

West Oxfordshire District Council - Corporate Risk Register 2019-20 Q2

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	4	5	20	07-Oct-19	07-Oct-2019 No change to rating.  Update to the MTFS commences in Q2 and will be considered by Council in February 2020. The Government has announced a one-year Spending Review for 2020/21. The changes to Local Government funding from the Fairer Funding Review, Business Rate Retention Scheme and Business Rates Reset have been deferred until 2021/22.  The valuation of the Local Government Pension Scheme requires a cash injection into the Pension Fund together with annual increases in the contribution level. This will be included in the refresh of the Medium Term Financial Strategy.	Chief Finance Officer
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	Service Delivery Planning  Budgetary control system  CT/HoS consider financial pressures, in particular arising out of cost shunting  Key variances report	4	5	20	07-Oct-19	07-Oct-2019 No change to rating. The valuation of the Local Government Pension Scheme requires a cash injection into the Pension Fund together with annual increases in the contribution level. This will be included in the refresh of the Medium Term Financial Strategy.	Chief Finance Officer

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W-CRR-030 (new)	If the Council does not have the necessary resources to manage its trees and vegetation within public open spaces and country parks, then it may result in complaints/damage to adjoining property or injury	Financial, Reputational, Community, Legal	Tree officer in post who is responsible for reviewing trees and progressing works  Areas of Oxfordshire clay have been mapped  Necessary mitigation action being taken as necessary including thinning	4	5	20	07-Oct-19	07-Oct-19 No change in rating. Due to the location of trees on Oxfordshire Clay, the hot weather, and historic lack of maintenance of sites, the number of claims is increasing, as is awareness of subsidence issues among property owners in the area. Further claims are anticipated. We are taking pre-emptive action where possible. In order to address the issue and to ensure that our insurance cover is retained, a subsidence "strategy" is required. Reports are being prepared to draw down on funding for open space sites from initial s106 contributions to provide additional support in tree management in relation to this issue together with management of open spaces and country parks.	Executive Director - Commissioning; Group Manager - Commissioning
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	3	12	07-Oct-19	07-Oct-2019 Likelihood reduced from 4 to 3. High service demand particularly on container deliveries impacted on performance earlier in the year but improvements have meant suitable standards are now being achieved. Demand for containers and options to mitigate excessive requests has been reviewed and a report will be taken to Cabinet in Q3. Issues with response and customer service have been identified by the Council and are being tackled by Ubico. There has been some improvement.  Supplier failure has resulted in forecast additional costs for the year of c. £200K for container deliveries. Officers are working on mitigation of these costs	Group Manager - Commissioning

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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 within budget	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	4	12	07-Oct-19	07-Oct-2019 Likelihood increased from 2 to 4. At the end of Q1, good progress was being made in delivering the savings of £930,000 included in the revenue budget for 19/20 and a small underspend was reported. Progress in preparing actions to deliver against business case targets for 2020/21 has not yet identified sufficient deliverables to give assurance that the remaining business case and MTFs savings for the councils will be achievable in 2020/21.	Head of Paid Service; Managing Director
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	<p>Support from the LGA</p> <p>Local Resilience Forum</p> <p>Government funding to support Councils</p> <p>Business Continuity Plans</p> <p>Service specific planning - Publica ERS, Ubico and GLL</p> <p>Publica Executive Director undertaking role of Brexit Lead Officer as per requirement from MHCLG</p>	3	3	9	7-Oct-19	07-Oct-19 No change in rating. The current date for exiting the EU is 31 October and the new government is committed to leaving on that date with or without a deal. All LRF/SCG meetings are on hold at the present time but updates are reviewed as and when they are provided. Government (via MHCLG) is escalating preparations for leaving with or without a deal. A lead officer has been designated to represent the council in communications with central government and updates are being provided on a regular basis. A 'Brexit Risk Register' has been prepared for WODC and is reviewed weekly by the Brexit Planning Group.	Executive Director - Commissioning; Head of Paid Service
W-CRR-031	If the Government does not provide adequate funding to the Council to enable the Council to fulfil new expectations of the Council's role in preparations for the UK exit from the EU, there could be negative implications on the Council's reputation or the Council's finances	Financial Community	<p>Publica Executive Director undertaking role of Brexit Lead Officer as per requirement from MHCLG</p> <p>Local Resilience Forum</p> <p>Government funding</p>	3	3	9	07-Oct-19	07-Oct-2019 No change in rating. The Secretary of State has written to the Council setting out his expectations of the role the Council should fulfil in preparations for the UK leaving the EU. Approx. £53k has been provided to WODC to date by central government to fund its Brexit preparations. £10k of that has been spent on securing Brexit-specific Treasury Management advice.	Executive Director - Commissioning; Head of Paid Service

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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	07-Oct-19	<p>07-Oct-2019 No change to rating. Changes to Terms and Conditions have been agreed with Unions and have been implemented reducing one of the areas that was causing concerns for staff. Amendments to the pay and grading proposals were made during the summer and further discussions held with unions. Whilst working relationships with unions remain strong they were unable to support a ballot on the proposals and therefore Publica has commenced a direct 45 day consultation with staff with a view to implementing the scheme from 1 April 2020. Completion of the pay and grading proposals should complete the technical aspects of the organisational design changes and allow the completion of this major part of the transformation programme, reducing uncertainty for employees and improving organisational morale.</p>	Head of Paid Service; Managing Director

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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	25-Oct-19	25-Oct-2019 No change in rating. Oxfordshire County Council has submitted a scheme to the Government's Housing Infrastructure Fund for a 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. A Government decision on the Housing Infrastructure Fund bid is expected shortly and this might be affected by any future decision by South Oxfordshire District Council on whether to withdraw its Local Plan. Such a decision by South Oxfordshire District Council might also affect the future of the Housing and Growth Deal. Currently the Secretary of State has placed a holding direction on South Oxfordshire District Council to prevent such a decision being taken while he considers whether to intervene.	Group Manager - Strategic Support; Head of Paid Service
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	01-Oct-19	1-Oct-2019 No change in rating. Progress on the GDPR action plan is being reported to the Council and Publica, and includes advice and guidance at staff inductions. The online training programme has now been successfully rolled out across Publica	Data Protection Officer; Head of Paid Service
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	07-Oct-19	07-Oct-2019 No change in rating. The Council responded to the consultation on Defra's Waste and Resources strategy. The Strategy suggests that garden waste collection should be free which if imposed would have a significant financial impact on the Council. Defra published its consultations response to the Resources and Waste Strategy on 23 July. There are likely to be further developments with Statute once Brexit is concluded. Any financial implications will be considered as part of the update to the Council's MTFS	Chief Finance Officer

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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	Financial incentives (market force supplement scheme)  Work with partners to address skill shortages	3	3	9	30-Sep-19	30-Sep-2019 No change in risk level. Quarterly performance reports are shared with Joint Management Team so any necessary mitigation to maintain service delivery levels can be discussed. Some difficulty recruiting senior staff in certain professions, e.g. Planning & Building Control. Monthly HR reports to Exec also highlight recruitment. An apprentice scheme is in place and an intern and graduate scheme has commenced. Implementation of the new pay and grading structure which will provide more flexibility in rewarding staff will take place later this financial year.	Head of Paid Service; Managing Director
W-CRR-033 (new)	If South Oxfordshire District Council's decision on its local plan remains unchanged then the Council may not be able to deliver additional affordable homes through the Oxfordshire Housing and Growth Deal	Community Financial Reputational	Liaison with Growth Board partners	3	3	9	25-Oct-19	25-Oct-2019 Added in Q1. Any future decision by South Oxfordshire District Council to withdraw its Local Plan might affect the future of the Housing and Growth Deal and the availability of funding for affordable housing in Oxfordshire. Currently the Secretary of State has placed a holding direction on South Oxfordshire District Council to prevent such a decision being taken while he considers whether to intervene.	Executive Director - Commissioning; Head of Paid Service
W-CRR-032 (new)	If South Oxfordshire District Council's decision on its local plan remains unchanged then the Council may have to repay grant it has received from the Oxfordshire Housing and Growth Deal resulting in loss of income	Community Financial	Liaison with Growth Board partners and Oxfordshire County Council as accountable body	2	4	8	07-Oct-19	07-Oct-2019 Added in Q1. A forthcoming decision by South Oxfordshire District Council on whether to withdraw its Local Plan might affect the future of the Housing and Growth Deal and have potential financial impacts on the Council.	Executive Director - Commissioning; Head of Paid Service
W-CRR-034 (new)	If Health and Safety procedures and risk assessments are not in place /being followed then staff could be injured undertaking Council duties which would impact on their health and wellbeing, affect their ability to work and create liability issues for the Council	Legal Financial Reputational	Health and Safety procedures  Access to weather forecasts  Lone workers policy  Business Continuity Plans	4	2	8	30-Sep-19	30-Sep-2019 New risk added in Q2. There was one reportable incident to the Health & Safety Executive in September. The incident involved a member of the public displaying unreasonable behaviour towards an employee, but did not result in physical injury. Fire Risk Assessments on all our buildings in Witney have been carried out; the results have been reported to the responsible person. All guidance documents for employees have been reviewed, and now awaiting approval. H&S policy will be reviewed in October. H&S will be a standard item on the Senior Managers' meeting each quarter	Head of Paid Service; Managing Director

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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	07-Oct-19	7-Oct-2019 No change in rating. The Local Plan 2031 was adopted at a meeting of Full Council on 27th September 2018. The risk of speculative applications has been mitigated by the 3 year housing land supply figure which has been agreed by central government in the context of the Oxfordshire Housing and Growth Deal. Officers are currently updating housing land supply figures.	Group Manager - Strategic Support; Head of Paid Service
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	07-Oct-19	7-Oct-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-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. Health and Safety business partners provide advice and support  Concerns can be escalated to contractors' senior management	4	2	8	07-Oct-19	07-10-2019 No change in rating	Group Manager - Commissioning
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	Robust and effective monitoring of appeal decisions  Potential intervention of Planning Committee if necessary	3	2	6	01-Oct-19	01-Oct-2019 No change in rating. The Council is currently well below the level for potential intervention	Group Manager – Customer Services; Business Manager – Development Management

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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	Consistent monitoring and evaluation of impact on service delivery at service level  Communications strategy  Relevant policies e.g. snow policy  Waste and Recycling severe weather plan  Laptops and home working  Business Continuity Plans	3	2	6	01-Oct-19	01-Oct-2019 No change in rating. Business continuity plans have all been updated.	Head of Paid Service; Managing Director
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 software	3	2	6	01-Oct-19	01-Oct-2019 No change in rating. All Councils have PSN accreditation, which compliments the Cyber Essential Plus, which is a Government-backed, industry-supported scheme to help organisations protect themselves against common online threats	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 software	3	2	6	01-Oct-19	01-Oct-2019 No change in rating. All Councils have PSN accreditation which compliments Cyber Essential Plus. The final module of the online training system (Bob's Business) has now been rolled out and completed by staff which is helping to reinforce the need for staff to be aware of their responsibilities with regards to data security, passwords and GDPR	Group Manager - Business Support Services

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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	09-Oct-19	09-Oct-19 No change in rating. The Safety Advisory Group meets every six months. At the last meeting, 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. A SAG review meeting will be held later in the year to assess the year's events	Head of Paid Service; Managing Director
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	Work closely with BDUK to ensure state aid regulations are complied with  Commission specialised skills when required to provide expertise and capacity  Work closely with the chosen supplier to ensure delivery is timely  Provide regular communications to residents, communities and stakeholders	3	2	6	01-Oct-19	1-Oct-19 The likelihood has been increased from 1 to 2. The project is nearing completion but is still experiencing delays in certain build areas due to Way Leaves. To manage this situation, fortnightly meetings have been set up, where each build area is looked at in granular detail to identify potential 'blockers' to help ensure the overall project is delivered within the agreed timescales	Executive Director - Finance; Head of Paid Service