







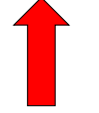


West Oxfordshire District Council Strategic Risk Register - September 2023

ID	Risk Title	Description of risk / opportunity	Date raised	Risk Owner	Initial Risk			Existing Control, Mitigation or Contingency	Residual Risk (current)			Change in residual risk since previous review	Follow on Action (if required)	Target delivery date	Risk Acceptance Level	Update comments	Status: Open, Hold, or Closed	Direction of Travel since previous review)
					Impact category	Likelihood category	Score		Impact category	Likelihood category	Score							
Internal Risks																		
R1	Financial Stability of WODC	There is a risk that the Council's finances become unsustainable. The future funding available to the Council remains extremely uncertain and the Council is particularly exposed to pending changes to retained business rate growth and new homes bonus income. Commercial income streams are also subject to some volatility. There are also significantly cost pressures as a result of inflation. The Council's General Fund Balance is currently healthy but will fall below minimum levels without further action, as set out in the Medium Term Financial Strategy (MTFS).	1/5/2023	Finance Director S151	Extreme	Probable	20	General Fund Reserves are currently healthy. 23/24 Budget updated to include known cost pressures. Budget monitoring in place throughout the year. Budget setting for 24/25 to identify additional opportunities and pressures. A Transformation Group has been established to drive further efficiencies forward.	Major	Probable	16	-4	Continued in year budget monitoring and reporting. The 24/25 Budget to be collated and an updated MTFS to be reviewed by Executive and Council. Review of earmarked reserves. Further consideration of options - particularly in areas of Waste, Leisure, Homelessness and Asset Management with a view to bridging the financial gap identifies within the MTFS. In addition, more member training to be considered to increase profile of budgetary challenges.	Ongoing	Risk Reduction	The new interim S151 has revisited this risk which has been reworded and scored.	Open	
R2	GDPR / Information Management	If the council is not compliant with the General Data Protection and does not have robust processes in place for Information Management then there is a risk of financial penalties, reputational damage and impact on resources	1/5/2013	AD Business Services (PM)	Major	Probable	16	Policies and procedures in place for Data Protection Compliance Data Protection Officer and team in place. ICT systems compliant with Data Protection with PSN accreditation / cyber essentials Mandatory training for all staff Data Protection Privacy notices in place. Data sharing agreements in place Data breach processes in place	Major	Possible	12	0	All emails received from at risk location are quarantined and inspected by ICT staff before being released. See also risk P5 on cyber security. Currently rolling out new training programme for staff on data protection and cyber awareness.	Ongoing	Risk Reduction	PSN accreditation achieved again in June 2023 confirming the safety of our network	Open	
R3	Health & Safety	If the council and its contractors / partners are not compliant with the Health & Safety at Work Act, it is at risk of a serious Health & Safety incident / accident leading to financial penalties, reputational damage and risk to services.	30/8/2023	AD Business Services (PM)	Major	Possible	12	Health & Safety business partner in place to monitor compliance for Publica, with H&S Board and audit / inspection process. New H&S policy in place for Publica. Ubico have specialist H&S Officers and hold ISO45001, the highest level of H&S compliance. Services delivered by Council and Publica are low risk, highest risk is services contracted to Ubico where H&S is paramount.	Major	Remote	8	0	Health & Safety Board in place to monitor compliance and report back to the Shareholder.	Ongoing	Risk Sharing		Open	
R4	Legislative Compliance	If the Council and its contractors / partners is not compliant with relevant legislation, it is at risk of not meeting its statutory duty, reputational damage and financial impact	30/8/2023	Monitoring Officer	Moderate	Possible	9	Individual ADs and BMs responsible for Legal compliance within their respective areas with an annual declaration in place to monitor compliance. Audit process in place to check compliance. Service areas receive updates on legislation for their service areas. Review of legal services being completed.	Minor	Possible	6	-3	Work ongoing to ensure we remain compliant with current legislation and future legislation	Ongoing	Risk Reduction			
R5	Shareholder Review of Publica	The four Publica Shareholder Councils (West Oxfordshire, Cotswold, Forest of Dean and Cheltenham) have commissioned a joint review of Publica. This will consider the future delivery options for a number of the Council services, and consider the governance arrangements for Publica. The outcome of the review cannot increase the overall cost of services, though alternatives can be proposed. Any decision by an individual Shareholder Council can have an impact on the remaining Shareholders in terms of service, cost and reputation.	31/8/2023	CEO (GH)	Moderate	Possible	9	The review is currently being completed, with the final report due for completion in October. All Shareholders to be involved in the review of the findings and recommendations	moderate	possible	9	0	Provide information to consultants, and watching brief until findings and options/recommendations provided by consultant.	Ongoing	Risk Reduction			New Risk

External Risks																		
R6	Cyber Attack	If the ICT network is not adequately protected then it is susceptible to a Cyber - Security Attack leading to loss of systems and data, significant downtime, reputational damage and impact on service delivery and resources	1/5/2013	AD Business Services (PM)	Extreme	Probable	20	Blocking of USB and other devices. PSN compliance. Revised policies. Staff awareness training. Business Continuity Plan in place, reviewed and tested. Enhanced encryption software and other specialist cyber tools. Investment in cyber training for the ICT Team and specialist officer/s in post. Cyber Essentials re- accreditation submitted. Ongoing network Internal & External Penetration checks. Continual Password Audits across our network to evaluate weak password. Detailed review of Business Continuity & Disaster Recovery Plans in light of recent cyber attack on neighbouring council.	Major	Possible	12	0	Cyber Ninja training currently being rolled out across the organisation, which will be followed by Phishing emails to test understanding and awareness following the training. Ongoing investment in cyber team with dedicated team now in place. Regular review of User Privileges and Information Asset Register.	Ongoing	Risk Reduction		Open	
R7	Global Pandemic	If there was another global pandemic, then there is a risk to the delivery of council services due to lack of resource availability, impacting on costs and reputation	1/7/2023	CEO (GH)	Moderate	Possible	9	New risk to replace Covid specific risks, as Covid is now BAU. Lessons learnt from previous pandemic, Council and partners are now setup to work remotely and able to continue to deliver services in the midst of a pandemic. There is an effective framework in place with Oxfordshire partners.	Moderate	Possible	9	0	Watching brief should a further pandemic be predicted	Hold	Risk Acceptance & Retention	Risk replaces covid specific risks	Hold	
Strategic Risks																		
R8	Major Civil Emergency	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.	1/1/2021	BM for Emergency Planning (CS)	Major	Possible	12	Emergency planning team in place. Emergency Planning Process in place, with defined roles and responsibilities. Staff trained in their roles. 24/7 callout in place. Ongoing work with the Local Resilience Forum.	Major	Possible	12	0	Developing locality response team to include locality leads, response teams and rest centre managers to add additional resilience to the emergency teams which are already in place. All documentation will be reviewed once teams are confirmed.	Dec-23	Risk Reduction	Difficult to reduce as likely to be caused by natural disaster e.g., flooding or major incident. Therefore, it is about our ability to respond and meet obligations under Civil Emergencies Act.	Open	
R9	Climate Emergency	The Council has made a commitment to achieve countywide carbon neutrality as well a carbon neutrality for the Council's own services. Failure to achieve these targets could result in the Council not meeting its commitments, as well as risk in terms of cost of delivery if the Government does not provide funding for delivery of carbon targets	1/6/2023	CEO (GH)	Moderate	Probable	12	Desire of Council to become carbon neutral, however affordability and government funding to achieve this may not be in line with ambitions	moderate	possible	9	0	Focused delivery of key projects will be embedded in refreshed Service Delivery Plans. To achieve the targets may require significant further investment.	Mar-23	Risk Reduction	Additional risk due to increasing costs of investment, making business cases difficult	Open	

Partnership Risks																		
R10	Failure of Ubico (waste provider)	If the 'Waste' contractor does 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 and reputational impact Waste and Recycling - shortage of qualified HGV drivers, lack of loaders, along with the impact of future Covid variants could result in the Waste Contractor being unable to meet its obligations for waste and recycling collections.	15/6/2023	AD Commercial Services (B.O)	Major	Possible	12	WODC is a shareholder of Ubico, with significant control and influence over the company ensuring ongoing financial viability and affordability for the Council. Contract Management in place to ensure Ubico deliver the service in-line with agreed specification and standards. Performance reports presented to Council.	Major	possible	12	0		Sep-23	Risk Reduction		Open	
R11	Failure of Leisure provider (GLL)	If the current leisure provider continues to face national financial difficulties, there is a risk to the council in the delivery of leisure services, resulting in increased costs, and reputational damage. Whilst mitigations can be put in place to increase leisure provision locally, WODC cannot influence the overall GLL financial difficulties / pressures.	15/6/2023	AD Communities (AB)	Major	Probable	16	Work continues with GLL to make the service sustainable and affordable in the medium term.	Major	possible	12	0		Oct-23	Risk Reduction		Open	
R12	Partnership Failure (Publica)	If Publica do not deliver the Future Publica Savings, this will add additional financial pressure on the Council, also if delivered as a cutting exercise, it could impact on service delivery. If Publica are unable to recruit/retain suitably qualified staff - impact on quality of services delivered, financial impact Services are not able to adequately discharge their (legal) obligations leading to failure - this may not be reported through the quarterly performance reports	15/6/2023	CEO (GH)	Major	Possible	12	Financial incentives (market force supplement scheme) Review of pay and benefits package. Introduction of career grade structures in Planning and Project Management Recruitment improvement plan in place Investors in People HR programme in place Shareholder Forum in place to hold Publica to account.	Moderate	possible	9	3	Regular updates to be provided from Publica on savings progress against Future Publica. Performance reports to Cabinet	March 2024 for first efficiency savings	Risk Reduction	Risk increased from 6 to 9 to reflect ongoing review (see R5)	Open	
Major Project Risks																		
R13	Failure to deliver WODC programme of major projects	If the Council does deliver on it's major projects, this could result in non delivery of Council priorities , cost increases, financial pressures and reputational damage		CEO (GH)	Major	Possible	12	All projects require a detailed business case and sign off before proceeding. Project Manager appointed to manage all major projects Project reporting in place, including risk reporting on a monthly basis.	Moderate	Possible	9	0			Risk Reduction		Open	