

# West Oxfordshire District Council Corporate Risk Register

Appendix A

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
W-CRR-005	If the Council does not deliver a balanced medium term financial strategy then it may need to cut services or make additional savings	Financial Reputational	Regular meetings with Members and Cabinet  MTFS and budget process  CT/SMT discussions and lead  Vision 2020 programme	5	3	15	29-May-19	29-May-2019 No change in rating. The MTFS was considered by Cabinet and Council in February 2019. The MTFS includes an estimate of the likely impact of the changes to local government funding from 2020/21 onwards which provides the Council with the context in which to take decisions. However, the actual impact of changes to central government funding will not be known until the autumn	Chief Finance Officer
W-CRR-029	If the UK leaves the European Union with no deal then there could be a disruption to the delivery of Council services which would impact on residents/communities	Community Financial Performance	Support from the LGA  Local Resilience Forum  Government funding to support Councils  Business Continuity Plans	4	3	12	16-Apr-19	16-Apr-19 Impact reduced from 5 to 4 and likelihood reduced from 4 to 3. The UK has been given an extension of time to agree a deal for withdrawal and Parliament has voted against 'no deal'. All LRF/SCG meetings are on hold at the present time but updates are reviewed as and when they are provided	Executive Director - Commissioning; Head of Paid Service

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
W-CRR-017	If unavoidable budget pressures exceed provision within the MTFS then the Council may need to use its reserves, or there may be pressures on services or tax levels and agreed budget targets will not be achieved	Financial	<p>Service Delivery Planning</p> <p>Budgetary control system</p> <p>CT/HoS consider financial pressures, in particular arising out of cost shunting</p> <p>Key variances report</p>	3	3	9	29-May-19	29-May-2019 No change to rating. Outturn on revenue budget for 2018/19 is a surplus of £572K; £400K relates to business rates and it is recommended that this is set aside for impact in later financial years due to complexity of accounting for the retained business rates scheme. Ubico costs have been included within budget from 2019/20 onwards and work is progressing to generate efficiencies. Additional income from the business rate pool in 2019/20 provides some contingency for service costs in excess of budget	Chief Finance Officer

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
W-CRR-006	If staff morale and motivation is low in Publica then the level of service delivered may be reduced in some services	Performance Reputational	<p>Regular reviews of change process</p> <p>Impact of change measured via Staff forum and staff sickness</p> <p>Comprehensive consultation and engagement process</p> <p>Change management training</p> <p>Joint Liaison Forum</p>	3	3	9	16-Apr-19	16-Apr-2019 Likelihood reduced from 4 to 3. Anecdotally there are some parts of the organisation which are suffering from lower levels of morale due to workload pressures. There remain some concerns raised around the changes to Terms and Conditions, Pay and Grading and the new organisational design, the implementation of which has been delayed. A series of information sessions were held together with change management sessions so that employees can gain a better understanding of the changes and how it may impact upon them. We are planning a comprehensive employee survey in May 2019 which should give us evidence on the latest position. Service review sessions as part of the transformation programme are providing rich data around the current position and will provide further evidence of morale moving forward	Head of Paid Service; Managing Director

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
W-CRR-004	If local transport infrastructure deteriorates then access to services and employment will also be reduced	Reputational Community	<p>Work with the County Council to plan and enable infrastructure improvements</p> <p>Lobby to ensure that the improvements for A40 and surrounding area are delivered as proposed</p>	3	3	9	03-Apr-19	3-Apr-2019 No change in rating. Oxfordshire County Council has submitted a scheme to the Government's Housing Infrastructure Fund for package of projects for the A40. The package of £102m would fund further transport improvements to the A40, including development of the public transport facilities, additional highway capacity, and improvements to walking and cycling. This is additional to the funding provided by the Government through the Housing and Growth Deal with Oxfordshire, and the Local Growth Fund	Head of Planning & Strategic Housing
W-CRR-012	If the Council does not comply with relevant Information Management legislation including the new GDPR and Transparency Agenda then the government may intervene which could have a reputational impact on the Council	Financial Reputational Legal	<p>Arrangements reviewed in light of new legislation</p> <p>Quarterly monitoring of FOI return rate to SMT</p>	3	3	9	09-Apr-19	09-Apr-2019 No change in rating. Progress on the GDPR action plan is being reported to the Council and Publica, which involves advice and guidance being given at staff inductions. Guidance for Cllrs is currently under review and sessions are planned as part of the new Cllr induction programme, which will be open to all	Data Protection Officer; Head of Paid Service

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
W-CRR-013	If the Government imposes legislative changes that are not expected then it could have an impact on the Council's finances and other resources	Financial Community	<p>Horizon scanning, awareness via professional publications</p> <p>Respond to government consultations</p> <p>Monitor potential changes in planning rules and their consequences e.g. penalties for not determining smaller applications on time, and failure to produce a Local Plan</p>	3	3	9	25-Apr-19	25-Apr-2019 No change in rating. Defra's Waste and Resources strategy has now been published and Publica will be responding to consultation on behalf of the Council. The Strategy suggests that garden waste collection should be free which if imposed would have a significant financial impact on the Council. The implications of the other proposed policy changes are not yet clear	Chief Finance Officer
W-CRR-028	If Publica or the Council is unable to recruit suitable staff and retain them, particularly in some key service areas then the level of service delivery could be reduced which would impact on residents/communities	Performance Financial Reputational Community	<p>Financial incentives (market force supplement scheme)</p> <p>Work with partners to address skill shortages</p>	3	3	9	08-Apr-19	08-Apr-2019 No change in rating. Quarterly performance reports are discussed with Exec so any necessary mitigation to maintain service delivery levels can be made. Monthly HR reports to Exec also highlight recruitment. An apprentice scheme is in place and an intern and graduate scheme will commence later this year. Consultation on a new pay and grading structure which provides more flexibility in rewarding staff is taking place	Head of Paid Service; Managing Director
W-CRR-014	If the Council fails to successfully implement the Local Plan and new National Planning Framework then central government may intervene and/or speculative planning applications may increase	Financial Reputational	Project plan to deliver the Local Plan	4	2	8	03-Apr-19	03-Apr-2019. No change in rating. The Local Plan 2031 was adopted at a meeting of Full Council on 27th September 2018. No legal challenge was received within the statutory six week period that followed	Head of Planning & Strategic Housing

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
W-CRR-003	If the services that are delivered by other public sector organisations are reduced then it may result in increased pressure on the Council to take action	Community	Lobby for continued service provision in rural areas by third parties e.g. Oxford County Council and NHS  Work with Community organisations	2	4	8	24-Apr-19	24-Apr-2019 No change in rating. Potential closure of services such as GP services has put pressure on the council in its community and advocacy role. It has been recognised that we are limited in what we can do in these cases and our main role is to influence	Head of Paid Service; Managing Director
W-CRR-010	If contractors do not meet their obligations under key contracts then it could lead to a fall in service standards, reduced customer service, a failure to meet legal requirements or an increase in costs to the Council	Financial Reputational	Robust and effective contract management approach including regular meetings with key contractors	4	2	8	25-Apr-19	25-Apr-2019 No change in rating. Work is ongoing with Ubico to increase service efficiency and reduce costs. High service demand particularly on container deliveries has impacted on performance but work is underway to address this	Group Manager - Commissioning
W-CRR-019	If contractors do not comply with health and safety requirements then there could be both financial and reputational implications for the Council	Financial Reputational	Contract management in place to ensure appropriate measures such as risk assessments, appropriate policies, and training is in place.  GOSS Health and Safety business partners provide advice and support  Concerns can be escalated to contractors' senior management	4	2	8	25-Apr-19	25-Apr-2019 No change in rating	Group Manager - Commissioning

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
W-CRR-016	If Publica does not deliver the agreed objectives in accordance with its business plan then the planned savings for the Council would not be delivered and consequently there would be a risk that services could not be delivered	Financial Reputational	<p>Programme Board</p> <p>Local Political Support</p> <p>National Political Support</p> <p>Early Engagement with employees and Unions</p> <p>Funding provided to develop detailed business case</p>	3	2	6	16-Apr-19	16-Apr-2019 Likelihood reduced from 3 to 2. The budgets for 2019/20 have been agreed with the partner councils delivering savings of £930,000 - slightly ahead of the business case targets. The in-year position for 2018/19 continues to suggest an underspend against budget and delivery of additional one-off savings to all partners beyond those budgeted	Head of Paid Service; Managing Director
W-CRR-027	If the number of appeals reaches the threshold then penalties / government intervention will be triggered with potential financial implications	Financial Reputational Performance	<p>Robust and effective monitoring of appeal decisions</p> <p>Potential intervention of Planning Committee if necessary</p>	3	2	6	03-Apr-19	03-Apr-19. No change in rating. The Council is currently well below the level for potential intervention	Head of Planning & Strategic Housing
W-CRR-007	If there is severe weather then the Council may be unable to deliver key services which could impact on residents	Performance Reputational	<p>Consistent monitoring and evaluation of impact on service delivery at service level</p> <p>Communications strategy</p> <p>Relevant policies e.g. snow policy</p> <p>Waste and Recycling severe weather plan</p> <p>Laptops and home working</p> <p>Business Continuity Plans</p>	3	2	6	12-Apr-19	12-Apr-2019 No change in rating	Head of Paid Service; Managing Director

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
W-CRR-008	If the Council's IT System / infrastructure failed due to cyber attacks and/or virus then system performance could be reduced leading to poor service delivery/financial impact	Financial Performance	Blocking of USB and other devices  PSN compliance  Revised policies  Staff awareness training  BCP in place, reviewed and tested  Enhanced encryption	3	2	6	09-Apr-19	09-Apr-2019 No change in rating. All Councils have recently achieved Cyber Essential Plus accreditation, which is a Government-backed, industry-supported scheme to help organisations protect themselves against common online threats. A dedicated Cyber engineer has also been recruited into the team to provide additional skills and knowledge in this area	Group Manager - Business Support Services
W-CRR-009	If there is a loss of data (both on site and as a result of remote/mobile working) / security failure in our IT systems then it could lead to a reduced level of service and have a negative impact on the Council's reputation and finances	Reputational Financial	Blocking of USB and other devices  PSN compliance  Revised policies  Staff awareness training  BCP in place, reviewed and tested  Enhanced encryption	3	2	6	09-Apr-19	09-Apr-2019 No change in rating. All Councils have recently achieved Cyber Essential Plus accreditation, which is a Government-backed, industry-supported scheme to help organisations protect themselves against common online threats	Group Manager - Business Support Services
W-CRR-011	If major public events/incidents are not adequately controlled or dealt with then it could have an impact on the community resulting in reputational /financial damage to the Council	Community Reputational	Regular monitoring  Plans in place for regular events	3	2	6	11-Apr-19	11-Apr-19 No change in rating. The Safety Advisory Group met in early February. Representatives from the Council, Health & Safety Executive, Police, Highways and event organisers attended to discuss issues and risks. The responsible authorities agreed that all risks had been sufficiently mitigated	Head of Paid Service; Managing Director



Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
W-CRR-025	If Superfast Broadband is not delivered within timescales then resident expectations will not be met and many communities will be left with inadequate broad coverage resulting in a reputational damage to the Council	Community Reputational	<p>Work closely with BDUK to ensure state aid regulations are complied with</p> <p>Commission specialised skills when required to provide expertise and capacity</p> <p>Work closely with the chosen supplier to ensure delivery is timely</p> <p>Provide regular communications to residents, communities</p>	3	1	3	10-Apr-19	10-Apr-2019 No change in rating. The Superfast Broadband project continues to progress well; an adjustment to timings due to delays with some wayleaves and a new timetable accounting for this has been approved, however, we have been assured that this will not affect the project end date	Executive Director - Finance; Head of Planning & Strategic Housing