

## Risk Assessment Guidance

Level of Risk	How the risk should be managed
<b>High Risk</b> (15 - 20)	<b>Requires active management</b> - to manage down and maintain exposure at an acceptable level. Escalate upwards
<b>Medium Risk</b> (12 - 8)	<b>Contingency plans</b> - a robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile
<b>Low Risk</b> (1 - 6)	<b>Good Housekeeping</b> - may require some risk mitigation to reduce likelihood if this can be done cost effectively, but good housekeeping to ensure the impact remains low should be adequate. Re-assess frequently to ensure conditions remain the same.

Impact	<b>Most severe (5)</b>	5	10	15	20
	<b>Major (4)</b>	4	8	12	16
	<b>Moderate (3)</b>	3	6	9	12
	<b>Minor (2)</b>	2	4	6	8
	<b>Insignificant (1)</b>	1	2	3	4
		Unlikely (1)	Possible (2)	Likely (3)	Very likely (4)
		Likelihood			

Risk Probability Key				
<b>Score</b>	1	2	3	4
<b>Level</b>	<b>Unlikely</b>	<b>Possible</b>	<b>Likely</b>	<b>Very Likely</b>
<b>Probability</b>	<10%	10 - 40%	41 - 75%	>75%
<b>Timescale</b>	It is unlikely to occur	Possible in the next 3 or more years	Likely to occur in the next 1 - 2 years	Occurred in the last year/very likely to occur in the next year

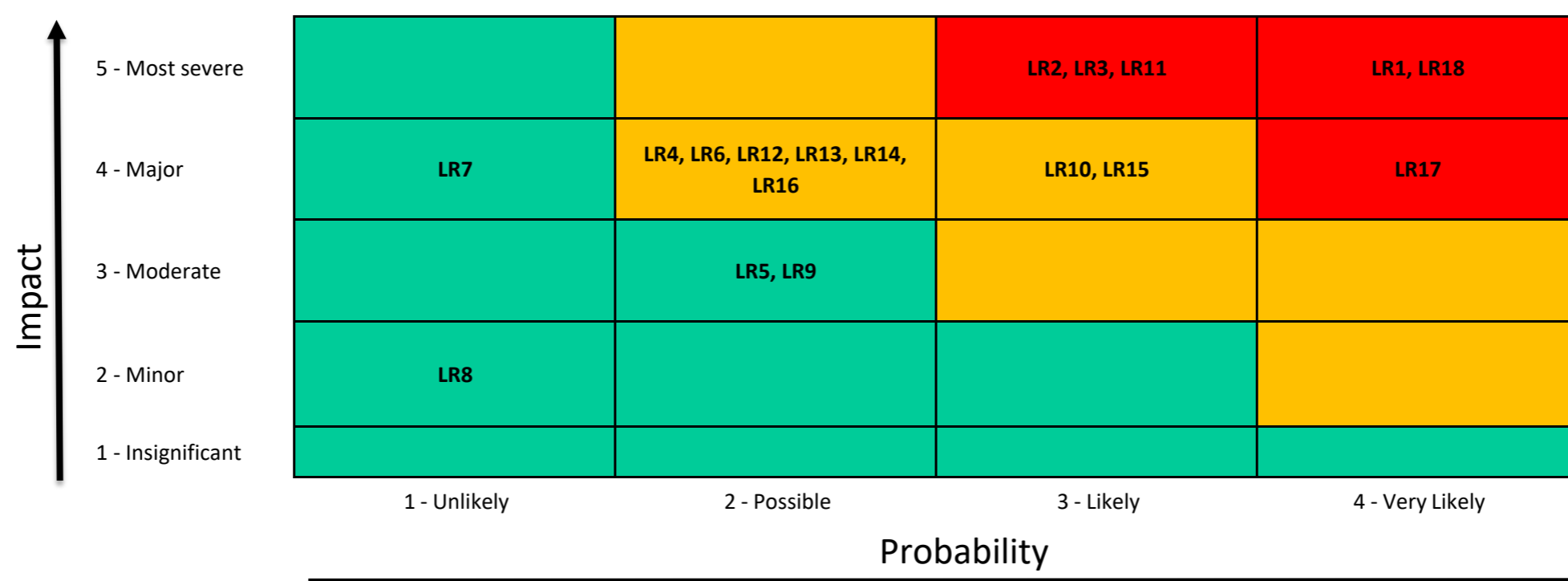
Risk Impact Key				
Score	Level	Financial *	Performance / Service Delivery	Reputation
1	<b>Insignificant</b>	Financial loss less than £500k / £2.5m in a year or negative variance against annual revenue or capital budget	Limited disruption to services	<ul style="list-style-type: none"> <li>A few minor complaints and/or minimal local media attention.</li> <li>No impact on council reputation or identity.</li> </ul>
2	<b>Minor</b>	Financial loss up to £1m / £5m in a year or negative variance against annual revenue or capital budget	Short term disruption to services that do not directly affect vulnerable groups	<ul style="list-style-type: none"> <li>A number of complaints but minimal local media attention Minor impact on council reputation or identity with no lasting effects.</li> </ul>
3	<b>Moderate</b>	Financial loss up to £1.5m / £7.5m in a year or negative variance against annual revenue or capital budget	Loss of services that do not directly affect vulnerable groups	<ul style="list-style-type: none"> <li>Extensive adverse local media attention Perception and identity of Council damaged / undermined in the short term with some rebuilding required.</li> </ul>
4	<b>Major</b>	Financial loss up to £2m / £10m in a year or negative variance against annual revenue or capital budget	Significant disruption of services directly affecting vulnerable groups	<ul style="list-style-type: none"> <li>Extensive national media attention or sustained local media attention. Perception and identity of Council damaged / undermined with long term - major rebuilding required.</li> </ul>
5	<b>Most Severe</b>	Financial loss over £2.5m / £12.5m in a year or negative variance against annual revenue or capital budget	Loss of services directly affecting vulnerable groups	<ul style="list-style-type: none"> <li>Ministerial intervention and/or public enquiry with sustained national media attention. Perception and identity of Council fundamentally damaged and undermined, potentially beyond repair</li> </ul>

\* The two figures denote different levels of financial impact: for Operational risk and Strategic risk

Risk Definition	
Leadership	Strategic risks that are significant in size and duration, and will impact on the reputation and performance of the Council as a whole, and in particular, on its ability to deliver on its corporate priorities
Operational	Risks to systems or processes that underpin the organisation's governance, operation and ability to deliver services.

## OCC Leadership Risk Register - As at 20/09/2020

**Risk Matrix - Ratings (residual risk scores)**



Risk Ref	Risk Title	Residual Risk Score	Direction of travel
LR1	Demand management: managing the impact of increased demand on council services	20	↔
LR2	Safeguarding of vulnerable adults and children: ensuring there are effective arrangements in place for safeguarding	15	↔
LR3	Capital Infrastructure Programme Delivery	15	↔
LR4	Local and community resilience ensuring there are plans in place to support and engage communities with regards to resilience, cohesion, and community tension	8	↔
LR5	Management of partnerships (non-commercial) maximising the use of effective partnerships to deliver strategic outcomes and community benefit.	6	↔
LR6	Supply chain management ensuring effective delivery through the supply chain	8	↔
LR7	Delivery of statutory duties delivery of service and duties in compliance with requirements and responding to changes.	4	↔
LR8	Corporate governance creating and embedding an effective and robust management and governance system that provides accountability and transparency.	2	↔
LR9	Workforce management long term plans to ensure a capable and skilled workforce with the capacity to deliver required and new services.	9	↔
LR10	Organisational Change and Service Design ensuring there are effective plans and governance in place to deliver required organisational change.	12	↔
LR11	Financial resilience: ensuring there are effective plans in place to deliver a balanced budget and a sustainable medium term financial strategy	15	↔
LR12	Property and assets (maintenance cost)	6	↔
LR13	Health and safety: ensuring effective arrangements are in place to meet our duties	8	↔
LR14	Business continuity and recovery plans Resilience to an additional significant disruption during the Covid-19 Response	8	↔
LR15	Cyber security assurance that effective controls are in place to prevent security issues.	12	↔
LR16	ICT Infrastructure: assurance that IT infrastructure is reliable and fit for purpose	8	↔
LR17	Covid-19. Community and Customers providing service and support to those impacted by the coronavirus pandemic	16	↔
LR18	Covid-19. Business Continuity: managing the ongoing impact of the pandemic on council operations.	20	↔

OCC Leadership Risk Register

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LR1	<b>Demand management:</b> managing the impact of increased demand on council services	That increased demand for statutory service is greater than the resources available to meet statutory duties, community needs and political aspirations. This may be due to changing demographics, growth and the current outbreak of COVID -19, leading to more requests for children's social care, SEN services, elective home education and adult services and housing. Failure to reconfigure services (both directly provided and commissioned by the Council) to become more preventative in their approach, could exacerbate the effect of rising demand. The impact on children's and adults' services is exacerbated by the current situation relating to COVID -19 with the risk of increased vulnerabilities due to isolation and CV 19 measures	Reduced confidence in the Council's ability to deliver services Poor timeliness and prioritisation of services leading to poor engagement from partners and the community. Potential for legal requirements not being met. Services to the most vulnerable residents or groups are disrupted or not provided due to ineffective assessment and prioritisation processes. Vulnerable children and young people are ineffectively safeguarded and come to harm, and their educational needs unmet. Failure to balance budget and/or maintain capital investment strategy in infrastructure. Financial – significant overspend in annual budgets Over-reliance on voluntary groups acting without co-ordination	Kevin Gordon & Stephen Chandler	Hannah Farncombe & Karen Fuller	5	4	20	<p>Demand management in children's shows success in early help assessments ahead of target.</p> <p>Maintain a good early-help and prevention offer, in partnership with key stakeholders to ensure diversion from high cost services.</p> <p>Maintain good communication of early-help and prevention offer within the community to ensure effective uptake of services. Efficient assessment of need and risk – strong 'Front door' arrangements including effective MASH.</p> <p>Maintain good practice and performance reporting to ensure timely triage and assessment of contacts into services.</p> <p>Management oversight of children's social care plans to ensure timely progress is achieved and drift is eliminated.</p> <p>Child protection numbers continuing to reduce safely; continue to drive successful achievement of child protection plans and step-down of statutory intervention and monitor re-referrals.</p> <p>All services are tasked with managing activities within allocated budgets</p> <p>Council transformation - moves to reconfigure services to be more preventative in their approach, drive out failure demand, and involve partners and the Voluntary and Community Sector.</p> <p>IMPOWER in October 2019 identified OCC as 5th most productive council for older people</p> <p>Command and control structure implemented to deal with the CV-19 outbreak. (Adult Social Care cell set up at TV and Oxon wide. TV LRF Children's and Education cell also established).</p> <p>Staff reassignment process in place to maintain provision.</p> <p>Children's Social care anticipate surge in referral to early help and children's social services when schools fully reopen in September</p>	5	4	20	<p>Recruiting new social care workforce, including those recently retired and others willing to train. Staff retraining and redeployment process in place to maintain provision, including children's residential care.</p> <p>Data-modelling of anticipated surge in demand as restrictions ease and year groups return to school.</p> <p>Internal service re-design to direct greater resource into the Front Door and child in need services. Re-design early help partnership work to develop swift access to help in communities for children and families coming out of lockdown and rationalise resources across schools/agencies/MASH/VCS.</p> <p>Keep Transformation projects on track as redesigned services prioritise managing demand, supporting directly provided services and those that we commission, to develop a more preventative approach.</p> <p>Our new Family Safeguarding model will reduce the numbers of looked after children in particular.</p> <p>The planned Early Intervention Service aims to reduce demand on the statutory service by allowing more children to receive support and thrive in mainstream education placements and increase the confidence of parents that their child's needs can be met without the need for a specialist placement.</p>	↔	<p>Early Help networks offering 'pre-front door' swift access to family support have been trialled. Good impact: circa 100 families' needs addressed over 5 weeks. Networks are being reinstated offering direct support to all schools from w/c 14.09.20. Council's locality community support teams have been integrated with the MASH and are absorbing referrals for service. Referrals for social care are rising with return to school, as anticipated. MASH is being reviewed to ensure all roles are being utilised efficiently to absorb additional demand, and any additional temporary staffing requests are properly evidenced.</p> <p>Transformation to FSP is on-track to implement in Oct 20, with excellent levels of perm recruitment to ensure the service transitions safely, whilst reducing agency staffing costs in the mainstream teams. This prepares us well for any temp extra agency staffing that may be needed in the MASH to deal with potential 'surge' of children's referrals over the winter and spring. A review of SEN services, including EIS, is underway to ensure the forward plan is a cost effective model of delivery. The council has received 28% increase in requests for elective home education. The internal team (3 staff) are managing the pressures in as timely way as possible and we have requested additional resource from the DfE.</p> <p>Risk reviewed - Risk cause, risk effect, existing controls and comments updated.</p>	16/09/2020



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LR2	<b>Safeguarding of vulnerable adults and children:</b> ensuring there are effective arrangements in place for safeguarding	Risk of death or serious injury to children, young people or vulnerable adults through inadequate service delivery or failure to provide protection. This is enhanced due to the social isolation and distancing measures in addition to the partial closures of schools and reductions in home visits.	Potentially devastating impact to an adult, child, family and community. Reduced trust in the Council and partners. Notification of poor performance may affect the Council's current service judgements and lead to Central Government intervention, resulting in a higher financial cost related to improvement activity and intervention.	Kevin Gordon & Stephen Chandler	Lara Patel, Hayley Good & Karen Fuller	5	4	20	Maintain strong focus on good practice, performance reporting and statutory requirements, ensuring timely record keeping, compliance with procedures and acting on any poor performance indicators at an early stage. Monitored monthly by CEF Performance Management Framework. Daily monitoring report for ASC deputy-director with monthly scrutiny at ASC Performance Board. Every child known to social care services is RAG rated and priority children receive visits. Efficient assessment of need and risk by having strong 'Front door' arrangements in place, including effective MASH. Centralised Adult Safeguarding Team with overall responsibility for triaging and managing section 42 enquiries. Regular audit of practice casework in both CEF and ASC to ensure good quality service delivery. This is monitored monthly through CEF and ASC Quality Assurance Frameworks and Performance Boards. Completion of CEF Self-evaluation report every quarter which is submitted to Ofsted at the Annual Conversation. Statutory safeguards continue to be upheld at both service level and with individual children Detailed guidance for social workers implemented to ensure high risk children receive home visits. Quality assurance framework in children's social care currently being assessed for reach, effectiveness and impact.	5	3	15	Ongoing management oversight through the implementation of the CEF and ASC Performance Management Framework and Quality Assurance Framework. Safety ratings for social care providers in Oxfordshire remains higher than elsewhere. Establishing our Community Resilience cell will help us understand local need and identify channels of support to meet that need. Implement provisions of the Coronavirus Act re care assessments, attending to priority cases. Weekly reviews of RAG ratings. Multi-agency Domestic Abuse campaign county wide. Advice and guidance prepared for schools in readiness for anticipated phased return Preparing for recovery and learning from lockdown experiences of working with young people Discussions are taking place between officers from Children's Services and representative Headteachers to identify key considerations as schools plan to welcome back larger numbers of pupils. To the fore in the thinking are safeguarding, emotional wellbeing, health and safety matters.	↔	Performance management and quality assurance frameworks are further embedded with additional quality assurance audit training having been delivered to all senior and front line managers in Aug and Sept. RAG ratings now reviewed monthly rather than weekly as a greater % of children are being seen via face-to-face visits to family homes, schools and placements. This is being monitored weekly and any late recording of statutory visits are addressed directly by team managers with individual workers. Risk reviewed - mitigating actions and comments updated.	16/09/2020

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LR3	<b>Capital Infrastructure Programme Delivery</b>	Each element of the Capital Infrastructure Programme has a different set of deal conditions formally agreed with Government. The recently signed HIF1 and HIF 2 funding agreements have agreed delivery end dates, which if exceeded would cause all costs from that point onwards to be the responsibility of the County Council. The Growth Deal has greater flexibility, but not delivery would result in the outcomes not being realised and potential reputational risks.	HIF1 potentially could cost OCC £2m per month after the end date of Nov '24. HIF could cost OCC £1m per month after March '24. Other risks could include: Withdrawal of funding, lack of accelerated homes delivered and potential breakdown in collaborative working across Oxfordshire local authorities. - Reduced delivery of affordable housing and related impact on the community - Lack of investment in road infrastructure to support current housing delivery and future planned growth leading to a sever impact on the network or the Council objecting to new development. - Additional strain on the highways network that could restrict the county's ability to improve productivity - Lack of a strategic framework for future growth in the county. - Constraint on economic development.	Paul Feehily	Owen Jenkins	5	3	15	A Director has been allocated to focus on OCC Infrastructure Delivery which will address senior management capacity challenges. The role focuses on delivering the capital programme and establishing internal processes to speed up delivery e.g. a Programme Management Office has been established, a new ICT system for more effective Project Management is being introduced (Oct 2020) and new governance structure to deal with the volume of schemes in the pipeline and provide, for example, technical programme management, risk/assurance management, performance management and a broader partnership function. Temporary Additional skills and resources have been brought in to assist with the programme management of the major elements of the programmes.	5	3	15	The directorate has started a Service Improvement that links to the Communities directorate redesign and will ensure the long term resources are put in place and all processes are modernised and in place to manage this large and complex set of programmes. A corporate Assurance Board has been set up, chaired by the CEO to ensure the cross council focus and support is in place to capture any issues early and enable the prioritisation of resources and effort where needed. The impact remains high; however, the probability is improving. This risk will however remain in place until work is further progressed to be able to give assurance that all programmes of work are fully resourced, processes are in place to ensure delivery and delivery is realised.	↔	Mitigating Action are in place and beginning to take effect. Future reports will reflect the impact of these on the residual risk. Risk reviewed - risk effect and existing controls.	18/09/2020
LR4	<b>Local and community resilience</b>	Pandemic lockdown, relaxation and outbreak control measures could increase existing tensions or create flashpoints. Equally a united effort may increase community cohesion. Possible triggers are likely to be: change in government guidance; local decisions making regarding outbreak control; lack of compliance with outbreak control measures.	Impact on Council's ability to deliver services if disruption affects particular locations, customers or staff. Impact on Council's ability to deliver Covid-19 Response services. Potential reduction in public trust if the council is not seen to be acting appropriately.	Yvonne Rees	Rob Mac Dougall	4	3	12	Thames Valley Police and Safer Community Partnership are monitoring communities to identify any issues that may indicate escalating community tensions. Communication network in place including local Members to provide single consistent messaging via multiple trusted sources should it be needed. Health Protection Board, MOAC and Surveillance Cell in place to manage local outbreaks and county communications	4	2	8	Health Protection Board and Multiagency Operational Cell in place to develop and support Outbreak Planning. Outbreak planning and Standard Operating Procedures completed and virtual table top review carried out at beginning of September Joint Oxfordshire System Comms supporting outbreak interventions Impacts of UK Transition being reviewed by specific Oxfordshire System group and community tension risk being reviewed by Local Resilience Forum	↔	Risk reviewed - updates to Mitigating Actions	17/09/2020

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LR5	<b>Management of partnerships (non-commercial)</b> maximising the use of effective partnerships to deliver strategic outcomes and community benefit.	Ineffective partnership working and relationships with key strategic partners, including District and City Councils, the CCG, NHS, Police, Military and voluntary and community sector, leading to negative impact on service delivery and outcomes for local residents / communities. CV- 19 outbreak heightens both the potential and impact of this, with attention and resources being necessarily diverted to prioritise the outbreak over 'business as usual' relationships.	Deterioration of key relationships could reduce the Council's ability to: - meet desired outcomes for residents, - achieve efficient delivery - take opportunities to improve services. It also has the potential to negatively affect public confidence in the Council (e.g. through inspection outcomes)  Failure to work effectively with the local Voluntary & Community Sector (VCS) might impact on our ability to both support and utilise the capacity and capability of the sector to help generate community resilience, community willingness to effectively address local needs and help to reduce demand for services (e.g. prevention)	Claire Taylor	Robin Rogers	4	2	8	<ul style="list-style-type: none"> <li>- Ongoing management of existing relationships held at Cabinet and senior officer level, including sharing of priorities and early discussion of potential changes or challenges</li> <li>- Supported by regular engagement and interaction at different levels of the organisation, including joint working initiatives and shared posts</li> <li>- Formal/informal meetings with main bodies and sector representatives</li> <li>- Participation and engagement in local partnerships, forums and project / policy development work</li> <li>- The Civilian / Military Partnership is implementing changes to how it operates, and has supported the Council to achieve Gold status under the Armed Forces Employer Recognition Scheme</li> <li>- Health and Wellbeing Board has oversight of development of Integrated Care System and pooled budget arrangements</li> <li>- Growth Board retains oversight of the implementation of the Housing and Growth Deal and Housing Infrastructure Fund schemes.</li> <li>- Systems recovery structures in place to deliver Recovery strategy and on-going response to CV-19</li> <li>- New liaison arrangements in-place with VCS for Covid-19 response to cover community response, VCS resilience and recovery planning</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li>- Maintain oversight of partnerships in the county to reflect new recovery systems working arrangements, including bi-laterals</li> <li>- New working relationships with VCS and infrastructure support contract are being developed, with new support arrangements to be in place by April 2022</li> <li>- Community development strategy and approach to be produced and implemented jointly with VCS and partners</li> <li>- Partners' engagement with / involvement in Community Resilience work will help to minimise the likelihood of this risk</li> </ul>	↔	Risk reviewed - Existing controls and mitigating actions updated.	16/09/2020
LR6	<b>Supply chain management</b> ensuring effective delivery through the supply chain	The supply chain could fail as a result of a major supplier entering insolvency procedures either via administration or liquidation. The supply chain is disrupted due to temporary close down or accessibility issues as a result of CV-19 mitigation measures	Delays to meeting service requirements or service provision.	Lorna Baxter	Wayne Welsby	4	2	8	The Procurement team has a contract in place for a credit check service that analyses the financial position of an organisation to determine a credit score. This information is used in the Tender evaluation process to select a suitable supplier and to monitor ongoing performance of current suppliers. Current suppliers that see a drop in their financial rating would trigger an alert that would be considered by the applicable contract manager.	4	2	8	The Procurement Team is now providing ELT members and identified Contract Mangers a quarterly report of all suppliers with spend above £25k c/w a credit risk rating score to enable contract managers to manage any identified risks, with support from the Procurement Team. This quarterly report is complemented with a monthly report which sets out any changes to supplier risk scores. Furthermore, as a result of Covid-19 the likelihood of this risk is deemed to have increased and thus the procurement and finance team now hold a weekly joint meeting to consider funding solutions to support At Risk Suppliers in accordance with the national guidance note PPN04/20.	↔	Risk is being managed by service area contract managers c/w the provision of a monthly report and the weekly joint procurement and finance meeting. Risk Reviewed - No changes	11/09/2020



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LR7	<b>Delivery of statutory duties</b> delivery of service and duties in compliance with requirements and responding to changes.	That the Council acts unlawfully by failing to deliver statutory responsibilities	<ul style="list-style-type: none"> <li>•Litigation/judicial review</li> <li>•Financial penalties - Local Government Ombudsman/Regulators/Central Government</li> <li>•Damages liability to residents and commercial counterparties</li> <li>•Central Government intervention</li> </ul>	Sukdave Ghuman	Glenn Watson	4	3	12	<ul style="list-style-type: none"> <li>•Constitution of Council (including Finance Procedure Rules and Contract Procedure Rules)</li> <li>•Support role of Finance, Legal and Procurement</li> <li>•Audit function</li> <li>•Legal Compliance and Service Plan</li> <li>•Service Level Agreements between directorates and Legal</li> <li>•Dedicated specialist teams for information rights and complaints resolution</li> </ul>	4	1	4	<p>Ensure support functions are fully resourced</p> <p>Action plan is in place to ensure we are address our statutory duties for the Deprivation of Liberty Safeguards for adults, statutory duties for children with special educational needs and disabilities; and unregistered provision for children.</p> <p>Scheme of Delegation (Finance) reviewed to reflect current management structure.</p> <p>Information rights, complaints and Ombudsman cases tracked</p>	↔	<p>Action plans continue to be reviewed and addressed by the Leadership Team.</p> <p>When appropriate, consideration ought to be given to statutory easements for SEN and Social Care.</p> <p>Risk reviewed - Existing controls and mitigating actions.</p>	07/09/2020
LR8	<b>Corporate governance creating and embedding an effective and robust management and governance system that provides accountability and transparency.</b>	That the Council's corporate governance, including supplementary governance arrangements to support the CV-19 response, is insufficiently robust, either due to incomplete processes or limited staff awareness of its requirements.	<p>Inconsistent, uncompliant or potentially unlawful actions/decisions.</p> <p>Inability to support Council's democratic functions / obligations (e.g. remote public meetings, remote voting)</p> <p>Elements of the Covid-19 response may be compromised or delayed.</p>	Sukdave Ghuman	Glenn Watson	2	2	4	<ul style="list-style-type: none"> <li>•Council governance framework is regularly reviewed and updated by senior managers and members.</li> <li>•Constitution - updated and annually reviewed by Monitoring Officer and Full Council - Amendments made to the Constitution to facilitate virtual/remote public meetings.</li> <li>•System of internal control - co-ordinated by the Corporate Governance Assurance Group; overseen by the Chief Internal Auditor; elected member oversight by Audit &amp; Governance Committee, which reviews the Annual Governance Statement.</li> <li>•Annual Governance Statement – annual opportunity to review the effectiveness of internal controls; signed by Leader and three statutory postholders (HOPS, MO, CFO); overseen by Audit &amp; Governance Committee.</li> <li>•Business Continuity Plans are in place which ensure that appropriate leadership of the Covid-19 response.</li> <li>•Control measures implemented throughout 2019/20 and updates on key issues are reported to Audit &amp; Governance Committee.</li> </ul>	2	1	2	<p>Continue to undertake control measures throughout 2019-20 and respond to specific matters as they arise.</p> <p>Annual Governance Statement approved by Audit and Governance Committee and is now in for signing by Chief Exec, S151, Monitoring Officer and Leader of the Council. Corporate Governance Assurance Group leading a project to review/align governance processes between Cherwell DC and Oxon CC.</p> <p>Constitution Review led by Monitoring Officer at both Oxon CC and Cherwell DC.</p>	↔	Risk reviewed - Mitigating actions updated.	07/09/2020
LR9	<b>Workforce management</b> long term plans to ensure a capable and skilled workforce with the capacity to deliver required and new services.	Lack of effective workforce strategies may result in long term under-performance of the organisation or increased costs.	<p>Failure to manage the workforce and develop strategic HR plans may result in the following:</p> <ul style="list-style-type: none"> <li>•Recruitment and retention issues</li> <li>•Increased costs of agency staff</li> <li>•Increased costs in training and development</li> <li>•Underperformance or lack of delivery</li> </ul>	Claire Taylor	Karen Edwards	3	4	12	<ul style="list-style-type: none"> <li>•On-going monitoring of issues and HR data</li> <li>•Key staff in post to address risks (e.g. strategic HR business partners, reward manager)</li> <li>•Ongoing service redesign will set out long term service requirements.</li> <li>•Temporary dedicated resourcing support.</li> </ul>	3	3	9	<p>Development and adoption of sector relevant workforce plans</p> <p>Development of new People and Organisational Development strategy</p> <p>The ability to interrogate and access key data (ongoing) in order to inform workforce strategies.</p> <p>Development of new Learning &amp; Development strategy, including apprenticeships</p> <p>Post Covid-19 recovery plans to support the workforce are under commission. These will include any lessons learnt and training needs and alignment with any new service delivery requirements arising from Covid-19.</p>	↔	Risk reviewed - No changes	04/09/2020

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LR10	<b>Organisational Change and Service Design</b> ensuring there are effective plans and governance in place to deliver required organisational change.	The Council's portfolio of organisational change and service redesign programmes and projects under-delivers due to lack of capacity, expertise or governance.  The ongoing impact of CV-19 may mean that some organisational change projects are delayed. It may also mean that alternative modernisation, change or transformational activities are required in order to deliver new or realigned services in a post Covid-19 world.	The impact of the risk occurring would be failure to realise improved service delivery, quality and inability to respond to growing demands.  It may cause inefficiencies, increasing costs and/or lack of delivery of planned savings.  Furthermore inefficiencies may result in increased costs and/or lack of delivery of planned savings.  The breadth of the programme means that it is built of many constituent parts, so that if any one project fails, it can be 'tied off', replaced or redesigned. This breadth means that risk is managed across a wide portfolio, but it also requires the right capacity, skills and governance to ensure delivery.	Claire Taylor	Tim Spiers	4	4	16	<ul style="list-style-type: none"> <li>-All projects identify benefits to be delivered and long term financial implications (upfront costs and savings), supported by project plans</li> <li>- Financial benefits realisation articulated in all project plans, monitored via monthly highlight reports and our corporate reporting process</li> <li>- Systematic service improvement activity focused on demand management, and developing a more preventative approach to our services</li> <li>-All project resourcing considered monthly, roles allocated &amp; additional 3rd party support commissioned where there is a lack of internal capacity</li> <li>- Organisation change and service redesign has been fully incorporated into business as usual and so scrutiny and assurance will revert to the Performance Scrutiny and Audit &amp; Governance committees. This will be supplemented by detailed financial analysis that reflects the explicit link between the programme of work and the council's Medium-Term Financial Plan.</li> <li>-Where joint activity is planned the Partnership Working Group review progress and delivery.</li> <li>-Capacity and expertise is managed through inhouse resources (including development of new skills where necessary) and the use of external professional support where required – a mixed economy model of delivery.</li> <li>•CEDR continues to manage in flight change projects and directorates have been directed where possible that implementation of change is to continue e.g. provision cycle, family safeguarding, front office transformation where possible. Delays and the consequences thereof will be considered by CEDR as the accountable body for change management.</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>•Ensure that the Council's change agenda, including all existing programmes, is integrated into one overall portfolio of change programmes that lead and inform the Service and Resource Planning Process, and expand in scope where further savings are required</li> <li>-Continue to ensure that detailed planning and monitoring of projects fully understands interdependencies between projects</li> <li>-Ensure all change activity is fully aligned to, and supportive of, the corporate priority setting and Medium Term Financial Planning process</li> <li>-CEDR to regularly review the Council's portfolio of change programmes' (both corporate and service focused) fitness for purpose and delivery, as part of quarterly reviews reported to members CEDR to review impact of Covid-19 on organisational change a reprofile projects as required.</li> <li>-Align work with CDC programmes wherever possible to achieve increased benefits.</li> </ul>	↔	There will be delays to planned work. However, the full impact of Covid-19 on the organisational change and service redesign programmes and projects is still being assessed. Monthly dashboards are now being produced and reported to CEDR. Further work required to ensure programme of work is fully aligned as outlined in mitigating actions. This work is ongoing. Risk reviewed - risk cause updated	11/09/2020



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LR11	<b>Financial resilience:</b> ensuring there are effective plans in place to deliver a balanced budget and a sustainable medium term financial strategy	The MTFP and longer-term financial plans are not sustainable, adequate or effective due to the outcomes of local government funding reforms; unexpected demand on services; financial management performance; financial support to local businesses and residents as a result of CV- 19; or not achieving planned savings and efficiencies on time. CV-19 grant funding not at the required level to meet needs of services.	Significant overspend at year end leading to: - extensive use of general balances, taking them below their risk assessed level - extensive use of earmarked reserves resulting in no funding available for earmarked purpose - further savings or income generation required in year or across the life of the Medium Term Financial Plan (MTFP)  Further reductions to funding will require additional savings or income generation opportunities above those in the existing MTFP. Given the scale of the reductions already delivered and those planned, plus continuing rising demand in Adults and Children's services, the ability to respond to this, and quickly, could put at risk the setting of a balanced budget and MTFP.	Lorna Baxter	Ian Dyson	5	3	15	<ul style="list-style-type: none"> <li>Progress against current year's savings is tracked monthly and included in the Business Management Reports to Cabinet.</li> <li>Progress against future year's savings is also tracked monthly, and if necessary, addressed as part of the Service &amp; Resource Planning process</li> <li>Additional costs, loss of income and non-achievement of savings are being tracked and inform data returns to MHCLG</li> <li>Savings under the banner of Organisational Change and Service Design being monitored on a project/activity level with detailed planning, milestones &amp; reporting</li> <li>Regular meetings between Directors and s151 Officer to discuss significant financial issues and risks</li> <li>Service &amp; Resource Planning process including reports to Cabinet and Performance Scrutiny Committee and ultimately Council in February 2020</li> <li>s25 report of Chief Finance Officer</li> </ul>	5	3	15	<p>Modelling work with Pixel and CCN to understand the impact of reduced council tax and business rates for 2021/22.</p> <p>Taking part as LGA case study to help with lobbying position for further funding. Further refining of financial impact once recovery position becomes clearer.</p> <p>Govt. have now issued guidance on on recovery of loss of Sales, Fees and Charges related to COVID with the first claim due at the end of September.</p> <p>The financial impact of COVID-19 is being tracked and is being reported to CEDR. The longer term financial impacts will be clearer during the recovery phase both locally and nationally, but currently remains uncertain. The service and resource planning will be required detailed scenario planning linked to Recovery to maintain financial resilience.</p> <p>In July CEDR instigated an in year budget strategy for 20/21, to identify options for managing a potential in year pressure of £15M, options are being considered on 15 July. The PSC considered the proposals at their meeting on 13/8, and Cabinet approved the proposals in their meeting on 18/8. Council agreed the changes to the 20/21 budget on 8 September.</p> <p>For 21/22 savings targets have been set, and Services are tasked with identifying options for meeting the savings targets, in line with the Budget Planning timetable.</p>	↔	The impact of Covid19 has changed the financial outlook for the Council, although there are too many variables to fully determine both the medium and long term impacts beyond the current year; however, the financial pressures in year are clearer, and for 21/22.  Risk reviewed - Mitigating actions and comments updated.	04/09/2020
LR12	<b>Property and assets</b> (maintenance cost)	Legacy of poor asset condition management information reduces the Council's ability to fully ensure property maintenance and compliance.	Non-compliance issues and potential financial pressures to bring our assets to a compliant and acceptable standard.	Steve Jordan	George Eleftheriou	4	4	16	<p>Property, Investment and Facilities Management function redesign to get the right professionals running the service</p> <p>Develop Property Strategy which would determine where to prioritise efforts/spend on assets</p> <p>Install right systems to enable us to keep on top of managing information about our assets</p>	3	2	6	<p>Control activities are prioritising compliance (i.e. 'nice to haves' can wait) Taking more long term views on use/potential use of certain assets.</p> <p>New asset condition surveys have indicated additional financial pressures to bring maintenance of our assets to an acceptable condition.</p> <p>Work is ongoing on a number of sites. A programme based on risk and compliance was developed to resolve outstanding legacy issues and we continue to monitor the financial effect of this activity.</p> <p>The FM team redesign needs to be a priority and completed as soon as possible.</p>	↔	<p>All of mitigation actions referred to are now in place and activities ongoing.</p> <p>The right team/expertise now inhouse dealing with this with a plan in place to achieve full compliance and maintain programme going forward</p> <p>H&amp;S team within PIFM overseeing this and KPIs developed as means of checking performance</p> <p>Additional budget allocated to the team to carry out further works</p> <p>Despite parts of the budget being offered for saving initiatives we are still confident that any risk is mitigated and BAU is unaffected.</p> <p>Risk reviewed - mitigating actions updated</p>	28/08/2020

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LR13	<b>Health and safety: ensuring effective</b> arrangements are in place to meet our duties	Identified weaknesses in governance policy could lead to reduced oversight of health and safety issues and infringe on our associated duty of care to staff and others affected by the activities of the Council. The Covid-19 outbreak also increases risk in relation to greater homeworking activities, risks associated with frontline work and mental health and wellbeing risk.	<ul style="list-style-type: none"> <li>Unsafe services leading to injury or loss</li> <li>Breach of legislation and potential for enforcement action.</li> <li>Financial impact (compensation or improvement actions)</li> </ul>	Steve Jordan	Paul Lundy	4	3	12	<ul style="list-style-type: none"> <li>H&amp;S policies and procedures have been reviewed and adopted</li> <li>Risk Assessments completed including COVID-19.</li> <li>Provision of PPE is priority area of focus for both standard work issue and additional infection control requirements for COVID- 19.</li> <li>Information and training programmes in place for staff and volunteers. Communications channels in place including COVID-19 focused H&amp;S information.</li> <li>H&amp;S Governance Board maintains oversight of policy and practice with response to COVID-19 covered within business continuity support structure.</li> <li>Additional budget has been allocated for rectifying all H&amp;S and compliance items across our buildings and to bring full statutory compliance</li> <li>We have established a H&amp;S and Compliance function within PIFM where the right expertise is now in-house to enable us to bring and maintain the right level of compliance</li> <li>H&amp;S monitoring will be carried out in selected services to assess compliance subject to restrictions due to COVID-19;</li> <li>Reporting of key data and issues to Leadership Teams and through business continuity support structure. This will include any incidents of work-related exposure to COVID-19 as per RIDDOR.</li> <li>Home-working arrangements supported by advice, guidance, equipment etc., frequent messages from CEO and Internal Comms. Specific arrangements in place to provide equipment for those with specialist requirements or needs.</li> </ul>	4	2	8	<ul style="list-style-type: none"> <li>Ensuring staff continue to receive the necessary health and safety training - due current social distancing guidelines and restriction training is moved to online delivery where possible - Ongoing, alternative virtual delivery options now in place for most courses.</li> <li>Implement the actions of the recent H&amp;S Audit (April 2020) to further improve systems and controls - Ongoing</li> <li>PIFM to implement management systems to monitor property compliance and safe working practices. Process for ensuring all buildings used or re-opened are reviewed and risk assessed to ensure they are COVID-Safe. Ongoing as part of recovery plan</li> <li>Review and risk assess any changes in government guidance to ensure safe and compliant practices are followed. This is monitored and reported through the business continuity (COVID-19) support structure. Ongoing - H&amp;S updates and guidance published on intranet and maintained by H&amp;S Team.</li> <li>Arrangements for supply and distribution of PPE is well established - no reported pressures.</li> </ul>	↔	Approach and systems for managing risk of COVID-10 regularly reviewed and updated in line with government and PHE advice." H&S Governance Board established and have met twice - focus is on improved compliance, coordination and escalation point. Risk reviewed - comments updated.	28/08/2020
LR14	<b>Business continuity and recovery plans</b> Resilience to a additional significant disruption during the Covid-19 Response	A further disruption occurs that puts additional pressure on business continuity arrangements.	Essential Council Services and Covid-19 Response services are unable to be recovered within a reasonable time frame. Impacts could include risk to life or welfare, financial loss (for example due to litigation) and reduction of trust in Council services	Yvonne Rees	Rob Mac Dougall	4	4	16	<p>A business continuity improvement programme is under way and has led to significant improvements including to a consistent approach to business impact assessments, service business continuity frameworks and business continuity plans.</p> <p>Review of London Bridge undertaken by corporate leads (Command structure moving into Recovery on 1st August)</p> <p>Health Protection Board, MOAC and Surveillance Cell in place to manage local outbreaks and county communications.</p>	4	2	8	<p>COVID19 security on building are being put in place to support the restart of services and this is being coordinated by the Organisational Recovery Steering Group and CEDR</p> <p>An urgent review of business continuity plan is currently underway and will be completed in August to adjust for COVID19 disruption and possible further outbreaks. Outbreak planning and Standard Operating Procedures completed and virtual table top review carried out at beginning of September</p>	↔	Risk reviewed - updates to Existing Controls and Mitigating Actions	17/09/2020

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LR15	Cyber security assurance that effective controls are in place to prevent security issues.	Levels of threat mean that it is possible our defences will be breached, whether through system failure or human error this level may be increased during the CV-19 measures with increased numbers of staff working at home	A serious and widespread attack (like WannaCry in Health) could mean we cannot function or support services, causing business continuity plans to be invoked. There may be less serious lower level theft of data or a publicity type attack.	Claire Taylor	Tim Spiers	4	4	16	<p>A robust plan is in place and under continuous improvement. OCC and CDC are 'Cyber Security Essentials Plus' accredited.</p> <p>OCC are still receiving PSN whilst going through present submission. CDC are PSN accredited.</p> <p>OCC and CDC are also working with other local government organisations to ensure a co-ordinated approach to Cyber Security events.</p> <p>Guidance has been re-issued to all staff on protective measures to take when home working, less secure apps have been disabled.</p>	4	3	12	<p>The IT Service at CDC and OCC continue to manage cyber security threats in-line with the required 'Cyber Essentials Plus' standards.</p> <p>As part of the IT service redesign a joint OCC/CDC Cyber Security officer has been appointed, to undertake:</p> <ul style="list-style-type: none"> <li>•Responsibility for managing security threats and prevention methods</li> <li>•Working with Information Management to ensure implications of GDPR on data security is understood and built in</li> <li>•Working with partners to provide training so that every OCC user is aware of their role in preventing cyber threats</li> <li>•Documenting processes and policy to define roles, responsibilities and procedures</li> <li>•Maximising tech to reduce cyber risks</li> <li>•Ensuring all new and existing suppliers meet cyber security requirements</li> </ul>	↔	<p>IT and Cyber Security Officer has been appointed to cover both OCC and CDC.</p> <p>The IT Service continues to work with colleagues and partners to manage the cyber security threat.</p> <p>IT technical resources from OCC and CDC are working closely to ensure both organisations are protected from Cyber security threats.</p> <p>Risk reviewed - Existing controls and mitigating actions updated</p>	11/09/2020



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LR16	ICT Infrastructure: assurance that IT infrastructure is reliable and fit for purpose	The server infrastructure, backup and disaster recovery hardware is at or past end of life	There is a risk of ICT failure which could disrupt our ability to sustain parts of the Council's services. We need to plan replacement as the back-up solution has started to fail intermittently. Council's ICT is inadequate and/or inappropriate to support extensive home-working during CV-19 response. Difficulties in providing ICT support for new/returning members of staff (and volunteers needing access to council systems?) Limited capacity/effectiveness in meeting the requirements of novel schemes/services required by Govt as part of CV-19 response	Claire Taylor	Alistair Read	4	3	12	All servers and services have been migrated (by the end of Q4 2019/20) to the new data centre equipment and are operational. The new backup service is operational. The cloud Disaster Recovery solution is configured and running. IT support and provision for new/returning members of Staff is functioning well and demand is being met. IT are working with Integrated Transport to deliver and collect equipment required by Staff working from home. IT Staff have been reassigned to meet any increase in demand due to COVID19 business requirements.	4	2	8	Maintaining assessment to keep on top of changing needs of workforce, services and cyber threats under CV-19 Ensuring sufficient staff cover is lined up to keep ICT running in the event of staff illness Replacement datacentre, disaster recovery and backup solution are fully operational.  Datacentre network equipment has been updated and the amount of core space used rationalised.  Measures remain in place together with the resilience testing to maintain core IT services. Staff resources are assigned to the most in demand IT requirements.  An expanded duty team will support delivery of critical services out of hours.  New joint cyber security officer has been appointed which enables an even greater focus on protecting the organisation against possible cyber-attacks.  Business Continuity Plans and Risk have been updated since the COVID-19 outbreak to capture all new learnings. Mitigation has been put in place to create COVID-19 bubbles to ensure essential staff are separated in case of infection. All projects have been prioritised to ensure that critical work can continue in case of 2nd or 3rd wave.	↔	Demand for Covid-19 related IT activity is minimal, and there is an increase in more standard IT requests and work.  IT Service is back to normal workloads and BAU objectives, with project work also increasing, utilising our new ways of working.  Work is continuing on our IT Strategy to ensure we have even more flexibility in our IT for agile working.  Risk reviewed - Mitigating actions and comments updates.	16/09/2020

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LR17	<b>Covid-19. Community and Customers</b> providing service and support to those impacted by the coronavirus pandemic	Significant spread of the Covid-19 virus results in potential impacts in terms of customers and communities. Including community resilience, ability to access services, consequences of prolonged social distancing or isolation, economic impacts to business, including but not limited to the visitor economy.	<ul style="list-style-type: none"> <li>Possible reductions in frontline service delivery, events, meetings and customer contact.</li> <li>Economic hardship impacting local business and potentially the local workforce.</li> <li>Impact on vulnerable residents who may find it harder to access services.</li> <li>Increased demand on both frontline and enabling services.</li> <li>Prolonged risk of social isolation and the mental and physical consequence thereof.</li> </ul>	Claire Taylor	Mark Haynes	5	4	20	<ul style="list-style-type: none"> <li>Business Continuity Plans have been reviewed and tested to ensure the ongoing delivery of priority services</li> <li>Remote (home based) working in place, to facilitate self-isolation and limit impact on service delivery.</li> <li>Communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response.</li> <li>Regular updates from Director of Public Health, shared internally and externally. Partnership communications enhanced and regular conversations convened.</li> <li>Regular teleconference with local councils and emergency services discussing updates, concerns and best practice (in-line with usual business continuity and emergency planning protocols).</li> <li>Mutual aid with regional Thames Valley partners enable a tactical response to community resilience.</li> <li>Engagement with suppliers to manage impacts across the supply chain</li> <li>Creation of a dedicated telephony helpline to support the most clinically extremely vulnerable (shielded) residents in the county and operating extended hours each day</li> <li>Provision of additional body storage as temporary place of rest to support the current mortuary provision.</li> <li>Face to face customer events e.g. wedding ceremony, library provision ceased in line with government guidance</li> </ul>	4	4	16	<p>Ongoing review and implementation of Council and partnership business continuity and emergency planning arrangements. The nature of the risk is such that national public health guidelines will determine the councils' response.</p> <p>The councils will enact any support schemes as set out by national government as they emerge. The council will respond to new modelling figures provided by either Public Health England or Ministry of Housing, Communities and Local Government regarding excess deaths in the community As the current lockdown is eased, we will review the impact and take the necessary steps to follow the latest guidelines and instructions</p> <p>Customer contact demand will continue to be monitored and resource allocated to key priorities Appropriate risk assessments are being taken to enable the opening of key cultural sites in July 20</p> <p>Involvement on the Health Protection Board supporting vulnerable customers if isolated due to tract and trace protocols and in line with Local Outbreak Plan</p> <p>Easing of lockdown restrictions has enabled a wider range of services to become more available to customers and residents. 86% of libraries are now open and customer contact at the CSC is back to normal levels. Review of current BCP's underway.</p>	↔	Risk reviewed - Mitigating actions updated.	08/09/2020
LR18	<b>Covid-19. Business Continuity:</b> managing the ongoing impact of the pandemic on council operations.	Significant staff absence due to the Covid-19 19 virus results in potential impacts on frontline service delivery and the ability to run the councils' business on a day to day basis.	<ul style="list-style-type: none"> <li>Possible reductions in frontline service delivery, events, meetings and customer contact.</li> <li>Potential confusion amongst staff with regards to how to plan and respond to reduced service availability, professional support and maintain business as usual.</li> <li>Requirement to reprioritise service delivery</li> <li>Assess critical services and consider alternative methods of delivery</li> <li>Requirement to offer mutual aid to partner organisations.</li> <li>Potential impact in the medium to long term resilience of staff may result in wider wellbeing issues.</li> </ul>	Claire Taylor	Karen Edwards	5	4	20	<ul style="list-style-type: none"> <li>Business Continuity Plans have been reviewed, tested and are maintained and updated</li> <li>Remote working in place</li> <li>Staff communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response.</li> <li>Regular updates from Director of Public Health, shared internally and externally.</li> <li>Regular teleconference with local councils and emergency services discussing updates, concerns and best practice. (in-line with usual business continuity and emergency planning protocols).</li> <li>Regular communication messages following Public Health advice</li> <li>Sanitisers in washrooms/corporate buildings</li> <li>Weekly sickness monitoring implemented</li> <li>Agile working being tested further across services, ensuring equipment and access is in place.</li> <li>Posters around the offices encouraging regular hand washing. Hand sanitisers available in washrooms and shared spaces.</li> <li>Stocks of laptops being maintained / weekly managers bulletin with guidance and support offered / arrangements in place for duty, on call and reassignment where necessary</li> <li>Improved understanding of the risk factors across the workforce identified through COVID-19 data.</li> <li>Weekly reports on all sickness absences, COVID-19 related and others, are being produced by Directorate.</li> </ul>	5	4	20	<p>The nature of the risk is such that national public health guidelines will determine the councils' response.</p>	↔	Risk reviewed - Existing controls updated.	04/09/2020