

## West Oxfordshire District Council - Strategic 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			Overall Change	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	5	3	15	0	<input type="checkbox"/>	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 Property and Regeneration	5	4	20	<ul style="list-style-type: none"> <li>Regular meetings with Contractors to identify any major issues that may affect service delivery, agree contingency measures and feedback to the Council</li> <li>Agreement was reached to compensate the Council for wheeled bin failures</li> <li>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</li> </ul>	4	1	4	4	1	4	0	<input type="checkbox"/>	. 17.03.22 Ubico are continuing to be able to recruit enough drivers to be able to deliver all of the services, so whilst this risk hasn't disappeared within the transport industry, it does at least appear to have reduced. 08.09.22 services being sustained with current resources and Covid nor the drivers shortage is currently posing a significant issue. 03.11.22 No change.
WO-016	Having reduced budgets in line with the original business case there is a risk that Publica does not deliver services in line with the agreed delivery targets. This could result requests for additional budget growth or reduce the flexibility to meet new and amended service requests or lead to budget overspends.  Risk logged: April 2022  Risk Owner: Chief Executive Responsible Officer: Publica Group Finance Director	3	4	12	<ul style="list-style-type: none"> <li>Local Political Support / Shareholder Forum</li> <li>National Political Support</li> <li>Scrutiny and Performance Reviews</li> </ul>	3	3	9	3	3	9	0	<input type="checkbox"/>	7 Nov 2022 - Publica has put forward a range of additional investment options to the Councils via the shareholder forum which offer the opportunity for additional savings but also investment in some areas where there are additional service pressures.. These will be considered as part of the budget process.

## NOTES

Elizabeth Griffiths

Scott Williams, Also CDC register as CRR 034

Frank Wilson  
Also CDC as CDC027

WO-028	<p>In light of an extremely tight labour market and increasing inflationary pressures 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: April 2022</p> <p>Risk Owner: Chief Executive Responsible Officer: Publica Executive Director</p>	3	3	9	<ul style="list-style-type: none"> <li>Financial incentives (market force supplement scheme)</li> <li>Work with partners to address skill shortages</li> <li>Review pay and benefits package.</li> <li>Career grade structures introduced into Planning and Project Management roles</li> </ul>	3	3	9	3	3	9	0	<input type="checkbox"/>	<p>November 2022 - No change in rating. Quarterly performance reports enable any necessary mitigation to maintain service delivery levels to be discussed. A recruitment improvement plan is underway to help ensure the service meets users' needs and is both flexible and modern going forward. Career-graded posts have been introduced into Development Management and Project Management, to assist with retention and development of staff. A new training offer has been promoted to staff as another retention measure with over 40 employees now undertaking professional development training. Staff turnover is currently slightly below the pre-pandemic level.</p>	<p>Sue Pangbourne Also on CDC as CRR-003</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 Services</p>	5	4	20	<ul style="list-style-type: none"> <li>Blocking of USB and other devices</li> <li>PSN compliance</li> <li>Revised policies</li> <li>Staff awareness training</li> <li>BCP in place, reviewed and tested</li> <li>Enhanced encryption software and other specialist cyber tools</li> <li>Investment in cyber training for the ICT Team</li> <li>All partner Councils achieved PSN accreditation in Oct 2021</li> <li>Ongoing network Internal &amp; External Penetration checks</li> <li>Regular review of User Privileges</li> </ul>	4	3	12	4	3	12	0	<input type="checkbox"/>	<p>November 2022 - Level of risk remains at amber as work continues on our approach to cyber security. The additional funding received from the Councils and the formation of a new team, has enabled us to procure and configure new more advanced and complex security systems.</p> <p>Although protection measures are already well established and are being enhanced, these are continually reviewed and updated to ensure they remain effective against new risks</p> <p>Progress on the Cyber Security updates and Action Plan is being reported to the Council and Publica on a regular basis.</p> <p>The Council's Cyber Insurance was successfully renewed on 1st November 2022.</p> <p>Security systems have been updated to monitor and specifically block attacks related to identified vulnerability</p> <p>All emails received from at risk location are quarantined and inspected by ICT staff before being released. We have also extended our Geo-blocking to countries directly involved in the Ukrainian conflict.</p> <p>Security patches are applied to key system as soon as they are available</p> <p>The Council's PSN (Public Services Network) certificates were issued in February 2022. This year's renewal process has begun with third party cyber security experts scheduled to begin conducting both external and internal testing in December 2022.</p>	<p>Phil Martin Also on CDC Register and Publica Register as P2</p>

WO-009	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.  Risk logged: May 2013  Risk Owner: S.151 Officer Responsible Officer: Publica Group Manager for Business Services	4	4	16	<ul style="list-style-type: none"> <li>Blocking of USB and other devices</li> <li>PSN compliance</li> <li>Revised policies</li> <li>Staff awareness training</li> <li>BCP in place, reviewed and tested</li> <li>Enhanced encryption software and other specialist cyber tools</li> <li>Investment in cyber training for the ICT Team</li> <li>All Councils have PSN accreditation, which compliments the Cyber Essential Plus.</li> </ul>	3	3	9	3	3	9	0	<input type="checkbox"/>	<p>November 2022 - Level of risk remains static whilst work continues in this area.</p> <p>Although protection measures are already well established, these are reviewed and updated to ensure they remain effective against new risks.</p> <p>Additional online training to reinforce the need for staff to be aware of their responsibilities with regards to data security, passwords and GDPR is being rolled out and will be incorporated into the relaunch of ihasco in November</p> <p>Staff Security Awareness Training including Phishing Training and simulation to educates employees on how to spot and report suspected phishing attempts is being prepared for roll out to staff</p> <p>All emails received from at risk location are quarantined and inspected by ICT staff before being released.</p> <p>Immutable Storage, Network segmentation, Backup &amp; DR processes in place (these are scheduled to be reviewed).</p>	Phil Martin Also on CDC Register and Publica Register as P29
WO-006	The move to permanent agile working arrangements presents a risk that the well being of staff is not properly monitored and reviewed.  Risk logged: April 2022  Risk Owner: Chief Executive Responsible Officer: Publica Executive Director	4	5	20	<ul style="list-style-type: none"> <li>Regular reviews of change process</li> <li>Impact of change measured via Staff forum and staff sickness</li> <li>Comprehensive consultation and engagement process</li> <li>Change management training</li> <li>Joint Liaison Forum</li> </ul>	3	2	6	3	2	6	0	<input type="checkbox"/>	<p>November 2022 - No change in rating. Investors in People accreditation was achieved by Publica in July 2022 which highlights the improvements made towards supporting staff in the move towards new ways of working in an agile environment. Office moves now being planned out in detail and straightforward moves are being actioned.</p>	Frank Wilson/Sue Pangbourne Also CDC Register CDC 009
WO-036	Without clear and robust procurement procedures, Publica and Partner Councils will not benefit from the most economically advantageous procurement opportunities and may fail to comply with the law governing Public Procurement Rules.  Risk logged: January 2021  Risk Owner: Chief Executive Responsible Officer: Group Manager Business Services	4	3	12	<ul style="list-style-type: none"> <li>Procurement rules approved Council.</li> <li>Publica Procurement Team able to provide procurement advice and assistance on major procurements.</li> </ul>	3	2	6	3	1	3	-3	<input type="checkbox"/>	<p>3/11/22 - Procurement and Contract Management approved by WODC Audit and Governance Committee. Scheduled to be taken to Cabinet in the New Year. Commissioning and Procurement Board meet monthly to ensure effective commissioning is embedded in the Procurement process. Robust procurement procedures in place.</p>	Ciaran O'Kane Also on CDC as CDC 032 Update for next few months to reflect improvements. Remove when LMT are happy?
WO-042	Pay award - there is a risk that the continued pay award negotiations may result in an solution which is outside of the medium term financial strategy or industrial actions by staff  Risk logged: June 2022  Risk Owner: Chief Executive Responsible Officer: Publica Executive Director for Finance	4	3	12	<ul style="list-style-type: none"> <li>Negotiations have concluded.</li> </ul>	4	5	20	4	5	20	0	<input type="checkbox"/>	<p>November 2022 - the Councils budget includes an allowance for 2.5% pay growth. A settlement has been agreed between the employers and the unions that is a flat cash £1,925 per annum across all employees. This will cost in the order of 6% of the overall payroll and as such is significantly outside the current budget.</p>	Frank Wilson

HEALTHY TOWNS AND VILLAGES								
Risk ID	Description of Risk/Opportunity	Initial Risk Assessment	Existing Control, Mitigation or Contingency	Previous Residual Risk Score	Residual Risk Assessment	Overall Change	Direction of Travel	Risk Response & Further Action

		Impact	likelihood	score		Impact	likelihood	score	Impact	likelihood	score			
WO-041	Leisure Services: It is unclear if numbers of users for Council's Leisure Centres will return to pre-covid lockdown levels. With reduced numbers and a fall in income, the 'Leisure' contractor may struggle to meet their obligations leading to a fall in service standards and reduced customer service..  Risk logged: January 2022  Risk Owner: S.151 Officer Responsible Officer: Publica Group Manager for Commercial Development	5	4	20	Regular meetings with the Leisure Provider will identify any major issues that may affect service delivery, agree contingency measures and feedback to the Council The impact of Covid 19 on our leisure provider has been very significant and fully reported elsewhere within the Council The Council has been partially recompensed by the government for the loss of income during lockdown but there is still an ongoing financial risk to the council	4	2	8	4	4	16	8	<input type="checkbox"/>	17.03.22 Usage numbers are continuing to improve as consumer confidence builds within the industry and the provider is seeing a welcome boost in income. 08.09.22 Usage continues to recover particularly in swimming and swim school thanks to the prolonged hot weather however, the utilities costs are now posing a significant risk for the operator and so we are waiting to see how the package of measure due to be released by the new Government will help mitigate. 03.11.22 GLL have approached the Council with regard to financial support - discussions ongoing.

Scott Williams

A VIBRANT DISTRICT ECONOMY														
Risk ID	Description of Risk/Opportunity	Initial Risk Assessment			Existing Control, Mitigation or Contingency	Previous Residual Risk Score			Residual Risk Assessment			Overall Change	Direction of Travel	Risk Response & Further Action
		Impact	likelihood	score		Impact	likelihood	score	Impact	likelihood	score			
WO-038	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.  Risk logged: January 2022  Risk Owner: Chief Executive Responsible Officer: Publica Group Manager for Communities	4	4	16	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. Additional work on phasing prepare as part of Area Action Plan (AAP) examination. Further recent discussions with OCC in relation to potential forward funding mechanisms. Construction of park and ride site (part of the overall project) now underway but the inter-relationship with the garden village and west Eynsham is less direct.	3	4	12	3	4	12	0	<input type="checkbox"/>	November 2022: 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 mismatch 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.

Chris Hargraves

MEETING THE HOUSING NEEDS OF OUR CHANGING POPULATION														
Risk ID	Description of Risk/Opportunity	Initial Risk Assessment			Existing Control, Mitigation or Contingency	Previous Residual Risk Score			Residual Risk Assessment			Overall Change	Direction of Travel	Risk Response & Further Action
		Impact	likelihood	score		Impact	likelihood	score	Impact	likelihood	score			

Notes from Frank

WO-039	<p>If the overall Local Plan housing requirement to 2031 is 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 Communities</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. Consultation on proposed Main Modifications closing on 4 November with a view to adoption in early 2023. 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. A Masterplan for the West Eynsham SDA was approved by Cabinet on 16 March 2022. 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	3	5	16	6	<input type="checkbox"/>	<p>November 2022: 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). In a recent appeal decision on land east of Barns Lane Burford, whilst dismissing the appeal, the Inspector concluded that that the District Council is unable to currently demonstrate a 5-year supply of deliverable housing land. The impact of this is that the 'tilted balance' of the NPPF is engaged whereby there is a presumption in favour of development unless there would be significant harm. To address this, Officers are in the process of updating the Council's 5-year housing land supply position statement to cover the period 2022 - 2027. In preparing the update, evidence of delivery is being sought from site developers to ensure that the Council's assumptions are reasonable and robust. Other opportunities to increase delivery are also being explored (e.g. increasing capacity on existing sites where the principle of development has already been established). Whilst the updated housing position statement is still being finalised, the early indications are that the Council will not be able to demonstrate a 5-year supply.</p>
--------	---	---	---	---	--	---	---	---	---	---	----	---	--------------------------	--

Chris Hargraves

STRONG LOCAL COMMUNITIES														
Risk ID	Description of Risk/Opportunity	Initial Risk Assessment			Existing Control, Mitigation or Contingency	Previous Residual Risk Score			Residual Risk Assessment			Overall Change	Direction of Travel	Risk Response & Further Action
		Impact	likelihood	score		Impact	likelihood	score	Impact	likelihood	score			
WO-035	<p>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.</p> <p>Risk logged: January 2021</p> <p>Risk Owner: Chief Executive Responsible Officer: Publica Group Manager for Organisational Effectiveness</p>	3	3	9	<ul style="list-style-type: none"> <li>• Role of Oxford County Council and the use of hotels as an alternative to rest centres.</li> <li>• Small team of volunteers established (although some have left Publica in recent months).</li> <li>• Training and support provided by the County Civil Protection Team.</li> <li>• New staff have emergency planning incorporated in Job Roles.</li> </ul>	2	2	4	2	2	4	0	<input type="checkbox"/>	<p>November 2022 - work is ongoing in this area. A new emergency planning framework is being launched together with a campaign to recruit additional volunteers. Rest centre training was provided to existing volunteers in October.</p>

Zoe Campbell  
Also on CDC as CDC 031

**Key to Officers**

**Risk Owner**

S.151 Officer: Elizabeth Griffiths  
Monitoring Officer: Susan Sale  
Chief Executive: Giles Hughes

**Responsible Officer**

Publica Group Finance Director: Frank Wilson  
Publica Executive Director: Sue Pangbourne  
Publica Group Manager for Business Services: Phil Martin  
Publica Group Manager for Property and Regeneration: Claire Locke  
Publica Group Manager for Communities: Andy Barge  
Publica Group Manager for Commercial Development: Bill Oddy  
Publica Group Manager for Organisational Effectiveness: Zoe Campbell  
Publica Group Manager for Residents' Services: Jon Dearing

Head of Legal Services: Susan Gargett  
Publica Business Manager for Data and Growth: Stuart Rawlinson  
Publica Data Protection Officer: Tony Oladejo  
Publica Business Manager for Development Management: Phil Shaw