

South Oxfordshire District Council Corporate Risk Register

SODC Corporate Strategic Themes	
Sa	All themes
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

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
49	Sa	Operational	Third party contractors Business Continuity Plans (BCP) and file back ups are not fit for purpose and may result in poor customer service and loss of council reputation if there a) is failure of IT infrastructure. b) Disaster Recovery Incident	8	Mark Stone Adrianna Partridge Suzanne Malcom	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 results have been received and Action plan is being written. Review all Third Party BCP's to ensure that they are fit for purpose. Capita have 30 days of back up at any one time. There is no cold store backup of council data.	All Service Managers	7	Y	Capita remote back up is not fit for purpose, the planned separation Office 365 from 5CP and move IT service to Azure (cloud) Proposal due Dec 2021 to mitigate this has been delayed until Spring 2022 due to increased cost to undertake this work, hence this net risk rating has not been mitigated down. Review procurement procedures to include Third Party BCPs . Develop training on contract management and monitoring to ensure contractors to ensure the council manage performance effectively. Maintain Spreadsheet of Third Party Market performance Share price to monitor potential issues with contractor viability/performance. Continue to monitor the situation.	Jan-22
64	Sa	Technology security	IT Cybersecurity breach due to inadequate security protection of the councils external website may lead to the council systems and data being compromised and result in council financial and reputation loss.	8	Adrianna Partridge	CAPITA information security infrastructure provides continuous updates of security software, firewalls and patches. The 5CP Information security group regularly meets to discuss issues and mitigation actions. The council has an experienced information governance officer and data protection officer in post. A senior IT manager has been trained and now holds a certificate in Cyber security (CISSM/P) Cyber and data security working group which includes members from IT, Risk and Insurance, Business continuity and the Data protection Officer are working through the data security Internal Audit recommendations ;have instigated Cyber and Data Security awareness campaigns to improve user awareness whilst working from home. The councils were chosen by the LGA to undergo an external LGA cyber audit. The cyber audit was restricted by CAPITA who gave access to only 10% of Accounts. ACTION PLAN has been agreed and will be worked through with Cyber and data security working group and senior IT manager. Multi factor Authentication for Office 365 to be rolled out Dec 2021 once user testing at Mendip has been reviewed and any issues raised are resolved.	Simon Turner	6	Y	Looking to introduce 2 factor authentication for Website controllers to log in to avoid third parties access to the back office.	Jan-22
2	Sa	Technology security	IT Cybersecurity breach due to inadequate security protection of the Software as Service Non cloud applications (Zellis/Unit 4 etc) may lead to the council systems and data being compromised and result in council financial and reputation loss.	8	Adrianna Partridge	CAPITA information security infrastructure provides continuous updates of security software, firewalls and patches. The 5CP Information security group regularly meets to discuss issues and mitigation actions. The council has an experienced information governance officer and data protection officer in post. A senior IT manager has been trained and now holds a certificate in Cyber security (CISSM/P) Cyber and data security working group which includes members from IT, Risk and Insurance, Business continuity and the Data protection Officer are working through the data security Internal Audit recommendations and have instigated Cyber and Data Security awareness campaigns to improve user awareness whilst working from home. The councils were chosen by the LGA to undergo an external LGA cyber audit. The cyber audit was restricted by CAPITA who gave access to only 10% of Accounts. ACTION PLAN has been agreed and will be worked through with Cyber and data security working group and senior IT manager. Multi factor Authentication for Office 365 to be rolled out Dec 2021 (or early 2022) once user testing at Mendip has been reviewed and any issues raised are resolved.	Simon Turner	6	Y	Metacompliance Training Modules have been purchased and will be rolled out to all staff and councillors on LEAH. Review of Cllr awareness underway with 30 min briefings and regular In Focus updates to be agreed . Request membership to SEGWARD (South East Government Warning, Advisory and Reporting Point) underway. Capita will be undertaking their own audit in Jan 2022, await results and actions from this. Looking to implement single sign in of council networks using S/V credentials which will provide an extra level of complexity. This is dependent upon the 5CP tenancy split in 2022.	Jan-22
11	Sb	Procedural/regulatory	Failure to fulfil the Data Protection legislative requirements may result in fines, insurance claims 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 and review of contract clauses. Additional Information Governance Officer is a permanent post . Updates to Record of Processing Activities (ROPA) during 20/21 to be embedded as a regular review process. Data Protection Impact Assessments (DPIAs) considered for all new processes and Data Protection Team/Officer 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 and other bodies in relation to data protection and information rights.	Sally Truman/Sandy Bayley	6	Y	Constant monitoring of legislative tests. Continue work to ensure that all Data Protection policies are in place and up to date, including ongoing review of the ROPA. Developing a bespoke data breach procedure for all staff. Ensure FOI/EIR requests are correctly managed to ensure compliance with DPA and minimise data breaches arising from incorrect handling. Write a new retention policy and records management policies, including retention and redacting, across the councils, review third party contractors and contracts to ensure requirements for processing personal data processing policies are accurately recorded.	Jan-22

9	Sc	Procedural - Health and safety	Failing to have an effective health and safety management system in place and lack of resource to support, may 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 advisor in place however the Senior Health and Safety Advisor post is vacant (since June 2021). After the fundamental review of Health & Safety management system was undertaken and SMT and JAGC approved, the subsequent action plan is being progressed. Items covered are: the principle of a Corporate Landlord Model for properties, re-established monthly reporting to SMT which includes agreed KPI's, regular joint reporting between Health & Safety, Risk & Insurance to enable risks to be proactively managed. New H&S policy written successfully undergone UNISON and SMT consultation and is now undergoing staff consultation. Home DSE checks have been undertaken and are reviewed. A number of H&S training including Lone Workers courses are now on LEAH for all staff to access.	Adrianna Partridge	6	Y	Recruit to CIPFA Stage 2 findings for Property Asset management and Senior Health and Safety Advisor (vacant post since June 2021) Promote approved Health and Safety policy via LEAH and Staff comms once staff consultation is complete. Continue to develop all Health & Safety policies. Work with Property team to support the introduction of a Corporate landlord model across the councils. Continue to encourage and support reporting of incidents.	Jan-22
58	Sa	IT Security	IT and data security compromised due to remote working and naive user behaviour, 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. Cyber and data security awareness campaign launched to raise awareness to all staff working remotely including password change to a longer more secure spec, data security and cyber awareness. Comms are agreed at monthly Cyber Group Meetings. Metacompliance Training Modules have been purchased and will be rolled out to all staff and councillors. Multi factor Authentication to be rolled out Dec 2021 once user testing at Mendip has been reviewed and any issues raised are resolved.	All Service Managers	6	Y	Continue to monitor and increase awareness throughout the year through Metacompliance and comms. Agree future Cyber and Data Security and Comms Plan 2022-2023. Monitor Multi factor authentication with regard to security.	Jan-22
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 in no's of appeals and JRT's, increased costs, loss of infrastructure funding and loss of council reputation.	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. Update OCT 2021 - The 3yr Housing Land Supply expired 31/03/2021. From 01/04/21 we have been required to have a 5yr Housing Land Supply across both South and Vale administrative areas. South have received 2 appeal decisions that challenge South's 5 year land supply (4.2yrs & 4.8yrs). We are currently drafting an Action Plan covering 5year land supply and are working towards having the Action Plan completed by end of Nov 2021. Planned targeted Councillor training. Planning Enforcement under review. Key Performance indicators being met	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. OCT 2021 Continue to have an ongoing programme for training of councillors. If we find ourselves in a situation (South or Vale (or both)) where we do not have a 5 year land supply, we will conduct specialist training with Members on this specific area.	Jan-22
4	Sa	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 or potential injury claims.	7	Adrianna Partridge/Suzanne Malcolm/James Carpenter	135 Reopened to staff as per the stage 2 of roadmap to recovery following protocols of booking and recording entry via secure pass doors. Didcot Gateway Security: Outside consultants advising on security for new premises. Cornerstone and community centres have designated key holders and security checks as part daily operations. Corporate Landlord Model: Provides clarity on roles and responsibilities. Terror threat level increased to SEVERE 15.11.2021 gross risk increase to 7	Heads of Service	5	Y	Monitor security plans across all council owned assets.	Jan-22
41	Sa	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 (EPO) receives and reviews daily updates from the Local Resilience Forum (LRF) and Resilience Direct. Successfully implemented the Forth Bridge Plan arrangements on the death of HRH Prince Phillip April 2021. The Emergency Planning Officer (EPO) attends OCC meetings on a regular basis to ensure joint working and understanding of R&R (Roles and Responsibilities) in an emergency incident. (any major incident would be responded to by the relevant partner agencies, utilising Joint Emergency Services Interoperability Programme (JESIP) principles. The LRF would be stood up at the appropriate level to respond to the incident and call upon the necessary frameworks/plans. This could include a scientific technical advisory cell (STAC) in the event of environmental issues.	Ben Coleman/Harry Barrington-Mountford	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.	Jan-22
18	Sg	Programmes	Failure to realise future funding for Garden Communities. (Didcot Garden Town and Berinsfield Garden Village) resulting in loss of reputation in the local communities.	5	Suzanne Malcolm	MASTER PLANNER recruited to liaise with Key Stakeholders. (Detailed risk sits with Service area) Berinsfield Garden Village Team negotiations with multiple stakeholders ongoing to agree terms of development to fulfil community aims (deprivation)/Garden Village principles.	James Carpenter	4	Y	Develop a stewardship strategy for Didcot Garden Town (DGT) to sustainably fund the model of operations.	Jan-22

26	Sa	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 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 Cii/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 GW2 approved by SMT. Interim HOS (J Carpenter) is leading on this. 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. The Staff realignment supports the roll out of the Corporate landlord model, however there is a vacancy for key service manager in this area.	James Carpenter	4	Y	Recruitment of service manager to property asset team. Corporate landlord project initiation. This risk not mitigated yet until successful appointment of service manager.	Jan-22
63	Sf Sg	Planning	Failure to deliver on Joint local planning policy resulting in penalties and reputational risk as well as increased costs if we are required to undertake two separate policies for each council.	5	Suzanne Malcolm/ Adrianna Partridge	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)	Harry Barrington-Mountford /Adrian Duffield	2/3	Y		Jan-22
7	Sa	Resources personal security	Poor staff morale, and wellbeing as a result of long period of working from home, with increased workloads, taking sensitive phone calls from residents in isolation in home environment, may result in stress leading to increased absence and low staff retention rates and increased cost implication to fill the resource gap by recruiting contract staff.	5	Adrianna Partridge	Pulse survey results informed SMT on how to manage wellbeing and initiatives to support staff. Regular HR Staff drop in's on teams allow staff to raise concerns. Stage 2 of Councils roadmap is now in place allowing staff who wish to work at 135 to do so, following agreed procedures. All staff contracts have been updated to reflect business as usual where blended/hybrid working is the norm. Team Leaders and Mental Health First Aiders are available to support by signposting to appropriate agencies. Regular work catch ups via virtual meetings as well as wellbeing coffee meetings are actively encouraged. Wellbeing action plan launched Jan 2021 to include Novel ideas book club; couch to 5K activity; meetings outside with team members supported by HR. Christmas opening hours and 2 hours annualised hours leave announced and staff reminded to take as required.	David Fairall	2/3	Y	Monitor progress.	Jan-22
8	Sa	Resources	Failure to attract and recruit staff with the necessary skills to roles across all service teams may result in shortage of resources to enable the council to deliver the corporate plan and fulfil their statutory duties.	5	Mark Stone	Fully staffed Strategic HR Team now in house. HR transformation is being implemented. Continue to encourage and support existing staff to apply for internal vacancies. Recruitment to roles continues virtually with procedures in place to support onboarding. 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. The council will continue to review successional planning to "grow our own" and provide internal on the job qualifications and skills training in roles where there are skills shortages (planning/building control/legal services) using secondments and apprenticeships. Team Realignment supports collaborative working model and reduces silo working providing the environment to support this.	Adrianna Partridge / David Fairall	2/3	Y	Continue to monitor through HR transformation project.	Jan-22
24	Sa	Customer service	Failure to maintain a consistent standard of customer service results in reputational damage and dissatisfied residents.	5	Adrianna Partridge	A Customer Service 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. Monitor complaints and follow up learning. Customer service transformation project Terms of Reference (TOR) has been agreed. Team realignment supports this project going forward.	Sally Truman	2/3	Y	UPDATE OCT 2021. CRM (Customer Relationship Management) system under consideration for implementation in Jan 2022 as part of Customer Service Transformation Project. Monitor the progress of Customer Transformation Project.	Jan-22
21	Sa	Procedural/regulatory	Changes in legislation and government policy, may impact the operational delivery of the councils' corporate objectives.	5	Adrianna Partridge	Environment Bill enshrined in law with effect from 10 Nov 2021. Insight and Policy Team researching implications for future contracts. Maintain a watching brief for other legislation. A waste procurement expert is employed to support the waste contract procurement. Building Safely Bill emerging with implications for building control relating to fire safety.	Adrianna Partridge/ Michelle Wells/Adrian Duffield/Liz Hayden	2/3	Y	Review options to extend existing Biffa contract for Waste in light of potential changes in the Environment Bill until changes are understood. Planning: Senior officer training for building safely bill planned for Jan 2022 - both South and Vale	Jan-22

15	Sc	Contract/Procedural	Failure of third party contracts to deliver acceptable levels of statutory service, resulting in non compliance of councils statutory obligations , reduction of service provision, inefficient operations, financial penalties and increased costs.(Merged with risk 40 Failure to learn from contractor poor performance)	5	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. Annual Performance Reports Scrutiny reviews projects as part of Corporate Delivery Framework. Performance reporting process has been embedded to ensure openness and transparency. Provision of effective contract monitoring training for staff. Consider succession planning for hand over of contracts to ensure consistency and that focus is maintained. Council waste contract procurement to incorporate contract monitoring requirements.	Heads of Service	2/3	Y	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 KPI's quarterly.	Jan-22
42	Sa	Corporate services	Failure to engage and communicate with our residents regarding key decisions in and out of council control may disenfranchise residents and result in loss of reputation.	5	Adrianna Partridge	A communications plan is in place and is regularly reviewed for each corporate plan priority to ensure all key stakeholders and residents are kept informed, Heads of Service have comms buddies to enable forward planning of the strategy. Update and streamline website. Continue to review survey uptake and assess means of reaching hard to reach groups. Communications and Engagement Manager works proactively by meeting with Leader and Cabinet members prior to and following Cabinet briefings to ensure messages and comms are accurately managed. Comms strategies are agreed before cabinet meetings. A digital comms strategy is being developed to ensure services accessible to all. Relaunch Town and Parish Forums. Recruit Consultation officer to relaunch customer consultation through residents surveys.	Shona Ware	2/3	Y		Jan-22
27	Se	Safeguarding	Failure to deliver council safeguarding responsibilities may result in loss of reputation and civil claims 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, is being delivered monthly to new employees and all staff as part of the three year refresher training via Microsoft Teams. Online training is to be introduced this year as part of the councils' induction programme. The safeguarding policy has been reviewed and is published on our safeguarding page on Jarvis along with guidance on how to report any safeguarding concerns.	Diane Foster	2/3	Y	S11 (Safeguarding Audit) submitted by 3 December 2021 deadline. Peer review 17 February 2022. Report on findings from peer review S11 safeguarding audit return	Jan-22
19	Sc Se Sf Sg	Programmes	Failure to capitalise on and influence national initiatives that benefit the districts.	4	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. 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 (Future Oxfordshire Partnership, Oxfordshire County Council and Homes England) to ensure favourable future outcomes. Post COVID19 Review of all funding now available following lockdown. Andrew Down has been appointed a Director of the Future Oxfordshire Partnership. New Corporate plan supports/links and identifies national initiatives through Climate Emergency Advisory Committee (CEAC)etc.	Andrew Down/ Harry Barrington-Mountford	2/3	Y		Jan-22
14	Se Sg	Finance	Failure to maximise opportunities to realise areas of revenue growth may impact overall future council finances.	4	Mark Stone	All Heads of Service to be vigilant in terms of new funding streams and opportunities and ensure that fees and charges relate to the budgeted cost of operating the service/scheme, are reasonably set and reviewed regularly as highlighted in the recent budget challenge.	Simon Hewings	2/3	Y		Jan-22
25	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 . Q1 and Q2 performance reporting has been completed.Q3 underway.	Harry Barrington-Mountford & SMT	2/3	Y		Jan-22
62	Sf Sg	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	Continue to influence DLUHC initiatives including Arc Spatial Framework and formation of an ARC Growth Body. Authorities in the ARC have already agreed a set of environmental principles intended to shape future developments. Ensure members are aware and engaged .	Andrew Down/ Susan Harbour	2/3	Y		Jan-22