

West Oxfordshire District Council - Corporate Risk Register

MODERN COUNCIL SERVICES AND SUSTAINABLE FINANCE													
Risk ID	Description of Risk/Opportunity	Initial Risk Assessment			Existing Control, Mitigation or Contingency	Previous Residual Risk Score			Residual Risk Assessment			Direction of Travel	Risk Response & Further Action
		impact	likelihood	score		impact	likelihood	score	impact	likelihood	score		
WO-037	Government funding is being reduced so in order to operate within a reducing budget envelope, costs must be cut and income increased in order to maintain the current level of services. Risk Logged: January 2022 Risk Owner: S.151 Officer Responsible Officer: S.151 Officer	5	3	15	Investment strategy to increase revenues, ESIP project to reduce the cost of the Waste service, Check and challenge on budget growth requests, Finance monitoring and reporting				5	3	15		Difficulty in securing investments that meet PWLB requirements but still generate sufficient levels of additional income. Close project monitoring of the ESIP project required to ensure that sufficient change is delivered in time for the 23/24 budget
WO-040	Waste and Recycling: A general shortage of qualified HGV drivers along with uncertainty over future Covid variants could result in the Waste Contractor being unable to meet its obligations for waste and recycling collections. Risk logged: January 2022 Risk Owner: S.151 Officer Responsible Officer: Publica Group Manager for Commissioning	5	4	20	<ul style="list-style-type: none"> Regular meetings with Contractors to identify any major issues that may affect service delivery, agree contingency measures and feedback to the Council Agreement was reached to compensate the Council for wheeled bin failures Although Covid rates have fallen following the vaccination programme, Covid prevention measures are still in place, including crew 'bubbles', social distancing in the depots and effective cleansing of cabs 				4	3	12		14.01.22 Whilst there is 1 case of omicron, the staff member is isolating and therefore this is protecting other staff members effectively. It is unclear what effects further variants of the virus will have, but the effective control measures will remain in place.

WO-016	<p>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.</p> <p>Risk logged: August 2017</p> <p>Risk Owner: Chief Executive Responsible Officer: Publica Group Finance Director</p>	4	3	12	<ul style="list-style-type: none"> • Programme Board • Local Political Support / Shaareholder Forum • National Political Support • Early Engagement with employees and Unions • Funding provided to develop detailed business case 	2	2	4	2	3	6	↑	<p>17 January 2022 Increase - after a successful 2020/21 where the outturn demonstrated delivery of the overall savings target of £0.5m and additional one off savings of £0.16m Publica has largely delivered its business case targets. The target for 21/22 is a further £0.5m and whilst some steps are in place to deliver this there are pressures building within the organisation in respect of pay capacity to deliver council objectives. The Council has recently approved some additional resource to help resolve some of these issues and steps are being taken to increase resource and deal with pay issues where the labour market is tight. Any risk of under delivery against the West Oxon share of the target is low and falls within the definition of minor in the policy (less than £100k).</p>
WO-028	<p>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.</p> <p>Risk logged: March 2008</p> <p>Risk Owner: Chief Executive Responsible Officer: Publica Executive Director - Service Delivery</p>	3	3	9	<ul style="list-style-type: none"> • Financial incentives (market force supplement scheme) • Work with partners to address skill shortages 	3	3	9	3	3	9	→	<p>13 Jan 2022 No change in rating. Quarterly performance reports enable any necessary mitigation to maintain service delivery levels to be discussed. A review of recruitment is underway and feedback from managers, staff (both Publica and Retained Council staff) clients and Councillors is being considered to help ensure the service meets users' needs and is both flexible and modern going forward. Career-graded posts are being introduced into a number of service areas to assist with retention and development of staff. A new professional development training offer has recently been promoted to staff as another retention measure.</p>
WO-013	<p>If the Government imposes legislative changes that are not expected then it could have an impact on the Council's finances and other resources.</p> <p>Risk logged: July 2015</p> <p>Risk Owner: Monitoring Officer Responsible Officer: Monitoring Officer</p>	4	4	16	<ul style="list-style-type: none"> • Horizon scanning, awareness via professional publications • Respond to government consultations • 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 	3	3	9	3	3	9	→	<p>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 has since published its consultations response which acknowledges the strong opposition from LAs and states this will need to be reconsidered. 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</p> <p>No change in rating. There is currently a lot of interaction with govt agencies and the rate of change of requirements is higher than normal but this is also coupled with more regular interactions.</p>

WO-008	<p>Cyber Security: 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.</p> <p>Risk logged: May 2013</p> <p>Risk Owner: S.151 Officer Responsible Officer: Publica Group Manager for Business Support</p>	5	4	20	<ul style="list-style-type: none"> Blocking of USB and other devices PSN compliance Revised policies Staff awareness training BCP in place, reviewed and tested Enhanced encryption software and other specialist cyber tools Investment in cyber training for the ICT Team All partner Councils achieved PSN accreditation in Oct 2021 Ongoing network Internal & External Penetration checks Regular review of User Privileges 	3	2	6	4	3	12	↑	<p>Level of risk has increased to reflect recent events. Although protection measures are already well established, these are reviewed and updated to ensure they remain effective against new risks</p> <ul style="list-style-type: none"> Submission for the re-accreditation of Cyber Essentials to be sent in February 2022 Progress on the Cyber Security updates and Action Plan is being reported to the Council and Publica on a regular basis. Continual update of Information Asset Register Additional Phishing awareness training to educate employees on how to spot and report suspected phishing attempts planned Continual Password Audits across our network to evaluate weak passwords Detailed review of Business Continuity & Disaster Recovery Plans in light of the GC situation. Ongoing investment in cyber training and a review of capacity planned security systems updated to monitor and specifically block attacks related to identified vulnerability All emails received from at risk location are quarantined and inspected by ICT staff before being released Security patches are applied to key system as soon
WO-009	<p>Data Security: 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..</p> <p>Risk logged: May 2013</p> <p>Risk Owner: S.151 Officer Responsible Officer: Publica Group Manager for Business Support</p>	4	4	16	<ul style="list-style-type: none"> Blocking of USB and other devices PSN compliance Revised policies Staff awareness training BCP in place, reviewed and tested Enhanced encryption software and other specialist cyber tools Investment in cyber training for the ICT Team All Councils have PSN accreditation, which compliments the Cyber Essential Plus. 	3	2	6	3	3	9	↑	<p>Level of risk has increased to reflect recent events. Although protection measures are already well established, these are reviewed and updated to ensure they remain effective against new risks.</p> <ul style="list-style-type: none"> Additional online training to reinforce the need for staff to be aware of their responsibilities with regards to data security, passwords and GDPR is planned. Additional Phishing awareness training to educate employees on how to spot and report suspected phishing attempts is planned. All emails received from at risk location are quarantined and inspected by ICT staff before being released Immutable Storage, Network segmentation, Backup & DR processes in place (these are scheduled to be reviewed).
WO-006	<p>If staff morale and motivation is low in Publica then the level of service delivered may be reduced in some services.</p> <p>Risk logged: March 2009</p> <p>Risk Owner: Chief Executive Responsible Officer: Publica Executive Director - Service Delivery</p>	4	5	20	<ul style="list-style-type: none"> Regular reviews of change process Impact of change measured via Staff forum and staff sickness Comprehensive consultation and engagement process Change management training Joint Liaison Forum 	3	3	9	3	2	6	↓	<p>13 Jan 2022 The IIP report identified some areas of weakness for us to work on and we held a Q&A session post sharing of IIP report. We have held some informal staff lunch get togethers to help re-introduce staff to the office environment and re-connect with colleagues face to face. We are delivering some key actions, including a new staff forum and relaunching the Trade Union liaison forum to help address some of the shortcomings identified in the IIP report.</p>

WO-038	<p>Failure to effectively integrate proposed improvements to the A40 corridor being taken forward through Oxfordshire County Council's HIF funded Smart Corridor project with the timing of planned development including Salt Cross Garden Village.</p> <p>Risk logged: January 2022</p> <p>Risk Owner: Chief Executive Responsible Officer: Publica Group Manager for Strategic Support</p>	4	4	16	<p>WODC to continue to work closely with Oxfordshire County Council as highway authority in relation to the timing of delivery of the A40 Smart Corridor improvements. In parallel, WODC to continue working closely with developers and landowners in respect of the phasing of development and the timing of provision of supporting infrastructure including transport so as to ensure effective integration as far as possible.</p>				3	4	12	<p>Oxfordshire County Council is currently progressing significant improvements to the A40 through its HIF Smart Corridor project which is now the subject of a planning application. As the scheme is funded through HIF, there are a number of milestones which will need to be met which creates a potential mis-match between the timing of these improvements and related improvements which are needed to support the delivery of some of the local plan strategic sites. An example of this is the provision of a new 'western development roundabout' which will provide the main point of access into Salt Cross Garden Village. Whilst the western roundabout is included in the current A40 planning application, there is currently no funding available for delivery as it falls outside the scope of the HIF funding. As such, whilst the roundabout is expected to ultimately be developer funded, there is no current funding available. Because of the timing of the proposed A40 improvements being taken forward through the HIF funding, there is a risk of the roundabout having to be retrospectively put into place after the substantive works to the A40 having been completed thus increasing cost and disruption. The same principle applies to the proposed underpass between Old Witney Road and Cuckoo Lane.</p>
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MEETING THE HOUSING NEEDS OF OUR CHANGING POPULATION

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WO-039	<p>If the overall Local Plan housing requirement to 2031 are not met, this may increase the risk of speculative development on non-allocated (windfall) sites in less suitable locations.</p> <p>Risk logged: January 2022</p> <p>Risk Owner: Chief Executive Responsible Officer: Publica Group Manager for Strategic Support</p>	3	3	9	<p>Progression of Garden Village AAP to adoption which will enable determination of the current outline planning application for that site. Officers are also working with other strategic site landowners and developers to put in place agreed masterplans which will enable other current or future applications to be determined. Elsewhere, potentially suitable sites will be considered through a forthcoming update of the Council's Strategic Housing Land Availability Assessment (SHLAA) as well as through pre-application discussions on sites which are considered to have realistic development potential.</p>				3	3	9	<p>There are two main considerations for housing land supply the overall Local Plan requirement of 15,950 homes from 2011 - 2031 and the required, rolling supply of deliverable sites over the next 5-year period (currently 2021 - 2026). Because the adopted Local Plan is based on a 'stepped' housing requirement which increases in the second half of the plan period, it is becoming increasingly difficult for the District Council to be able to demonstrate an adequate 5-year supply. This is being compounded by the long-lead in times associated with delivery of the strategic sites which will provide 6,250 homes (40% of the overall requirement). Officers are working proactively with the relevant landowners and developers to expedite matters wherever possible.</p>	

STRONG LOCAL COMMUNITIES

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WO-035	District Councils are required to provide rest centres for the Public during a Civil Emergency. If staff are unwilling to come forward and volunteer with the running of a rest centre, there is a risk that the Council will be unable to fulfil its duty in providing a safe rest centre. Risk logged: January 2021 Risk Owner: Chief Executive Responsible Officer: Publica Group Manager for Strategic Support	3	3	9	<ul style="list-style-type: none"> • Role of Oxford County Council and the use of hotels as an alternative to rest centres. • Small team of volunteers established (although some have left Publica in recent months). • Training and support provided by the County Civil Protection Team. • New staff have emergency planning incorporated in Job Roles. 	3	3	9	2	2	4	↓	11 Jan 22 - risk reduced - emergency planning documents have now been updated - county council position now confirmed and small team of volunteers now set up

Key to Officers

Risk Owner

S.151 Officer: Elizabeth Griffiths

Monitoring Officer: Angela Claridge

Chief Executive: Giles Hughes

Responsible Officer

Publica Group Finance Director: Frank Wilson

Publica Executive Director - Service Delivery: Sue Pangbourne

Publica Business Manager for Business Support: Phil Martin

Publica Head of Legal Services: Susan Gargett

Publica Group Manager for Commissioning: Claire Locke

Publica Group Manager for Strategic Support: Andy Barge

Publica Business Manager for Data and Growth: Stuart Rawlinson

Publica Data Protection Officer: Tony Oladejo

Publica Business Manager for Development Control: Phil Shaw