

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

KEY
 SODC Corporate Strategic Themes
 Sa All
 Sb Protect and restore our natural world
 Sc Openness and Accountability
 Sd Action on Climate emergency
 Se Improved economic and community well-being
 Sf Homes and Infrastructure that meet local needs
 Sg Investment that rebuilds our financial Viability

ir - South Oxfordshire District Council

Risk No/Ref	Corporate Strategic Themes	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	Sa	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 as financial loss.	9	James Carpenter	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. Local Government Association (LGA) funding secured to train a key IT manager in the certificate of Cyber security (CISMP) Cyber working Group which includes members from IT, Risk and Insurance, Business continuity and Data protection Officers are working through the data security internal Audit recommendations. Internal Audit will review progress in June. The group have also launched a cyber and data security awareness campaign week commencing 24 May to improve user awareness whilst working from home. The councils have been chosen by the LGA to undergo an external LGA cyber audit.	Simon Turner/Lee Brown	8	Y	Devise a cybersecurity incident plan across the councils that highlights Roles and Responsibilities with Capita and councils. Review findings from LGA audit and devise action plan .	Jul-21
49	Sb	Technology	Third party Business Continuity Plan (BCP) 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	James Carpenter	There is a review of the IT Business continuity Plan (BCP) across 5CP see further mitigation. Review council Business Recovery Plans (BRP's) IT arrangements .Local Government Association (LGA) cyber audit underway.	All Service Managers	8		Requirement for remote back up procedure and facility with reference to Capita for IT. Thus the Net risk has increased from 6 amber to 8 red. Future action planned to separate Office 365 from 5CP and move IT service to Azure (cloud) Dec 2021. Develop separate set of back ups. Review LGA cyber audit findings.	Jul-21
3	Sb	Technology	IT infrastructure not supported with no back up or BCP (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	James Carpenter	5CP and council Business Continuity Plan arrangements to mitigate against IT infrastructure failure. IT infrastructure lead and a support officer has been recruited and is working on all elements of IT infrastructure. Increased net risk rating due to no back up facility in the medium term, even though all staff have been working remotely with few infrastructure issues.	Lee Brown Simon Turner Yvonne Cutler Greaves	8	Y	Requirement for remote back up procedure and facility with reference to Capita for IT. Thus the Net risk has increased from 6 amber to 8 red. Future action planned to separate Office 365 from 5CP and move IT service to Azure (cloud) Dec 2021. Develop separate set of back ups. Review LGA cyber audit findings	Jul-21
60 New Risk	Sa	Assurance	Failure to procure insurance on time will result in uninsured risks and the council not fulfilling its mandatory requirements and result in reputational loss and fines.	8	Mark Stone	Broker commissioned to manage the specification, tender prep and evaluation. Internal procurement officer working to ensure we deliver on time through council procurement procedures and manage the council portal. Internal legal contracts solicitor on board from outset to enable efficient contract draft to council specific T&C's with insurance providers who have different T&C's which has resulted in a number of delays and may result in the council not having insurance on time.	SMT	8		Approach existing insurer and ask for a further extension of 6 months but without any discounts. Cost may be uncompetitive and service cover limited.	Jul-21

to be updated with LGA findings when 1 available

Increased Net 2 Risk to Red 8

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SOUTH Corporate Risk Register July 2021

61 New Risk	Sc Se Sg	Finance	Failure to eliminate or significantly reduce the revenue budget funding gap in the medium to long term may result in council deficit and inability to deliver key programmes and projects.	8	Mark Stone	Monitor/impact and assess revenue streams throughout 2021 which will inform how to build in budget contingency for 2021/22	Simon Hewings	6	Y	Jul-21
11	Sb	Procedural/regulatory	Failure to fulfil the Data Protection legislative requirements may result in fines and reputational damage if data is breached or a challenge is made	8	Adrianna Partridge (DPO)	Information Governance and Data Protection role provides dedicated support to all teams as well as work to develop/review the corporate framework and all relevant policies. Close liaison with Legal on data sharing agreements. Additional temporary Information Governance Officer post appointed until end March 2021 to support this. Recruiting to a full time post to work on Record of Processing Activities (ROPA). Data Protection Impact Assessments (DPIAs) undertaken on all new processes and Data Protection Officer (DPO) advice sought on all new projects. Data protection training for all staff on LEAH. Internal Audit of Data Protection satisfactory assurance. Keep up to date with guidance from the information Commissioner.	Sally Truman/Sandy Bayley	6	Y	Jul-21
9	Sc	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	Mark Stone	Health & Safety team comprising one senior advisor and one advisor in place. 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, comms emails or updates on Jarvis. A new mandatory health and safety training for employees, managers and senior management is being piloted for roll out. Fundamental review of Health & Safety management system undertaken and action plan developed, which has been agreed by SMT and JAGC, including the principle of a Corporate Landlord Model for properties. Monthly reporting to SMT re-established which included agreed KPI's. Health and safety audit programme in place and internal audit provide governance, challenge and oversight. Close working and joint reporting between Health & Safety, Risk & Insurance to enable risks to be proactively managed. New H&S policy v006 approved at SMT under consultation with Unison and staff. Continue to support Council staff and operations with Covid 19 activity risk assessment reviews including recent elections and the commencement of council face to face meetings. Home DSE checks undertaken, a new working from home checklist await SMT agreement for roll out to all staff which provides support and guidance to the Head of Service requiring additional DSE H&S Equipment in order to work from home (WFH). Refer to Covid 19 risk register. A number of H&S training including Lone workers courses are now on Leah for all staff to access.	Adrianna Partridge/James Carpenter	6	Y	Jul-21
7	Sb	Resources personal security	Poor staff morale, wellbeing and personal security due to 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.	8	Adrianna Partridge	In-house HR support available to all members of staff if required. The leisure team communicate community activities for staff to be involved with. The wellbeing group are in place to consider ideas / activities for staff wellbeing. Thames path initiative run via the wellbeing group. Annualised hours being managed directly by Line Managers. Pulse surveys results inform SMT on how to manage wellbeing , help with wellbeing initiatives to support staff. HR to support, as required. 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 . UPDATE Jan/May 2021 Continue to encourage employees to take wellbeing breaks and to meet outside as per latest Gov guidelines. To communicate with colleagues and speak to line managers if feeling overwhelmed. Wellbeing actions plan launched Jan 2021 to include Novel ideas book club; couch to 5K activity; meetings outside with team members.	James Carpenter	6	Y	Jul-21

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15	Sc	Contract/Procedural	Failure of third party contracts to deliver acceptable levels of service causing Councils to not comply with their contractual obligations and inconsistent approach to third party contract monitoring results in reduction of service provision inefficient operations financial penalties and increased costs.	8	Mark Stone	Constant review of contractors financial viability. Contractors have been unable to operate therefore loss of revenue may impact their future financial viability. All service team Business resilience plans review supplier and contractor resilience on a regular basis. Identify the right people to set up a degree of transparency with regards to performance levels. Council waste contract procurement; Leisure services contract is being reviewed. Accountancy; HR; Grounds maintenance, Public toilets, Garden waste and Exchequer services have been recently brought back in house.	Head of Service	5		Possible central contract monitoring group linked to SMT to review and report on contractual obligations and revisit contracts. Management structure includes Head of Service and service management reporting on contract KPIs quarterly. Provision of effective contract monitoring training for staff.	Jul-21
51	Se Sg	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. <i>New reworded risk</i> Failure to anticipate the impact of the requirements of recovery road map on our districts in the medium/long term after lockdown may have an impact on our council services; community resilience and vulnerable residents.	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. UPDATE May 2021 Govt advise is for all staff to continue to work from home whenever possible. SMT support this. The EP team are now undertaking pan Oxfordshire test and trace visits with appropriate PPE and guidance. Two Covid marshals have been recruited to advise and guide residents and businesses in Covid safe activities. 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.	Adrianna Partridge	5		Keep watching brief at TVLRF TCG and other bronze/silver and gold meetings. Review response structure and map resources to recovery needs across council service; Community resilience and vulnerable residents. Set up a PIR to understand lessons learnt and inform actions going forward.	Jul-21
38	Sc	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	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 Covid-secure delayed PCC election, neighbourhood plan referendums, district and parish by-elections and county council elections on 6 May 2021. The dedicated election project team monitored IT support, resourcing and implications of Covid, escalating any issues through the project governance arrangements and project risk register to SMT. Social distancing and other Covid-secure measures at polling stations and counts were implemented. Venue contingency was in place for polling stations and count venues.	Steve Corrigan	5	Y	National funding available for PCC election and the county council will meet the cost of their elections. Towns and parish councils cover their election costs. With the impending retirement of the council's returning officer, recruit and appoint a new returning officer and electoral registration officer. Plan and prepare for May 2023 district and parish council elections.	Jul-21
58	Sc,Sg	IT Security	Data security compromised due to remote working, which may result in data breach and fines/loss of reputation	8	Adrianna Partridge	Regular monitoring and review at triage and SMT. Capita monitoring network for unusual activity and reporting to councils Action recommendations from security audit regard staff behaviours and awareness particularly during remote working. Update Jarvis pages etc. Cyber and data security awareness campaign launched WC: 24 May to raise awareness to all staff working remotely including password change to a longer more secure spec.	All Service Managers	5		Continue to monitor and increase awareness throughout the year. Working from home checklist under review at SMT.	Jul-21

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19	Sc	Programmes	Failure to capitalise on and influence national initiatives that benefit the districts.	7	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 on funding sources or comment on National Policy. Andrew Down has been appointed as chair of the Growth board. New Corporate plan supports/links and identifies national initiatives through Climate Emergency Advisory Committee (CEAC)etc.	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 and linked to the new corporate plan . Post COVID19 Review all funding now available following lockdown.	Jul-21
12	Sb	Procedural	Poor/inconsistent programme and project management, inconsistent utilisation of tools and 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./ Head of Policy and Programmes	Policy and programmes team have coordinated a programme and project management framework as part of the corporate delivery framework which includes a projects database and gateway approval process for governance and oversight. After review the Corporate delivery framework will link to the Performance management framework going forward as part of new corporate plan measures reporting.	Harry Barrington Mountford	5	Y	The Corporate delivery framework (CDF) is in the process of being reviewed to seek to optimise it's efficiency and investigate options for improvement. The review process involves a questionnaire asking all staff for their ideas for potential improvements to the CDF system. Feedback from staff will be considered by the CDF working group and appropriate amendments to the system will be recommended to SMT and feedback provided on all suggestions to staff and the Joint Audit and Governance Committee (JAGC).	Jul-21
32	Sf Sg	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 on marketability of projects and viability will be an added pressure on some of the proposed projects.	7	Chris Traill	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. Property Manager appointed in November. Maintain watching brief on information coming from suppliers and contractors to ensure assets and sites do not deteriorate over the short/medium term. Team are in course of reviewing and revaluing wider estate. New HOS in place team recruiting more surveyors and support staff .Didcot Gateway confirmed as new site for Council Office. Usage of the Crowmarsh site to be reviewed.	Catrin Mathias	5	Y	Develop partnership working with all landowners and developers to ensure timely preparedness (Didcot Gateway working in partnership with SOHA/OCC).This work will continue to progress and take time to embed before resulting improvements are seen. Continue to build on partnerships to ensure best use of assets.	Jul-21
6	Sa	Resources	Failure to manage Flexible working in response to external factors (WFH/ planning Bill/Corporate landlord/ performance management framework and corporate delivery plan) may lead to uncertainty in the workforce, resulting in staff retention issues and loss of knowledge and expertise in key areas, which may compromise delivery of the council objectives and services.	7	Mark Stone	Property Manager appointed in November. Maintain watching brief on information coming from suppliers and contractors to ensure assets and sites do not deteriorate over the short/medium term. Team are in course of reviewing and revaluing wider estate. New HOS in place team recruiting more surveyors and support staff .Didcot Gateway confirmed as new site for Council Office. Usage of the Crowmarsh site to be reviewed.	Adrianna Partridge/ James Carpenter	5	Y	Monitor progress of embedding HR transformation and structure across the council to be fit for purpose and flexible. The roll out of the new Learning Management System (LMS) LEAH will enable links with personal development plans and training requirements. Have a succession plan in place for all key team members. Review impact of Planning Bill and building safely/corporate landlord model, performance management framework and Corporate delivery plan on future structure and resource.	Jul-21

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23	Sf	Planning	Lack of informed and consistent decision making across the councils due to some members wishing to follow their democratic right to 'call in' planning decisions and go against the planning officer advice results in increase appeals and JRT's, increased costs, loss of infrastructure funding and loss of council reputation. Didcot Garden town: Significant funding estimated at £612m 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).	7	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. UPDATE 09/03/2020 Decision received 3/3/20 and plan progressing as directed by the Secretary of State. Virtual Local Plan meetings have been held and are ongoing to scrutinise local plan by planning inspectorate. Councillor training has been temporarily on hold due to Covid 19.The programme will be reviewed in the Autumn 2020. OCT2020 Virtual training being put together with training giving an overview of the planning process and CL already delivered. Training for Planning Committee, on Enforcement and Neighbourhood Planning is being planned. Update 2021 Planned targeted Cllr training .	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-21
34	Sb	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.	7	Mark Stone	Project governance structure in place. A: 135 Eastern Ave -lease extension successfully negotiated with a get out clause of spring 2023 at the current location ongoing. B: Didcot Gateway Site has a working group split 50/50 south and vale and includes all key stakeholders, the council portfolio holder, members and key officers. Project management will be undertaken by RIDGE. Maintaining watching brief to understand implications to other teams (elections) if delayed. Project risk register reflects covid impact including supply of materials and therefore delay in construction. Maintain a watching brief via project governance. DIDCOT GATEWAY to be a scaled down post covid business premises. Staff survey sent out 26 OCT 2020. Feedback being collated.	Adrianna Partridge/Suzanne Malcolm	2/3	Y	Action findings of staff survey to inform future design spec. 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 members as well as WFH being BAU the need for offices and lease deadline at 135 means the net risk is reduced to 2/3 green.	Jul-21
41	Se	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	Mark Stone/Adrianna Partridge/ James Carpenter	The council has an Emergency plan; Emergency planning officer receives and reviews daily updates from the Local Resilience Forum and Resilience Direct. Successfully implement the Forth Bridge Plan arrangements on the death of HRH Prince Phillip April 2021.	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 (EPO) attends OCC meetings on a regular basis to ensure joint working and understanding of R&R in an emergency incident. EPO is part of Local Resilience Forum (LRF) and receives daily updates from Resilience Direct and LRF. POST COVID 19. Review Business Recovery Plans with all teams to learn from what went well and what could be done better.	Jul-21
50	Sc Se Sg	Finance	Loss of council revenues and increased council expenditure in the medium term will result in council deficits going forward and inability to progress key projects.	6	Mark Stone	Finance team keep watching brief on expenditure via spreadsheet and undertake impact assessment. S151 across Oxfordshire meet regularly to discuss collective impact. Reports on arrangement of payments made to central Government. BRPs are monitoring expenditure and reporting requirements. Government financial support throughout the pandemic limiting the council exposure to a deficit. Budget for 2021 2022 has been revised to consider reduction in revenues thus reducing the risk of deficit in medium term Net risk reduced to possible major impact amber	Simon Hewings	5		Keep watching brief to enable revenue collections at earliest opportunity once the current restrictions are eased, support revenue creating service through lockdown. Continuously monitor expenditure to better understand the short, medium- and long-term financial exposure.	Jul-21

South is 7/5.
17 Vale 5/5

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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.	5	Simon Hewings	The council is writing a medium term financial strategy taking into account 2021 Gov spending review and the corporate delivery plan priorities and ensuring potential risks are identified.	Simon Hewings	5	Y	Regular budget monitoring and annual refresh. Medium term financial Strategy ensures any potential risks are identified. The corporate plan activity will support income generation and smarter working.	Jul-21
4	Sb	Security - resources	Failure to manage the security of all council owned assets including council offices may result in an incident or intruder entering the building putting our staff and visitors at risk .	5	Adrianna Partridge/Suzanne Malcolm/ James Carpenter	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. UPDATE OCT 2020 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. Ensure that there is always more than one person on site and that they are aware of the security protocols which have been instigated. Additional signage has been put at entrance to confirm building is closed to public. Regular perimeter checks by MEPC security staff 24/7 . CCTV. 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 (LRF) and Resilience Direct which the Emergency officer communicates latest updates, where relevant, setting up meetings when required to ensure all elements are covered. Review Security and COVID 19 safety measures in place for staff whilst council owned buildings are used for various purposes relating to Covid19 Response.	Head of Service	5	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. Review security plan in preparation for move back to 135 in Autumn. Plan an exercise to test plan Dec 2021.	Jul-21
8	Sa	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.	5	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. Since Covid19 a number of have been recruited to roles virtually with procedures in place to support onboarding using an external recruitment agency who filter perspective applicants and administer the process including adverts and tests.. HR have increased their team to provide support and expertise to the councils .The economic environment post Covid has resulted in easier recruitment of staff and increased staff retention currently, however certain skilled areas are still difficult to recruit to. Continue to review successional planning and provide internal on the job qualifications and skills training in roles where there are skills shortages (planning/building control).	James Carpenter/ David Fairall	5	Y	Management/Leadership team to continue to review staff cover throughout the councils. Plan for resilience for all key team members. Review and improve recruitment actioned see opposite. induction, training and development processes, where possible, to ensure we recruit, develop and retain staff. Embed the new LMS/LEAH training portal . Liaise with procurement to secure a suite of recruitment options. Review apprenticeship levy for future skilled recruitment.	Jan-21

Vale 5/5 South increased from 21 2/3 to 5

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24	Sa	Customer service	Failure to maintain a consistent standard of customer service results in lack of customer service initiatives leading to reputational damage.	5	James carpenter	A Customer Assurance Team has been set up, which encompasses internal and external customer services. Regular monitoring of quality of in house customer service and switchboard services provided by Capita. Monitoring of complaints and follow up learning. Review of our digital strategy to ensure service access to all our residents to report in 6 months.	Sally Truman	5	Y	The customer Assurance team coordinate performance measures linked to both services plans and corporate plan(part of performance management framework PMF) await recommendations linked to Corporate plan measures and delivery plan going forward. Customer service transformation project Terms of Reference (TOR)to be devised, to include residents/staff/Councillors and third parties. and digital platform with learning from customer and staff feedback -E.G. More information around planning on council website.	Jul-21
18	Sd	Programmes	Failure to realise future funding for Garden Communities. 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). 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	Chris Trail	Project manager successfully recruited and in post. The team is being resourced with temporary project support, whilst full job evaluation roles are undertaken for the wider team structure. SMT agreement to procure additional support through the Homes England Multidisciplinary Technical Framework. The new Garden Communities team will bring DGT, Berinsfield and Dalton Barracks projects together. This joined up approach will reduce risk as the expertise will be shared across all 3 projects. See Risk 16 (Line 44). Production of a Develop Planning Policy (DPD) for Didcot Garden Town. HIF Bid Funding agreement for £218m has been fully executed between OCC and Homes England have completed. Adoption of South Local Plan will support securement of HIF funding as part of the Growth Deal requirements. DGT manager is working with finance and legal to identify a funding strategy and enter into an agreement with OCC for project delivery of NPR3. Officers exploring uses for the historic £1.25m of DCLG grant funding to commit to DGT initiatives in 2021/22. Paper went to SMT in December 2020 to progress work on the vacant units at Didcot Broadway for residential and community/mixed-use provision.	Marybeth Harasz	5	Y	A £218 million HIF award was announced in March 2019. With the fully executed HIF agreement, more than 1/3 of the funding toward the total £612 million estimated implementation cost is achieved in line with the Delivery Plan time frame of 2031. The Delivery Plan is a long term vision, so 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. The Delivery Plan is a long term vision, so an update to the plan may be appropriate.	Jul-21
26	Sb Sc	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	Chris Trail	Validation of property records are now being undertaken by Council Officers, 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 statutory Health & Safety (H&S) checks as required. Internal Audit have identified three areas of property: ownership/billing and H&S compliance. A full time officer has been seconded to the team to address Corporate Statutory Compliance. A policy to allocate Cll/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. is now in place. Corporate Landlord Model progress to GW1 papers to SMT. Property manager (Catrin Mathias) is leading on this initiative. In addition, SMT has recently agreed for additional support within the Property team (fixed term contracts) to support current expertise in driving forward the implementation of key initiatives.	Catrin Mathias	5	Y	Plan to establish a corporate property management model. Reinstate asset management group meetings to review ongoing issues and future strategies.	Jul-21
42	Sa	Corporate services	Customer engagement and managing perception: failure to engage and manage the perception of our residents regarding key decisions in and out of council control may disenfranchise residents and result in loss of reputation.	5	James Carpenter	Prepare a communications plan to ensure all key stakeholders and residents are kept informed throughout the decision making process and ensure transparency of process. Head of Service have comms buddies to enable forward planning of the strategy. Update and streamline website. Review survey uptake and assess means of reaching hard to reach groups. Town and Parish virtual forums in May 2021.	Shona Ware	5	Y	Develop a digital comms strategy to ensure services accessible to all.	Jul-21

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59	Sg	Property	Lack of clarity around Roles and Responsibilities for property maintenance and statutory inspections across service teams pending the introduction of a corporate landlord model (preferred option yet to be decided) may result in failure to comply and potential injury, leading to fines loss of reputation.	5	Chris Trill	To be mitigated with the inception of a Corporate Landlord Model approach discussed with SMT May 2021. Property manager (Catrin Mathias) is leading on this initiative. In addition, SMT has recently agreed for additional support within the Property team (fixed term contracts) to support current expertise in driving forward the implementation of key initiatives. Recruiting a number of surveyors to ensure work progresses.	Catrin Mathias	2/3	Y		Jul-21
14	Sc	Finance	Failure to maximise opportunities to realise areas of revenue growth may impact overall future council finances. Risk 44 Failure to identify new areas of revenue growth and Risk 14 merged.	5	Mark Stone SMT	The adoption of the corporate Delivery plan will identify areas across service teams to explore opportunities for future revenue growth.	SMT	2/3	Y	All Heads of Service to be vigilant in terms of new funding streams and opportunities. Head of Service 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-21
27	Se	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	Designated safeguarding officer (DSO) and deputies in place. Cases referred to DSO which do not meet the threshold can be referred to monthly Joint Tasking Meeting for multi-agency review. Oxfordshire County Council conducts a joint annual audit incorporating the standards from the safeguarding self-assessment against the Children Act 2004 (s11 audit) as well as the standards developed for Adult Services. As part of this audit we submit an annual return which is subject to peer review. Process in place to protect potential victims of modern slavery (MS1). Mandatory training appropriate to the level of contact as a District Council with no social services and education responsibilities. All staff working in community roles have received a safeguarding training refresher. Safeguarding training is being delivered weekly using Microsoft Teams during the COVID crisis. We run a programme of training to accommodate new starters and Heads of Service who need refresher training. There has been an increase in safeguarding referrals and concerns raised by members of staff during 2020-21. The safeguarding policy has been updated and published on our safeguarding page on Jarvis. Community safety team are reviewing the need to post amended version on the Councils website. S11 (Safeguarding) Audit carried which identified no actions for district council.	Diane Foster	2/3	Y	Report on findings from March 2021.Safeguarding audit return. S11 (Safeguarding) Audit carried which identified no actions for district council.	Jul-21
21	Sa	Procedural/regulatory	Changes in legislation and government policy, including Planning Bill and Building safely/potential creation of unitary authority or devolution in Oxfordshire may impact the operational delivery of the councils' corporate objectives.	5	Adrianna Partridge	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 planning Bill/Building safely/ Local government; national planning framework and the Environment Bill which may impact future council plans. Keep a watching brief.	Adrianna Partridge/ Michelle Wells	2/3	Y	Hold a watching brief. UPDATE 2021 Maintain watching brief for govt initiatives and policy/legislative changes (planning Bill and Building safety. Review resource to ensure future proof to deal with changes in our operation.	Jul-21
45	Sa	Corporate services	Brexit may impact the economic viability and specific services within the districts in the short to medium term.	5	Adrianna Partridge	Brexit occurred with limited impact on local economy in the short term. Maintain a watching brief.	Ben Coleman Michelle Wells	2/3			Jul-21

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40	Sb	Contracts	Failure to learn from contractor poor performance on core council services (IT/waste collection/contact centre/revs and bens and leisure) results in poor services for residents and loss of reputation.	2/3	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. Governance structure in place and regular monitoring meetings held. Scrutiny reviews projects as part of Corporate Delivery Framework.	SMT/ Susan Harbour	2/3	Y	Procuring major contracts This year -GLL and Biffa use learning on performance to inform the procurement.	Jul-21
24	Sa	Corporate plan	Failure to deliver on the corporate plan objectives results in reputational damage.	2/3	Mark Stone	Corporate Plan approved Nov 2020. Annual and quarterly delivery measures(qualitative and some quantitative) have been agreed for approval in June. Performance Management Framework is being developed in line with the corporate delivery framework to monitor progress with quarterly reporting.	Harry Barrington Mountford & SMT	2/3	Y		Jul-21
43	Sa	Strategic partnerships	Oxfordshire housing growth deal: failure to agree with members of the Oxfordshire councils means we may not meet the deal agreement criteria and result in 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 Spatial Plan (JSSP) Oxfordshire 2050. Growth Deal Programme Board meet monthly across the county (we have two members of our planning team on this reg 18 plan for county) . First year target met. Second year targets not met and delivery of growth deal delayed by Covid-19. To be mitigated as government agreed to reprofile the delivery dates. Now on track to deliver .	Andrew Down/ Susan Harbour	2/3	Y	MHCLG and Homes England have agreed to extend the programme timetables.	Jul-21
22	Se	Democratic process	Changes in the local political landscape including snap elections, may impact the operational delivery of the councils' corporate services.	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 Head of Service 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. Corporate Plan 2020-2024 in place to establish a vision and priorities for the council. Performance Management Framework is being developed in line with the corporate delivery framework to monitor progress with quarterly reporting.	SMT/ Margaret Reed	2/3	Y	May 2021 County elections- OCC has similar Cllr political profile to the districts , monitor impact.	Jul-21
62 New risk	Sa	Strategic partnerships	Government actions in the Oxford-Cambridge Arc are outside the councils' control and could have an impact on economic recovery and growth.	2/3	Andrew Down	Seek to influence direction of MHCLG initiatives including the Arc Spatial Framework and formation of an Arc Growth Body by taking an active part in the discussions. Authorities in the Arc have already agreed a set of environment principles which are intended to shape future developments.	Andrew Down	2/3	Y		Jul-21

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