provide support through Restart grants.



CRK-034 *COVID-19* Management of multiple incidents

The council may be required to respond to other incidents (e.g.flooding) alongside responding to Covid which would increase the pressure on resources as well as impacting on the normal response procedures

Managed By: David Sutton

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	

Latest Note

The likelihood of a significant impact has reduced as the draw on emergency response resources due to the pandemic has reduced, and our remote working capability has increased.

The Council's internal emergency management arrangements and the multi agency response can be applied to deal with multiple incidents. Plans have been put in place to operate rest centres and carry out community support under Covid safe conditions.

As infections of Omicron increase available staff resource will continue to be kept under review and there are established procedures to escalate to the multi agency emergency response group if necessary.

Responding to flooding and Covid, and a cyber attack, were the subject of internal emergency response exercises undertaken by CMT in November 2020, and September 2021. A further LRF wide cyber exercise took place in February.

The Council effectively responded to flood incidents in December 2020 and January 2021 at the height of the pandemic, and again in February 2022.



CRK-035 *Covid-19* Fire marshal & first aider presence in offices

Fewer numbers of staff working in offices may result in there not being sufficient fire marshal or first aid cover to meet either minimum requirements or best practice

Managed By: Kevin Moore

Approach: Treat

Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		↓	

Latest Note

This risk has reduced and will now close.

Our Space app now identifies fire marshals and first aiders among staff who have booked desks.



CRK-037 *COVID 19* unable to provide appropriate PPE to staff satisfaction and H&S requirements resulting in compromised protection measures impacting on staff attendance and well-being

Managed By: Sian Stroud

Approach:





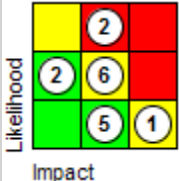

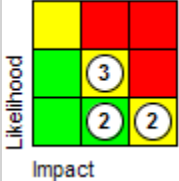

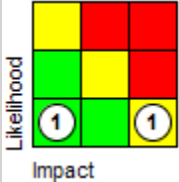
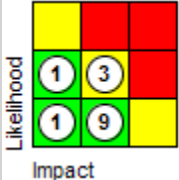
Original Risk Score	Current Risk Score	Trend Indicator	Risk Consequence
		-	

Latest Note

This risk remains low and will now close.

The Council's PPE requirements for Covid are now well understood and operational. Over the past 12 months lack of access to PPE for Covid has not materialised as a risk to the Council. Supply chains and contingency arrangements are in place.

Traffic Light	
Red	2
Amber	29
Green	29

	Communications - Service Risk Register	
	Corporate Policy & Strategy - Service Risk Register	
	Community Services - Service Risk Register	
	Economic Development and Planning - Service Risk Register	
	Financial Services - Service Risk Register	
	Governance - Service Risk Register	
	Internal Audit - Service Risk Register	

	Museums Service Risk Register	
	Operations - Service Risk Register	
	Property and Assets - Service Risk Register	
	People Services - Service Risk Register	
	Strategic Housing - Service Risk Register	