




Risk rating:
 Limited /no assurance/critical
 Satisfactory assurance/risks
 Full/substantial assurance /risks

KEY

VWHDC Strategic objectives

- Va** Running an efficient council
- Vb** Housing and infrastructure
- Vc** Sustainable communities and wellbeing
- Vd** Building an even stronger economy

Corporate Risk Register - Vale of White Horse District Council

Risk No/Ref	Strategic objective ref	Risk category	Risk description / consequences	Gross risk rating	Risk owner	Mitigation actions	Action owner	Net risk rating	Tolerable Y/N	Further mitigation actions if required	Review by when
2	Va	Technology security	IT Cybersecurity breach due to inadequate security protection and naïve user behaviour may lead to the council systems being hacked resulting in the council being unable to operate effectively and securely and subject to loss of reputation as well a financial loss.	9	Adrianna Partridge	CAPITA information security infrastructure provides continuous updates of security software, firewalls and patches. Information security group regularly meets to discuss issues and mitigation actions. Cybersecurity awareness campaign to raise awareness of employee responsibilities to mitigate against data security issues. The risk and insurance officer along with risk champions review council risk exposure and mitigation actions. An information governance officer and data protection officer have been appointed. Roles and responsibilities to be defined going forward. LGA funding secured to train a key IT manager in the certificate of Cyber security (CISSM/P)	Lee Brown Sally Truman Yvonne Cutler Greaves Sandy Bayley	8	Y	Ongoing effective management of security arrangements provided by CAPITA contract. Ongoing cybersecurity awareness campaign. Ensure cybersecurity awareness as part of induction training for new starters. All cybersecurity breaches are investigated. Review mobile device security through a mobile device management procedure. The new campaign summarising key messages from 2018 to include regular real time news items on Jarvis outlining actual incident; e mail phishing exercises and training were delayed due to elections and has been superseded by an 'In house' Monitoring Group which will review training provided on the councils new learning management system as well as a comms campaign to raise awareness. Devise a cybersecurity incident plan across the councils.	Jul-20
15	Vb Ve	Programmes	Failure of third party contracts to deliver acceptable levels of service results in a reduction in council service provision. (See separate risk registers)	8	Mark Stone	Constant review of contractors financial viability. Prioritise the introduction of business continuity plans. A new procurement officer is now in place and a review of the contracts database has commenced. Contractors have been unable to operate therefore loss of revenue may impact their future financial viability. Keep a watching brief.	SMT	8	Y	Continued refocus on third party contracts. Develop business continuity plans across all services. Review contract governance and clarify Roles and Responsibilities . Up to date contracts register.	Jul-20
49	Va	Finance	Failure to ensure smooth transition of HR and Payroll services back" in house". Could result in loss of payroll service provision at a critical time of pay year Salary review and budget setting during Easter holiday period (April 2020).	8	Adrianna Partridge	Early engagement with CAPITA HR . Update 04/2020 April Pay day successful despite COVID 19 and return to in house . New resourcing provided to support in other areas IE Holiday entitlement.		1		Completed	complete

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51	Covid	Finance	Loss of council revenues and increased council expenditure will result in council deficits going forward and inability to progress key projects.	9	Mark Stone	Review expenditure and revenue trying to maintain business as usual across services. Ensure Council tax DDs are operational. Monitor government initiatives for local government support and finance. Finance team keep watching brief on expenditure via spreadsheet and undertake impact assessment. S151 Officers across Oxfordshire meet regularly to discuss collective impact. To enable monitoring, the Business Resilience Plans for all service teams will have a finance tab to facilitate efficient collection of this data for finance once they have given a steer on the type of information required.	SH	7		Keep watching brief to enable revenue collections at earliest opportunity once lockdown is eased, support revenue creating service through lockdown. Continuously monitor expenditure to better understand the short, medium- and long-term financial exposure. Agree a revised budget in Autumn 2020	Jul-20
18	Vc	Programmes	Failure to capitalise and influence national initiatives that benefit the districts.	8	Mark Stone	Continue to work in partnership with others (experts) to seek new areas of potential funding building on our successful approach to raising money to support a number of major developments in the district such as securing a housing grant deal for the district. There is an inconsistent approach to a feedback mechanism to share ideas and on funding sources or comment on National Policy.	Andrew Down	5	Y	Management restructure has enabled resource to be allocated to research future funding opportunities through the Policy and Insight service area ,within the remit of the service is external funding, with the objective of "We will identify and attract external funding to benefit our communities and fulfil our objectives; working to maximise inward investment into Oxfordshire". This will be undertaken via active collaboration and engagement with all our partners (Growth Board, Oxfordshire County Council and Homes England) to ensure favourable future outcomes. Review the impact of BREXIT on our rural communities (Loss of LEADER funding) and our economic communities (High St and Science Vale (Scientific experts). A framework as to how we will approach external funding opportunities is being devised by the team and will form part of their service plan. Post COVID19 Review all funding now available following lockdown.	Jul-20
33	Vb	Property	Failure to provide suitable council office accommodation that is fit for purpose on time resulting in poor staff morale, compromised service and loss of reputation.	8	Mark Stone	Project governance structure in place. A: 135 Eastern Ave -lease extension successfully negotiated with a get out clause of spring 2022 at the current location ongoing. B: Crowmarsh site: a working group includes all key stakeholders ,the council portfolio holder, members and key officers. Project management will be undertaken by RIDGE. Successful design and engagement day held 13 Feb 2020. Over 300 people visited and commented on the design concept. Maintaining watching brief to understand implications to other teams (elections) if delayed. Project risk register reflects Covid 19 impact including supply of materials and therefore delay construction. Maintain a watching brief via project governance.	Adrianna Partridge Suzanne Malcolm	6	Y	Continuous review of performance through project board and reporting. As long as the programme remains on target with continued strict governance, clear leadership by officers and identified cabinet member the risk is reduced to 6. Review Crowmarsh security with the project team keeping insurance updated.	Jul-20
11	Vb	Procedural/regulatory	GDPR failure to fulfil the requirements may result in fines and reputational damage if data is breached or a challenge is made.	8	Adrianna Partridge	Designated GDPR resource and champions across the council. GDPR project board. Budget growth bid enabled to secure funding to support required changes as a result of regulations. DPR handover to Corporate Services. The new information governance and data protection officer has been appointed. Roles and responsibilities to be defined going forward.	Sally Truman/Sandy Bayley/Lee Brown	6	Y	Constant monitoring of legislative tests. Establish internal review procedures. Ensure a consistent retention policy across the councils. Write a new retention policy across the councils, review third party contractors and contracts to ensure processing personal data processing policies. Keep up to date with guidance from the information Commissioner. Review council systems namely Ocella to ensure personal data is removed from the system either automatically/manually. Action plan devised. POST COVID 19. Officers have been redeployed to support response to COVID 19 in community. Remind Staff about data retention once out of role. Issue reminders to dispose of written information.	Jul-20

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9	Vb	Procedural - Health and safety	Failing to have an effective health and safety management system in place where, in some cases concerns and areas of non-compliance raised have not been acted upon because managers have been unable to gain the resources and support required to take mitigating action. This could result in: a fatality, illness or injury to staff or anyone else affected by our business; damage to property; legal action by HSE; civil claims and increased costs.	8	Adrianna Partridge	A part-time health and safety adviser is employed by the councils, health and safety policies are reviewed and updated every 3 years or when there are significant changes. Managers are briefed on H&S through OMG meetings, Connect or updates on Jarvis, mandatory health and safety training is provided to employees, managers and senior management every 3 years. Health and safety review board (HSRB) and quarterly reporting to SMT (due to organisational changes this did not take place last year), health and safety audit programme in place and internal audit provide governance, challenge and oversight. Health and safety adviser is a member of the risk forum to allow concerns to be highlighted via the corporate risk register across all service teams through the risk champions. We have instructed a Health and Safety consultant to review our strategy and approach and produce an action plan. Currently recruiting Senior Health and Safety Officer. SMT approved a new H&S strategy and Property model. COVID 19 UPDATE Home DSE checks undertaken and support given to those requiring additional DSE H&S Equipment in order to work from home (WFH). Refer to Covid 19 risk register. Failed to recruit but retained services of H&S consultant to support.	Sally Truman	6	Y	Devise an action plan of SMT approved H&S framework to ensure a health and safety strategy is being developed which allows for: • Adequate allocation of resources for health and safety. • Commitment from the 'top' • Raising the profile of health and safety within the councils • Reviewing membership of the HSRB and the terms of reference of this group • Closer working with service managers to effectively raise risks to CE/HoS's either for them to action or accept. Reviewing health and safety policy framework. COVID 19 UPDATE Home DSE Checks undertaken and support given to those requiring additional DSE H&S Equipment in order to WFH. Commence new recruitment campaign for senior and junior H&S advisor.	Jul-20
32	Vb	Contract	Councils do not comply with their contractual obligations set down in 3rd party contracts resulting in inefficient operations, financial penalties and loss of reputation.	8	Mark Stone	Communications to ensure people do their job as stipulated in the contract. Identify the right people to set up a degree of transparency with regards to performance levels. Set up a review and reporting process.	SMT	5	Y	POST Covid 19. Continuous review of Councils performance levels.	Jul-20
4	Va	Security - resources	Council offices site security insufficient at both 135 where the location of business lounge and staff entrance increases risk of intruder entering the building and Crowmarsh site where there is an increased risk of injury by intruders resulting in high Public Liability claims which may not be covered by our insurers. During closure of offices there are different sorts of security risks i.e. members of public arriving at the offices when they are closed etc, staff that are in the building feeling vulnerable etc	8	Suzanne Malcolm	At Abbey House reception, review of recommendations of a security risk assessment and future use of CCTV. The high risk client from OCC has now been relocated from Abbey house this will help reduce the number of incidents occurring. The side entrance door to reception has been closed to members of the public to minimise the risk. Reception area designs drawn up for reception desk. Active dialogue with OCC to ascertain future responsibilities and therefore budgetary contribution for security upgrade. At 135, security has been reviewed and recommendations made to reduce tailgating at the business lounge doors. A new disabled access point separate from the main access point has been instigated to reduce likelihood of tailgating through automatic doors. Security at 135 reviewed as now closed due to Covid 19, a series of protocols are in place and rooms allocated for visitors and regular skeleton staff. Abbey House is closed due to Covid 19. Ensure that there is always more than one person on site and that they are aware of the security protocols which have been instigated. Officers are putting additional signage at entrance to confirm building is closed to public and have also made MEPC security staff aware. Review Security in place for staff whilst buildings are being used for Covid 19 response work.	Catrin Mathias	5	Y	Continuous review of security arrangements for 135 to eliminate the possibility of tailgating through the reception area doors, the door closure mechanism need review to either remove or speed up closure. The emergency exit side door at the rear of 135 is now designed for disabled access, this has reduced the risk of tailgating through the business lounge. Self closure doors to be reviewed as part of ongoing security updates. REVIEW the doors on ground floor adapted for wheelchair use. Investigate what can be done to speed closure time up when no wheelchair users employed by the council,	Jul-20

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52	Covid	Resources	Failure to effectively manage response to covid 19 both during the incident and after as part of recovery, impacts our staff and residents through increase in infection rates or poor delivery of services.	8	Mark Stone	Regular Covid 19 triage meetings. Gold, silver and bronze command structure at county and national level. Key SMT members on silver works streams. Regular risk assessments/H&S assessments and DSE assessments. Recovery working group set up to manage all aspects of return to work. SMT policy currently not to return to work.	AP	5		Ongoing effective management of Business Recovery Plans, working practices and ongoing communication. Draw up plans which enable social distancing throughout offices and other workplaces across the council. Ensure Business Recovery Managers communicate business recovery plans and work with all service managers on the proposed return to offices or alternate working arrangements.	Jul-20
12	Vb	Procedural	Poor/inconsistent level of programme and project management coordination and corporate methodology and controls, inconsistent utilisation of expertise across the councils resulting in poor delivery of projects, not realising the full benefits and understanding the risks and dependencies across the councils.	7	Adrianna Partridge	In some cases the council has a designated project officer, project registers and a project board approach exists. New policy and programmes team have coordinated a programme and project management frame work as part of the corporate delivery framework which includes a gateway approval process of governance.	Ben Coleman	5	Y	Embed the framework. Training programme to be run to support the new approach successfully trialled with three elections and is being rolled out. Quarterly Corporate Delivery Framework meetings held with SMT (AP BW Policy and Insight and project team). Systematic review of Gateway1 (GW1) and Gateway 2 (GW2) via SMT	Jul-20
39	Va	Contracts	Failure to learn from contractor poor performance on core council services (IT/waste collection/grounds maintenance/contact centre/Revs & Bens and leisure) results in poor services for residents and loss of reputation.	7	Mark Stone	Methodology to report service breaches are in place, this provides evidence to use in contract re-negotiation. Contracts continue to be under review with focus on lessons learned. (GW3) Governance structure in place and regular monitoring meetings held.	SMT	6	Y		Jul-20
8	Vc Vd	Resources	Failure to attract and recruit staff to roles across all service teams may result in shortage of resources to enable the council to fulfil their statutory duties and could result in a poor level of customer service.	7	Mark Stone	Strategic HR now back in house. HR transformation is being implemented. LMS (LEAH) launched Feb 2020. The Staff survey results have helped inform the next steps in continuous learning. Continue to encourage and support existing staff to apply for internal vacancies.	Adrianna Partridge	6	Y	Management/Leadership team to continue to review staff cover throughout the councils. Have succession plans in place across all key team members. Review the recruitment and training and development elements of the HR policy framework . Develop people plans to ensure we recruit, develop and retain staff. Embed the new LMS /LEAH training Strategy .	Jul-20

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7	Vb	Resources personal security	Poor staff morale, wellbeing and personal security due increased workloads, levels of abuse from residents on social media and at meetings as well as uncertainty over restructure, may result in stress leading to increased absence and low staff retention rates, with subsequent work load pressures and increased cost implication to plug the resource gap by recruiting contract staff.	7	Mark Stone	HR support through HR Assist available to all members of staff if required. Wellbeing specialists and members from HR Assist team presentations underway to staff as to what they do and how they can help staff. The leisure team communicate community activities for staff to be involved with. The wellbeing group meet regularly with Unison to monitor progress of staff attraction, resilience, implementation and training. Thames path initiative has commenced via the wellbeing group. Staff survey completed. Annualised hours being managed directly by Line Managers. Due to Covid 19 gross risk rating to red 7 due to prolonged remote working, which may lead to stress and anxiety. Pulse surveys being undertaken to review how staff are feeling on a fortnightly basis and inform SMT on how to manage wellbeing as a result. Signpost staff to: HR to support through HR Assist. Team leaders and Mental Health First Aiders to be available to support by signposting to appropriate agencies. Encourage regular work catch ups via virtual meetings as well as wellbeing coffee meetings .	David Fairall	5	Y	The staff survey has been completed results released alongside the pulse survey results ,SMT reviewing and action plan will be put in place.	Jul-20
50	Vb	Technology	Third party Business Continuity Plan is not fit for purpose and may result in poor customer service and loss of council reputation if there is failure of IT infrastructure.	8	Adrianna Partridge	Paul Merrick is reviewing the IT Business Continuity Plan across 5CP . During Covid 19 regular Capita calls took place to resolve IT issues in an ongoing and collaborative way. Net risk moved down to 6 as all managed well during Covid 19.	Lee Brown Simon Turner Yvonne Cutler Greaves	6		Embed revised Business Continuity Plan/Business Recovery Plan arrangements across all council service teams.	Jul-20
54	Covid	Finance	Failure to prevent fraud when managing grants thereby risking loss of revenue and reputation. The government has provided funds to the council to distribute to businesses, either by government rules (the initial small business and retail, hospitality and leisure schemes, and the later discretionary grant fund).	7	Simon Hewings	Ensure robust processes are in place and used to detect fraudulent or multiple applications . The cabinet office made available a toolkit for local authorities to access to help prevent and detect fraud for the grants called Spotlight. Both councils registered for this tool before the online grants opened. The tool is a check on any limited companies, partnerships or registered charities and works alongside companies house. Officers ran each limited company through Spotlight before the payment was released. As Spotlight only checks limited companies and not sole traders, officers also checked that the bank account they were requesting the grant to be paid into was the one the business rates system held. If it wasn't then further enquiries were made and proof of the account was requested to ensure it belonged to the company and not an individual's own account.	Paul Howden	2/3		Conduct post checks after the payments are issued to ensure they were correct, which includes further Spotlight checking if the company couldn't be found initially along with basic due diligence checks. At the end of April the cabinet office and the national antifraud network made available a tool for checking sole traders. Councils have registered for these but as they require consent we can't use them retrospectively (and they weren't available at the start of the application process).Officers will ensure that the declaration for the discretionary grant funding which is due to go live on 1 June 2020 reflects this. In future officers will be able to use Spotlight and the new sole trader tools for checking all of the companies that apply.	Jul-20
55	Covid	Finance	Lack of clarity and transparency from central government on the council allocation of limited Discretionary Grants to support local businesses and a failure to manage expectations as to how awards are made may result in dissatisfied applicants and loss of council reputation.	7	Suzanne Malcolm	Ensure that the process is clear and transparent with audit trails to support decision making. Clear comms on website to manage expectations as success rates may be low. Be aware of subjective bias in awards. Anti fraud checks are made to best of ability with information available as these will be small businesses giving councils no recourse to companies house information. Declaration to be signed before release of funds to avoid fraudulent uptake of state aid. Support and signpost unsuccessful applicants to alternative funding support. Advise council as to how best to manage reputational risk if choice is to go with non evidence based criteria.	Mel Smans	2/3			Jul-20
56	Covid	Finance/ Customer Service.	Lack of clarity and transparency around Councils offers of government backed Business Grants to support local businesses and how awards are made could result in grants made in error contributing to loss of revenue, potential fraudulent claims and reputational risk .	7	Suzanne Malcolm	Ensure that the process is clear and transparent with audit trails to support decision making. Clear comms on website to manage expectations to ensure eligibility is clear. Anti fraud checks carried out using Spotlight. See risk 54	Mel Smans	2/3			Jul-20

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37		Democratic process	Failure to deliver a major election in accordance with our statutory requirements, results in reputational damage and costs to re-run an election.	8	Margaret Reed	Preparation for the PCC elections which were to be held on the 7 May 2020 , followed by VE day bank holiday had commenced. Postponed due to Covid 19. Project planning and risk registers tailored to specific election requirements, which are reviewed and updated. Delivery is monitored on a regular basis as and when appropriate. Successfully delivered three elections within short timeframe. Net risk green (reduced from 6 amber to 2 green). POST COVID 19 PCC elections and neighbourhood plan referendums delayed until 6 May 2021 due to COVID 19 and will now coincide with the county council elections scheduled for that date, along with any parish by-elections and neighbourhood plan referendums.	Steve Corrigan	2/3	Y	National Funding available for PCC elections and county council will meet the cost of their elections. The plans are regularly reviewed and monitored. Prepare a comms plan to aid recruitment and review progress. A dedicated election project team set up to constantly monitor IT support and resourcing, escalating any issues through the project governance arrangements and project risk register. POST COVID 19 PCC elections and neighbourhood plan referendums delayed until 6 May 2021 due to COVID 19 and will now coincide with the county council elections scheduled for that date, along with any parish by-elections and neighbourhood plan referendums, resulting in increased complexity. Will need to implement any necessary social distancing measures at polling stations and counts.	Jul-20
3	Vb	Technology	IT infrastructure not supported with no back up or Business Continuity Plan (no separate WAN line from this building) and insufficient IT hardware and software licenses to support employees to undertake council activities, may result in poor customer service and loss of council reputation.	8	Adrianna Partridge	5CP and council Business Continuity Plan arrangements to mitigate against IT infrastructure failure. IT infrastructure lead has been recruited and is working on all elements of IT infrastructure. Reduced net risk rating due to covid 19 response and all Working from home with few issues.	Lee Brown Simon Turner Yvonne Cutler Greaves	2/3	Y	Review of the adequacy of the IT infrastructure is ongoing. Paul Merrick is reviewing the IT Business Continuity Plan/ Disaster Recovery Plan across 5CP. Once IT Disaster Recovery arrangements are in place a programme of testing the plan will commence. IT technical strategy approved. Implementation of related projects currently paused.	Jul-20
27	Vb	Procedures	Lack of clarity on the procurement process, roles and responsibilities results in uninformed and inconsistent procurement of services which may result in increased long term costs, delays and services compromised particularly works with regards to statutory compliance.	4	Simon Hewing	The council has recruited an experienced interim procurement expert to supplement the CAPITA service. Training has been rolled out across the councils to ensure consistent procurement of services. Urgent exemption procedures are in place as per section 140 of the procurement procedures.	Ben Watson	2/3	Y	Embed training which has been delivered to all staff across the council. Heads of Service to follow up usage of the Corporate Delivery Framework and check understanding of the process. This should include the appropriate use of Urgent Exemptions Procedures to facilitate urgent works in the appropriate circumstances. Section 140 details Emergencies and disasters process. Contract Register to be maintained and reviewed annually.	Jul-20

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22	Vb	Democratic process	Lack of informed and consistent decision making across the councils will result in more planning appeals losses, increased costs and loss of council reputation.	5	Adrian Duffield	Continue with Councillor training and support . The Heads of Service, section 151 and monitoring officers inform and advise relevant councillors on consequences and impact of planning decisions and legal, financial and policy implications of decisions. The council has a 3 year land supply as stipulated by the government. Won't be able to fully mitigate until Souths Plan is adopted. UPDATE 09/03/2020 Decision received 3/3/20 and plan progressing as directed by the Secretary of State. Virtual Local plan meetings will be held in July to scrutinise local plan by planning inspectorate. Continue with Councillor training and support. The Heads of Service, section 151 and monitoring officers inform and advise relevant councillors on consequences and impact of planning decisions and legal, financial and policy implications of decisions. The council has a 3 year land supply as stipulated by the government. Won't be able to fully mitigate until Souths Plan is adopted. UPDATE 09/03/2020 Decision received 3/3/20 and plan progressing as directed by the Secretary of State. Virtual Local Plan meetings will be held in July to scrutinise local plan by planning inspectorate. Councillor training has been temporarily on hold due to Covid 19, but the programme will be reviewed in the Autumn 2020 .	Adrian Duffield	5	Y	Maintain a consistent approach to briefing councillors on legal, financial and policy implications of making planning application decisions. Train Committee members and cabinet members on the planning process and implications and consequences of planning decisions in the local and national context. Provide support to parishes with regular updates and communications on reasons for planning decisions in the local and national context. Work with the consultation and customer engagement team to improve communication with local residents and parishes.	Jul-20
28	Vc Vd	Property	Failure to secure the redevelopment at key council owned sites in the district and capitalise on new building and refurbishment programmes may result in increased costs, a decrease in reputation and loss of potential funding from the redevelopment.(merged with risk 20). Impact of Covid 19 on marketability of projects and viability will be an added pressure on some of the proposed projects.	5	Suzanne Malcolm	Strategic property review underway by an external strategic property consultant to include site redevelopment opportunities ongoing. Strategic Property Advisor appointed (James Moore) is working to review Council benchmarking and options available by Dec '20 with Cushman and Wakefield supporting the work. Review number of staff to enable this work to continue. Dalton barracks site has now been designated garden village status. POST COVID 19 Timescales may change resulting in increased cost arising from further deterioration of existing assets. Review work plan and schedules in light of information coming from suppliers and contractors to ensure assets and sites do not deteriorate over the short/medium term. Maintain a watching brief.	James Moore/ Catrin Mathias	5	Y	Developing partnership working with all landowners and developers to ensure timely preparedness. This work will continue to progress and take time to embed before resulting improvements are seen. The portfolio includes: The Charter; Old Abbey House; The Upper Reaches, await councillor steer with the intention of having one public estate looking at best use of assets to create a community hub in collaboration with Abingdon Town Council. Continue to build on partnerships to ensure best use of assets. A paper is going to SMT and Cabinet on 21 Feb, outlining future plans for the three properties listed, a report as to viability of Old Abbey house from ZM will help put the situation into context and support the decision making process. On hold during Covid 19 lockdown	Jul-20
40	Va	Security - resources	Major incident in the district. Failure to adequately respond to a major incident affecting our residents may result in legal action (corporate manslaughter/environmental pollution) and loss of reputation.	6	Adrianna Partridge	The council has an Emergency plan. Emergency planning officer receives and reviews daily updates from the Local Resilience Forum and Resilience Direct.	Sally Truman	6	Y	Keep up to date on latest developments in this area. Continuous revision of plans as and when appropriate. Training in Emergency planning incidents. The Emergency Planning Officer attends OCC meetings on a regular basis to ensure joint working and understanding of R&R in an emergency incident. Emergency Planning Officer (EPO) is part of Local Resilience Forum (LRF) and receives daily updates from resilience direct. POST Covid 19. Review Business Resilience Plan (BRP) with all teams to learn from what went well and what could be done better.	Jul-20
6	Va	Resources	Embedding the management restructure creates a period of change and uncertainty resulting in staff retention issues and loss of knowledge and expertise in key areas, which may compromise delivery of the council objectives.	5	Mark Stone	Heads of service and Service Managers have been appointed and are currently reviewing the structure and delivery model. Focus on succession planning to reduce risk of loss of expertise and experience. The 'Shape the service' programme has been completed resulting in HR transformation which is being implemented. A new structure has been introduced and awaits Corporate plan decision to finalise this structure.	Adrianna Partridge	5	Y	Continue to embed permanent council structure to operate in a steady state. Develop people plans to ensure we recruit, develop and retain staff. Initiate a training and development programme. LMS (Training System) launched Feb 2020 .	Jul-20

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17	Vd	Programmes	Didcot Garden town: Significant funding estimated at £319m is needed to deliver projects identified in the adopted delivery plan, failure to realise this future funding to expand/expansion delayed due to planning decisions may result in loss of reputation to deliver such projects for the community (separate risk register).	5	Suzanne Malcolm	New project manager successfully recruited and in post. The team is being resourced. Produce a Develop Planning Policy (DPD)for Didcot Garden Town. Awaiting HIF Bid Funding agreement.	Marybeth Harasz	5	Y	Project management report to Cabinet to map out current priorities using existing funding priorities to better understand future funding requirements. A £218 million HIF award was announced in March 2019. Once the funding agreement is fully executed by Homes England and OCC, more than 1/3 of the funding toward the total £612 million estimated implementation cost would be achieved. This would be 1/3 of the total funding estimated in line with the 2031 delivery time frame. The Delivery Plan is a long term vision. An update to the plan may be appropriate. The DPD document is to be scheduled by the Planning Policy team in line with work on the local plan.	Jul-20
24	Va	Customer service	Failure to maintain a consistent standard of customer service results in stagnant customer service initiatives and long term service reduction and thus reputational damage.	5	Adrianna Partridge	Individual service team Key Performance Indicators (KPI's). A new service team 'Customer Assurance ' encompasses internal and external customer services . A new community hub structure has been set up to help support our local community during the medium/long term recovery from Covid 19.	Sally Truman	5	Y	The Customer Assurance team to coordinate performance measures linked to both service plans and the corporate plan and linking to individual PDP's. Develop a customer services strategy to encompass all our customers to include residents; staff; councillors and third parties. Post COVID 19 . Manage Customer expectations re Councils duties to residents following the increase in support provided by Community Hubs.(Risk 24 and 41 link)	Jul-20
25	Vb Vc	Property	Lack of asset management expertise of council owned land and property portfolios results in under investment in property across the councils, reducing the ability to maximise incomes as well as lack of understanding as to where maintenance and insurance liabilities responsibilities lie (Council/Parishes etc).	5	Suzanne Malcolm	Validation of property records are now being undertaken by Cushman & Wakefield which will provide an up to date database of property ownership and inform an action plan for the management of the portfolio. The facilities teams work alongside the property team to enable seamless property maintenance and Health & Safety checks as required. The property team have additional temp resource in place to update property database and prioritise H&S requirements. A new member of the team (PPE) has been recruited to review property maintenance projects. Internal Audit have identified three areas of property: ownership/billing and H&S. Safety Compliance Officer seconded to the team for 18 months. SMT approved the new H&S strategy and Property model. New property manager (Catrin Mathias) has joined the council to lead on this.	James Moore/Catrin Mathias	5	Y	Plan to establish a corporate property management model. Reinstate asset management group meetings to review ongoing issues and future strategies. Put in place a policy to allocate Cil/Sec 106 funding ensuring all key service teams in the council are informed (insurance/property/parks/arts etc) and thus enable allocation of this funding. Internal Audit have identified three areas of property: ownership/billing and H&S. Work has commenced on the asset management process and records are being checked for accuracy.	Jul-20
36	Vb	Financial	Failure to prevent corporate fraud activity will result in increased cost to the councils, legal challenge and loss of reputation.	5	Simon Hewing	Regular Internal Audit review of financial control environment and specific anti fraud aspects to all audits. The council has a desk based benefit and council tax reduction scheme anti fraud team. A fraud specialist carried out an investigation to ensure areas of potential fraud are not being overlooked. Audit results considered by JAGC Committee.	Simon Hewing	5	Y	Act upon the findings of the fraud specialist report which found no major fraud activity risks. Report to JAGC in July 2020. Assurance team and risk Officer to review findings by July 2020.	Jul-20
14	Vc	Community services	Failure to maximise opportunities to realise areas of revenue growth may impact overall future council finances.	5	HOS/Suzanne Malcolm	The council engaged the Chartered Institute of Public Finance (CIPFA) to help it challenge its budgets and provide options for increasing income and reducing expenditure. The findings will be used to inform future plans for commercialisation.	HOS/SM's	2/3	Y	All Heads of Service to be vigilant in terms of new funding streams and opportunities. Heads of Service (HoS) must ensure that fees and charges relate to the budgeted cost of operating the service/scheme, are reasonably set and reviewed regularly. A proposed commercialisation strategy will be developed. Transformation team funded and now included in budget. POST Covid 19. May impact. Follow government guidance. Keep a watching brief.	Jul-20

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26	Vc	Safeguarding	Failure to deliver council safeguarding responsibilities may result in loss of reputation if a safeguarding incident occurs in our districts and we have not followed the stipulated procedures and protocols of reporting.	5	Liz Hayden	Mandatory training appropriate to the level of contact as a District Council with no social services and education responsibilities. POST COVID 19 Possible increase in safeguarding issues due to pressure of lockdown. May increase no. of families requiring support. All staff working in community roles have received safeguard training refresher. Safeguarding training is being delivered remotely on Skype or Microsoft Teams during the Covid 19 pandemic.	Diane Foster	2/3	Y	Review the safeguarding policy and training delivery. Work has commenced and will be completed by 31 March 2020. Training undertaken via Skype and Microsoft Teams whilst staff are working from home.	Jul-20
29	Vc Vd	Economic	Failure to address or remove barriers to Small and Medium Enterprises (SME) growth may result in SME's closing, moving out of the district, or not starting. This may result in a loss of potential business rates and reduced consumer spending in our market towns.	5	Suzanne Malcolm	Tractivity system to monitor business engagement and needs. Business Information System (BIS) action plan in place. Quarterly reporting on the action plan progress. Successfully won a national award. Set up and ran a Pop Up business school in the district. POST Covid 19 Maintain watching brief across Oxfordshire/OXLEP to mitigate impact of Covid 19 on SMEs	Mel Smans	2/3	Y	Further review of actions based upon the feedback from the Tractivity system is ongoing. POST COVID 19 Maintain watching brief on Govt guidance and direction. Opening up the High St guidance from Government. Funding to provide guidance to SME's and retail.	Jul-20
30	Vc Vd	Economic	Insufficient support (including the EU funding shortfall) is provided to key research sites at Harwell, so the research is not commercialised to its full potential and businesses at the site relocate out of the district, resulting in a loss of employment.	5	Suzanne Malcolm	EU funding may not be available after Brexit , work being undertaken to ensure we maximise the Government funding through the shared prosperity fund. Continuous liaison with the key research sites.	Suzanne Malcolm	2/3	Y	The new management structure is enabling the creation of an environment to help attract funding with less silo working. Support development of new business ventures in the district. Facilitate learning from best practises outside the council and increased awareness of opportunities. Work continues pending updates re funding post Brexit.	Jul-20
35	Vb	Security - resources	Incident at council offices or council owned building may result in increased time to deal with the incident and associated investigations, legal requirement and liabilities which may result in reputation loss and compromised service. During closure of offices there are different sorts of security risks i.e. members of public arriving at the offices when they are closed etc, staff that are in the building feeling vulnerable etc	5	Adrianna Partridge	The council has an Emergency plan; and crisis response plan together with a dedicated Emergency planning officer. Incident policy and plans under continuous review with regular updates via the local Resilience Forum and Resilience Direct which the Emergency officer communicates latest updates where relevant setting up meetings when required to ensure all elements are covered. Security at 135 reviewed as now closed due to Covid 19, a series of protocols are in place and rooms allocated for visitors and regular skeleton staff. Abbey House is closed due to Covid 19. -Mitigation: ensure that there is always more than one person on site and that they aware of the security protocols which have been instigated. We are putting additional signage at entrance to confirm building is closed to public and have also made MEPC security staff aware. Review Security in place for staff whilst buildings are being used for Covid 19 response work.	Sally Truman/ Gary Carey	2/3	Y	Keep up to date on latest developments in this area. Continuous revision of plans as and when appropriate. Training in Emergency planning incidents. Testing the plans including Lockdown procedures. Post Covid 19 Review Emergency plan following debrief with Emergency Officer.	Jul-20

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20	Vc	Procedural/regulatory	Changes in legislation and government policy, including potential creation of unitary authority or devolution in Oxfordshire may impact the operational delivery of the councils' corporate objectives.	5	Mark Stone	There is sufficient notice and lead time to enable the council to set up a project team and resourcing to enable the changes. Await Government legislation on Local government; national planning framework and the Environment Bill may impact future council plans. Hold a watching brief.	Andrew Down/ Michelle Wells	2/3	Y	Hold a watching brief. Environment Bill due to be reviewed. POST Covid 19 Maintain watching brief for govt initiatives.	Jul-20
53	Covid	Customer Service	Failure to manage expectations as to role of New community hub may result in resident dissatisfaction and poor staff support going forward.	5	Adrianna Partridge	Community hub Terms of reference and workstreams established. Roles and JDs written, recruitment campaign underway for 12 month secondment roles.	Ben Coleman	2/3			Jul-20
13	Vc	Financial	Failure to adequately manage council finances to take into account reduction in central government funding (including MHCLG grant income) results in councils inability to undertake its statutory duties at a time of increased demands (homelessness and an aging population) resulting in reduction in service level to our residents, innovative initiatives and projects going forward. Currently there is uncertainty around funding from central government which makes medium term financial planning very difficult. COVID 19 Risk Increased from 2/3 to 5	5	Simon Hewing	The council has a Medium Term Financial Plan (MTFP) that will flag potential financial resilience problems five years in advance. This allows the council to determine an approach to managing future budget pressures. The MTFP is refreshed annually. The scale of any challenge will be known more fully following the government's 2021 spending review and pending government announcements on future funding streams. Funding is included for Transformation Activity 2021/22.	Simon Hewing	2/3	Y	Regular budget monitoring and annual refresh. Medium term financial plan ensures any potential risks are identified. Implement Transformation Activity Findings. Which are 1) Single Council 2)Income Generation 3) Smarter Working. Links to risk 43	Jul-20
43	Vc	Policy and insight	New channels of revenue growth: failure to identify new areas of revenue growth in the long term may result in the councils missing opportunities of becoming less reliant on government grants and subsidies. UPDATED COVID 19 Risk Increased from 2/3 to 5	5	SMT/HOS	SMT to horizon scan opportunities as an integral part of the regular corporate risk register review. Improve staff awareness of the need to identify opportunities for revenue growth through a staff suggestion scheme with rewards for the best adopted idea. Post Covid 19 may impact the numbers of opportunities for revenue growth.	SMT/HOS	2/3	Y	All Heads of Service to be vigilant in terms of new funding streams and opportunities. Increase awareness of what markets allow in terms of fees and charges. A proposed commercialisation strategy will be developed as per further mitigation in risk 13. POST COVID 19 Keep watching brief on Government developments re funding.	Jul-20
58	New	Economic	Dalton Barracks Garden Village. Failure to deliver Dalton Barracks Garden Village due to lack of funding results in loss of council reputation and financial backing.	5	Suzanne Malcolm	Stakeholders communication to ensure all residents are on side and kept informed of developments or delays. Engage with all partners to ensure favourable future outcomes. Ensure close working with Planning Policy team. The new Garden Communities team will bring DGT, Berinsfield and Dalton Barracks together. The joined up approach should reduce risk as the expertise will be shared across all 3 projects.		2/3			

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31	Vc Vd	Economic	Failure to deliver the actions on the BIS plan may result in businesses not engaging with the councils leading to a reduction in the districts economic attractiveness and competitiveness and thus reduction in number of businesses start ups and growth and a reduction in business rate revenues, higher unemployment in the districts.	2/3	Suzanne Malcolm	Tractivity system to monitor business engagement and needs. BIS action plan in place. Quarterly reporting on the action plan progress. Successfully won a national award. Set up and ran a Pop Up business school in the district. Review further actions and plans in light of Covid 19 see further mitigation.	Mel Smans	2/3	Y	Further review of actions based upon the feedback from the Tractivity system. POST Covid 19 Economic: Focus on areas which allow businesses in the district to restart and be ready to address pent up demand. So that backlogs are cleared when businesses are allowed to restart EG •Licencing for Taxis: •Leisure: Work with contractors to ensure mothballing is reversed in a timely manner as and when re opening is allowed. •Food Hygiene: testing •Planning: There may be an increase in applications due to people having time to reconsider their homes as office spaces.	Jul-20
23	Va	Corporate plan	Failure to deliver on the corporate plan objectives results in reputational damage.	2/3	Mark Stone	The council has a designated project officer. In some cases project registers and a project board. Performance measuring and reporting against corporate plan objectives that are project based. Monthly board reports to cabinet. Performance measuring reports to scrutiny committee. Performance is assessed in the CEO appraisal. Covid 19 pandemic will impact Corporate plan as priorities change. Keep a watching brief.	SMT	2/3	Y	The council structure includes a new service team, Customer Assurance to coordinate performance measures linked to both service plans and the corporate plan and linking to individual PDP's. Corporate plan due to be adopted mid 2020 following public consultation in July 2020. Delayed by Covid 19.	Jul-20
41	Va	Corporate services	Customer engagement and managing perception: failure to engage and manage the perception of our residents regarding key decisions in and out of the council control such as the Expressway route, may disenfranchise residents and result in loss of reputation.	2/3	Adrianna Partridge	Prepare a communications plan to ensure all key stakeholders and residents are kept informed throughout the decision making process. Heads of Service have comms buddies to enable forward planning of the strategy.	Shona Ware	2/3	Y	Devise Engagement Charter . Post COVID 19 . Manage Cust expectations re what the council does following the support provided by Community Hubs. (Risk 25 and 41 link)	Jul-20
10	Vb	Procedural	Inconsistent approach to Third party contract monitoring in service teams , may result in a reduction in service provision and increased cost of performance.	2/3	SMT/HOS	TBC by SMT	HOS	2/3	Y	Management structure includes Heads of Service and service management reporting on contract KPI's. Possible central contract monitoring group linked to SMT to review quarterly. Provision of effective contract monitoring training for staff.	Jul-20
42	Vb	Finance/ Strategic Partnerships	Government deal for housing growth: failure to agree with members of the Oxfordshire councils means we may not meet the deal agreement criteria and result in the no infrastructure funding (of £30m pa over 5 years) for Oxfordshire, which may impact our councils' reputation.	2/3	Andrew Down	Working with partners and developers to deliver the growth deal through the Joint strategic spacial plan (JSSP) Oxfordshire 2050. Growth Deal Programme Board meet monthly across the county . First year target met. Second year targets not met and delivery of growth deal delayed by Covid-19. To be mitigated by a request to government to agree to reprofile the delivery dates.	Andrew Down/ Susan Harbour	2/3 Possibly 4	Y	Request to government to agree to reprofile the delivery dates and maintain a watching brief.	Jul-20

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21	Va	Democratic process	Changes in the local political landscape including snap elections, may impact the operational delivery of the councils' corporate objectives.	2/3	Mark Stone	Following the May 2019 local elections all councillors received induction training. There are regular updates and meetings with all opposition parties throughout the year to enable good rapport building. Each service team has a councillor portfolio holder. The SMT monitors through HOS any changes that may impact council operations. The corporate plan is set one year after a local election to ensure any changes as a result of the election are reflected in a new corporate plan.	SMT/ Margaret Reed	2/3	Y	New corporate plan will be devised with performance measures and reporting process. Awaiting new Corp Plan.	Jul-20
1	Vb	Customer	Poor customer insight and failure to act upon findings will impact the delivery of excellent services and not meet the needs of residents.	2/3	Adrianna Partridge	Council consultations on specific service and policy changes via the councils Consultation and Community Engagement Team. Framework for dealing with customer complaints; FOI's and MP enquiries. Town and Parish forums held. Business breakfasts with local businesses held twice yearly. Customer user workshops as part of website project.	Sally Truman	1	Y	The management structure includes a dedicated Consultation and Community Engagement team to coordinate information on our customers and customer insight. Conduct a feasibility study into whether or not a CRM system could improve customer insight by reviewing complaints trends to inform service planning. The ED team use Tractivity, Twitter and Facebook to maintain customer contact and feedback. Every event held offers the customer an opportunity to provide feedback which is used by the team to inform next steps.	Jul-20
44	Vc	Corporate services	Brexit may impact the economic viability and specific services within the districts in the short to medium term.	2/3	Adrianna Partridge	Working group set up to review risks and mitigation. Linked to OCC county/nation wide initiatives. Designated Brexit officer appointed, Triage Group formed and Business Recovery Programme for Brexit in place	Ben Coleman Michelle Wells	2/3		Business impact assessments of all service teams ongoing.	Jul-20
45	Vc	Strategic Partnerships / Finance	Uncertainty over the expressway route may have impact on the Local plans and the Oxfordshire Plan 2050. Once route agreed it may impact council finances due to costs of running public consultations in the affected areas of the district. Greater impact on South Oxfordshire.	2/3	Andrew Down	Route option was expected Autumn 2019. Delayed due to General Election. Expressway decision is "paused" (official government position). Still nothing we can do. Outside of our control.	Andrew Down/ Susan Harbour	2/3		The National infrastructure strategy due March 2020, delayed will set criteria for the routes and Arc status. Continue to keep watching brief	Jul-20
46	Vc	Planning/ Finance	Abingdon reservoir plans result in a financial impact for the council to run and attend public enquiries and consultations in the district.	2/3	Adrian Duffield / Andrew Down	Budgets have been agreed to fund public engagement in Spring 2020. However, this has been delayed and is subject to Thames Water Public Enquiry 2024 with a possible Commissioning in 2038, hence public enquiry budget removed. Keep a watching brief.		2/3		Keep a watching brief.	Jul-20
48	Vc	Infrastructure and development	Failure to allocate sufficient council resources to run new community amenities planned for through past Sec 106 monies on large developments such as GWP resulted in new community centres built but not occupied resulting in loss of council reputation	2/3	Suzanne Malcolm	Review of current new community centres to agree way forward. Infrastructure and planning Group formed to future proof further allocation of monies to ensure council do not take on any further liabilities.	Jayne Bolton	2/3			Jul-20
57	Covid	Democratic process	Dealing with Covid 19 and all staff remote working may delay council decision making and governance and impact on services and council reputation.	2/3	Mark Stone	Legal and democratic to manage calendar of meetings and ensure that as many planned meetings as possible are held in order to make timely decisions. IT successfully set up virtual meetings, we are leading the way with this across the country.	Margaret Reed/ Steve Culliford	2/3		Continue to hold virtual meetings whilst the law allows and meeting rooms are not available. Continue to explore options for allowing public participation at virtual meetings.	Jul-20
17	Vc	Programmes	Enterprise zone 1 pace of expansion is not quick enough to realise the business rate income over 25 years to cover the cost of borrowing against projected incomes. Impacted by NICS. Council fails to attract more business or retain business in the zones 1 & 2 thus impacting on business rate income.	1	Andrew Down	A requirement to review borrowing. Engage external advice for future income forecasting use the data to assess the level of future borrowing this is currently being procured. We now have the new forecasting model which still shows acceptable profile even with Covid-19 impacts built in.	Andrew Down/Susan Harbour	1	Y	Internal forecasting has confirmed we should raise business rates income to cover the cost of borrowing. External consultants are currently working to validate that forecasting result. Also a need to focus on further inward investment. New post created to facilitate this plus more effective working relationship with OxLEP. Under Review	Jul-20

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