

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	4	3	12	-3	<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. March 2023 - More certainty around funding for 23/24 and 24/25, however, picture after this is unknown. Reduced whilst certainty exists.
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"> 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	1	4	4	1	4	0	<input type="checkbox"/>	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. March 2023 - living with Covid now in place and service impact significantly reduced.
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"> Local Political Support / Shareholder Forum National Political Support Scrutiny and Performance Reviews 	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. March 2023 - Ongoing monitoring / Reporting
WO-028	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. Risk logged: April 2022 Risk Owner: Chief Executive Responsible Officer: Publica Executive Director	3	3	9	<ul style="list-style-type: none"> Financial incentives (market force supplement scheme) Work with partners to address skill shortages Review pay and benefits package. Career grade structures introduced into Planning and Project Management roles 	3	3	9	3	3	9	0	<input type="checkbox"/>	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. March 2023 - New Assistant Director for Organisational Effectiveness in post who is focusing on the 'people pillar' which includes the ambition to make Publica a great place to work to help improve retention and attract new staff.

NOTES

Elizabeth Griffiths
Scott Williams, Also CDC register as CRR 034
Frank Wilson Also CDC as CDC027
Zoe Campbell Also on CDC and Publica Risk Register

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"> 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 	4	3	12	5	3	15	3	<input type="checkbox"/>	<p>March 2023 - Level of risk increased as impact of risk reassessed, however, the likelihood remains unchanged as work continues on our approach to cyber security. The Council has recently agreed to an increase in investment in this area which will enable the work previously identified to be taken forward. Although protection measures are already well established, these are reviewed and updated to ensure they remain effective against new risks Cyber Essentials re-accreditation has been approved. Submission for the re-accreditation of Cyber Essentials to be sent in February 2023 Progress on the Cyber Security updates and Action Plan is being reported to the Council and Publica on a regular basis. Cyber Team now in place. Continual update of Information Asset Register Ongoing Password Audits across our network to evaluate</p>	Phil Martin Also on CDC Register and Publica Register as P2
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 Services</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	3	9	3	3	9	0	<input type="checkbox"/>	<p>November 2022 (March 2023 - no change) - 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 & DR processes in place (these are scheduled to be reviewed).</p>	Phil Martin Also on CDC Register and Publica Register as P29
WO-006	<p>The move to permanent agile working arrangements presents a risk that the well being of staff is not properly monitored and reviewed.</p> <p>Risk logged: April 2022</p> <p>Risk Owner: Chief Executive Responsible Officer: Publica Executive Director</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	2	6	3	2	6	0	<input type="checkbox"/>	<p>March 2023 - No change in rating. Investors in People accreditation was achieved by Publica in July 2022 and further work is ongoing to make Publica a Great place to work. Staff consulted on the Office moves and part of the proposed change.</p>	Frank Wilson Also CDC Register CDC 009
WO-036	<p>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.</p> <p>Risk logged: January 2021</p> <p>Risk Owner: Chief Executive Responsible Officer: Group Manager Business Services</p>	4	3	12	<ul style="list-style-type: none"> Procurement rules approved Council. Publica Procurement Team able to provide procurement advice and assistance on major procurements. 	3	1	3	3	1	3	0	<input type="checkbox"/>	<p>3/11/22 / March 2023 (no change) - 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	<p>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</p> <p>Risk logged: June 2022</p> <p>Risk Owner: Chief Executive Responsible Officer: Publica Executive Director for Finance</p>	4	3	12	<ul style="list-style-type: none"> Negotiations have concluded. 	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 paybill and as such is significantly outside the current budget. March 2023 - Negotiations underway for the 2023/24 pay settlement. Unions have declined recent pay offer and are balloting members. Whilst potential risk of industrial action, low % of Publica Staff are Union members. Higher numbers in partner organisation, Ubico.</p>	Frank Wilson

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 Communities</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. 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. OCC are currently reviewing the scope of the A40 project in light of cost pressures. Further detail on this is expected in April 2023.</p>	3	4	12	3	4	12	0	<input type="checkbox"/>	<p>March 2023: 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. OCC are currently reviewing the scope of the A40 project in light of cost pressures. Further detail on this is expected in April 2023. The outcome of this will need to be taken into account in terms of integration with strategic development schemes including West Eynsham and Salt Cross Garden Village.</p>
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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
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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. Final Inspectors report into the AAP now received. 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. It is also anticipated that the Government will publish changes to the NPPF shortly which will remove the need to demonstrate a 5-year housing land supply where local plans are less than 5 years old. The review of the West Oxfordshire Local Plan also provides an opportunity to 'reset' the housing requirement for West Oxfordshire and consider any slippage in the delay of sites allocated within the adopted local plan.</p>	3	5	15	3	5	15	0	<input type="checkbox"/>	<p>March 2023: 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). The Council's published position statement suggests a 4.1 year supply. However, in a number of recent appeal decisions, the Inspectors have concluded that the supply is less than this. It is anticipated that the Government will publish changes to the NPPF shortly which will remove the need to demonstrate a 5-year housing land supply where local plans are less than 5 years old. In September 2023 when the current local plan becomes 5 years old, the Council has the opportunity to declare its housing requirement out of date and default to the Government's standard method which will improve the supply position. The review of the West Oxfordshire Local Plan also provides an opportunity to 'reset' the housing requirement for West Oxfordshire.</p>

Notes from Frank

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
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WO-035	<p>Major Civil Emergencies. 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. If the Council is unable to provide a sustained response to a major civil emergency, the Council would be failing in fulfilling its statutory duty to assist and care for those affected.</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"> • 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. 	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> <p>March 2023 - new Emergency Planning Process now developed, using a locality approach for significant emergencies. Staff are currently being identified and training will then be arranged for all roles and responsibilities to ensure a resilient and robust response is in place.</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 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: Helen Blundell
Publica Business Manager for Data and Growth: Stuart Rawlinson
Publica Data Protection Officer: Tony Oladejo
Publica Business Manager for Development Management: Phil Shaw