

Corporate Risk Register 2017-18 Q2 post-review

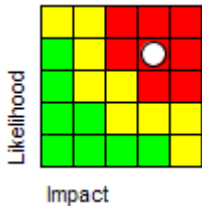
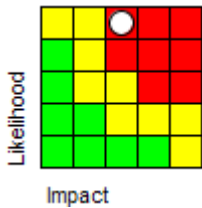
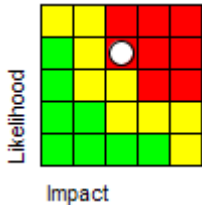
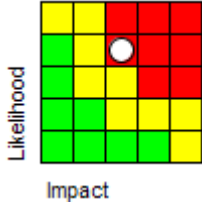


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Rows are sorted by Risk Score

Code & Title W-CRR Corporate Risk Register

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
W-CRR-010	Failure of contractors to meet obligations under key contracts or to deliver the full extent of services in the final term of contract	Financial Reputational	Robust and effective contract management approach including regular meetings with key contractors	4	5	20		16-Oct-2017	16-Oct-2017 Impact increased from 3 to 4. Significant problems experienced with the operational roll out of the new waste service has impacted on the Council's reputation and resources within Customer services, Communications, ICT and the Waste team	Senior Management Team
W-CRR-004	Local transport infrastructure deteriorates leading to reduced access to services and employment	Reputational Community	Work with the County Council to plan and enable infrastructure improvements Lobby to ensure that the improvements for A40 and surrounding area are delivered as proposed	4	4	16		27-Oct-2017	27-Oct-2017 No change in rating. Considerable work across Oxfordshire is taking place to maximise the collective bid for infrastructure funding. A bid for Housing Infrastructure Fund monies has been submitted with a West Oxfordshire project including A40 improvements as the second highest priority. Discussions are ongoing with DCLG and others regarding the potential for investment in Oxfordshire's infrastructure	Shared Strategic Director (Development and Environment)
W-CRR-014	Failure to successfully implement the Local Plan and new Planning Framework leading to potential government intervention and/or an increase in speculative planning applications	Financial Reputational	Project plan to deliver the Local Plan	4	4	16		16-Oct-2017	16-Oct-2017 No change in rating. The Local Plan examination concluded on the 20th July; and further work is underway to meet the Inspector's requirements	Shared Strategic Director (Development and Environment)

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W-CRR-015	Failure to maintain a five year land supply leading to an inability to defend the District against speculative planning applications	Financial Reputational	Annual monitoring report to identify delays in sites coming forward Schedule of work to address issues raised by the Planning Inspector	4	4	16		16-Oct-2017	16-Oct-2017 No change in rating. The housing land supply was robustly examined by the Inspector. His report will clarify any further work required	Shared Strategic Director (Development and Environment)
W-CRR-003	Reduced rural services leading to increased pressure on the Council and its services	Community	Lobby for continued service provision in rural areas by third parties e.g. Oxford County Council and NHS Work with Community organisations	3	5	15		16-Oct-2017	16-Oct-2017 No change in rating. The Oxfordshire Clinical Commissioning Group published Phase 1 of the consultation on its Sustainability and Transformation Plan on 16 January which contained a number of proposed options which would result in a perceived reduction in service within West Oxfordshire. Following consideration by the Economic and Social Overview & Scrutiny Committee and Cabinet, a detailed and robust response has been submitted. Further consultation on the STP is expected in the next few months	Shared Strategic Director (Development and Environment)
W-CRR-005	Failure to deliver a balanced medium term financial strategy leading to the requirement to cut services or make additional savings	Financial Reputational	Regular meetings with Members and Cabinet MTFS and budget process CT/SMT discussions and lead Vision 2020 programme	3	4	12		16-Oct-2017	16-Oct-2017 Impact reduced from 4 to 3. Consultation on the LG Finance settlement 2018-19 has commenced; the proposed changes to the New Homes Bonus will have a financial impact but not as great as initially expected. In addition, local authorities have been invited to submit proposals to pilot 100% business rates retention in 2018/2019. The MTFS is currently being reviewed and updated	Shared Strategic Director (Resources)
W-CRR-006	Impact of change on staff morale and motivation leading to reduced service delivery (capacity for change insufficient/pace of change too fast)	Performance Reputational	Regular reviews of change process Impact of change measured via Staff forum and staff sickness Comprehensive consultation and engagement process Change management training Joint Liaison Forum	3	4	12		16-Oct-2017	23-Oct-2017 No change in rating. The arrangements for the transfer of staff to the company is progressing, and is leading to increased uncertainty. Senior management is working hard to reassure staff via service team briefs and other channels of communication	Corporate Team

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W-CRR-013	The impact of unforeseen legislative changes on financial and staff resources	Financial Community	Horizon scanning, awareness via professional publications Respond to government consultations Monitor potential changes in planning rules and their consequences e.g. penalties for not determining smaller applications on time, and failure to produce a Local Plan	3	4	12		16-Oct-2017	16-Oct-2017 Impact reduced from 4 to 3. Consultation on the LG Finance settlement 2018-19 has commenced; the proposed changes to the New Homes Bonus will have a financial impact but not as great as initially expected. In addition, local authorities have been invited to submit proposals to pilot 100% business rates retention in 2018/2019	Senior Management Team
W-CRR-026	Oxfordshire County Council terminates Agency Agreement for on-street parking enforcement resulting in increase in costs the Council for the off street parking service	Financial Performance	Ensure the existing agreement remains beneficial to OCC	4	3	12		16-Oct-2017	16-Oct-2017 No change in rating. The Council has an Agency Agreement with OCC to provide on-street parking enforcement on its behalf, which we do alongside off street enforcement. Delivering the service in this way is efficient. However, in light of the Unitary authority issues and the creation of Publica, there is a risk that County may decide to terminate the agreement which would have a financial impact as it would be less efficient/most costly to deliver just the off street enforcement element. There is limited action that we can take to mitigate this risk except to ensure that the agreement remains beneficial to OCC	Shared Head of Environmental Services
W-CRR-007	The impact of severe weather on the Council's ability to provide key services	Performance Reputational	Consistent monitoring and evaluation of impact on service delivery at service level Communications strategy Relevant policies e.g. snow policy Waste and Recycling severe weather plan Laptops and home working Business Continuity Plans	3	3	9		16-Oct-2017	16-Oct-2017 No change in rating	Shared Head of Environmental Services

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W-CRR-011	Major public events/incidents that have an impact on the Council/Community	Community Reputational	Regular monitoring Plans in place for regular events	3	3	9		16-Oct-2017	16-Oct-2017 No change in rating	Service Lead for Business Support (ERS)
W-CRR-012	Failure to comply with relevant Information Management Legislation and Transparency Agenda leading to intervention from government bodies	Financial Reputational Legal	Arrangements reviewed in light of new legislation Quarterly monitoring of FOI return rate to SMT	3	3	9		16-Oct-2017	16-Oct-2017 No change in rating. There is a work plan in place for the introduction of the new General Data Protection Regulations in 2018; mandatory training was rolled out to staff during September	Group Manager ICT, Change & Customer Services
W-CRR-016	Failure of the 2020 Vision to deliver the agreed objectives in accordance with the business plan leading to a budget gap and/or services to the public affected	Financial Reputational	Programme Board Local Political Support National Political Support Early Engagement with employees and Unions Funding provided to develop detailed business case	3	3	9		16-Oct-2017	16-Oct-2017 No change in rating. As preparation for the company 'go-live' continues ready for the transfer of staff on 1st November, pre-live uncertainties are causing some anxiety for some Members and staff	Corporate Team
W-CRR-017	Unavoidable budget pressures exceed provision within the Medium Term Financial Strategy leading to reduced reserves, pressures on services, tax levels and failure to meet agreed budget targets	Financial	Service Delivery Planning Budgetary control system CT/HoS consider financial pressures, in particular arising out of cost shunting Key variances report	3	3	9		16-Oct-2017	16-Oct-2017 Impact reduced from 4 to 3. Both planning income and garden waste income are doing well	Senior Management Team
W-CRR-027	Potential penalties are enforced as a consequence of the number of appeals being upheld leading to financial implications and government intervention	Financial Reputational Performance	Robust and effective monitoring of appeal decisions Potential intervention of Planning Committee if necessary	3	3	9		27-Oct-2017	27-Oct-2017 Added in Q2 2017/18. The planning data used for designation by the Department for Communities and Local Government identified the Council as being at risk; however, the next designation round in Jan-March 2018 will be based on more recent data, and we do not anticipate any issues	Shared Strategic Director (Development and Environment)

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
W-CRR-019	The failure of contractors to comply with health and safety requirements, resulting in financial and reputational damage to the Council	Financial Reputational	Contract management in place to ensure appropriate measures such as risk assessments, appropriate policies, and training is in place. GOSS Health and Safety business partners provide advice and support Concerns can be escalated to contractors' senior management	4	2	8		16-Oct-2017	16-Oct-2017 No change in rating	Shared Head of Environmental Services
W-CRR-001	Further significant flood events leading to risk to life, property flooding, loss of assets and interruption to travel	Community Reputational	Business Continuity Plans in place to minimise service disruption and enable support to communities Annual maintenance is undertaken of watercourses which is the responsibility of the Council Flood Engineers Framework West End scheme completed	3	2	6		16-Oct-2017	16-Oct-2017 No change in rating	Shared Head of Environmental Services
W-CRR-008	IT System /infrastructure failure due to virus results in reduced system performance leading to poor service delivery/financial impact	Financial Performance	Blocking of USB and other devices PSN compliance Revised policies Staff awareness training BCP in place, reviewed and tested Enhanced encryption software	3	2	6		17-Oct-2017	17-Oct-2017 No change in rating. We are continuing to make improvements to the network; and preparations for the PSN compliance checks has commenced	Group Manager ICT, Change & Customer Services

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W-CRR-009	Loss of data (both on site and as a result of remote/mobile working) / security failure in our IT systems resulting in a reputational/financial risk to the Council	Reputational Financial	Blocking of USB and other devices PSN compliance Revised policies Staff awareness training BCP in place, reviewed and tested Enhanced encryption software	3	2	6		17-Oct-2017	17-Oct-2017 No change in rating. We are continuing to make improvements to the network; and preparations for the PSN compliance checks has commenced	Group Manager ICT, Change & Customer Services
W-CRR-025	Failure to procure Superfast Broadband would result in the Council not meeting resident expectations and leave many communities with inadequate broad coverage	Community Reputational	Work closely with BDUK to ensure state aid regulations are complied with Commission specialised skills when required to provide expertise and capacity Work closely with the chosen supplier to ensure delivery is timely Provide regular communications to residents, communities and stateholders	3	1	3		17-Oct-2017	17-Oct-2017 Likelihood reduced from 3 to 1. The procurement process is complete; final stages of the contract with the preferred supplier are to be agreed. BDUK Assurance Board to meet on 19th October for final sign-off before the project moves to the delivery phase	Shared Strategic Director (Resources)