Annex B – Leadership Risk Register as at 09/09/2021

Level of risk	How the risk should be managed
High Risk (16-25)	**Requires active management** to manage down and maintain the exposure at an acceptable level. Escalate upwards.
Medium Risk (10 -15)	**Contingency Plans** - a robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile.
Low Risk (1 – 9)	**Good Housekeeping** - may require some risk mitigation to reduce the likelihood if this can be done cost effectively, but good housekeeping to ensure that the impact remains low should be adequate. Re-assess frequently to ensure conditions remain the same.

Risk Scorecard – Residual Risks					
		Probability			
		1 - Remote	2 - Unlikely	3 - Possible	4 - Probable	5 - Highly Probable
Impact	5 - Catastrophic		LR4- LR13	LR2- LR3 - LR6	LR1	
	4 - Major		LR7- LR9 - LR14 - LR15 - LR17	LR5- LR12 - LR16	LR20	
	3 - Moderate		LR8-LR18	LR11-		
	2 - Minor	LR10-				
	1 - Insignificant					

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

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated+A1:R2
			Probability	Impact	Rating		Fully effective Partially effective Not effective				Probability	Impact	Rating				
2021/22																	
LR1	**Demand management - Children- :** managing the impact of increased demand on council services	Vulnerable children and young people are ineffectively safeguarded and come to harm, and their educational needs unmet. Potential for statutory requirements not being met. Poor timeliness and prioritisation of services leading to poor engagement from partners and the community. Reduced confidence in the Council's ability to deliver services Financial – significant overspend in annual budgets	4	5	20	Maintain a good early-help and prevention offer, in partnership with key stakeholders to ensure diversion from high cost services. Efficient assessment of need and risk – strong 'Front door' arrangements including effective MASH. 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. All services are tasked with managing activities within allocated budgets including additional Covid funding for agency staff.	Partial Fully Partial Partial	Cllr L. Brighouse	Kevin Gordon	Hannah Farncombe	4	5	20	↔	Continue to provide area early help networks and LCSS support to universal professionals to ensure good access to early help for families 1. Continued funding of additional workers 2. Continued working with partners to reduce unnecessary demand Continue with monthly Child Protection panels to scrutinise and accelerate progress to good outcomes All budgets are monitored monthly, but additional demand driven by covid means some budgets are insufficient. Negotiation with CEDR on use of additional Covid funding to cover these budgets Work with resourcing arm of HR to recruit and retain qualified social workers and agency workers. Review of MOC in the SE Region is in progress. Procurement of additional teams for frontline social care agreed and in progress	The service has been adversely affected by Covid. Forecasting future demand is unpredictable. A medium term assessment of demand will be undertaken as part of budget and business planning over the year. Key demand measures such as caseloads and activity into the MASH and FS+ are reviewed at DLT monthly and reported through to CEDR by the Business Monitoring report. The market for permanent and agency social workers is insufficient to meet demand across the region. This is driving higher agency rates, undermining the SE memorandum of cooperation, and failing to secure sufficient staff in Oxfordshire. Caseloads are high as a consequence.	01/09/2021 - Mitigating actions and comments updated.

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated+A1:R2
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2021/22																	
LR2	Safeguarding of vulnerable children: ensuring there are effective arrangements in place for safeguarding	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.	4	5	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.	Fully	Cllr L. Brighouse	Kevin Gordon	Lara Patel & Hayley Good	3	5	15	↔	No further actions required	As above demand in the service is high due to Covid and children have been safeguarded due to the additional investment in front line staff

Demand at the front door can be unpredictable and we need to be able to be flexible to respond. | 09/08/2021 - Potential impact and mitigating actions updated. |
						Monitored weekly through CEF Performance Dashboard and Performance Management Framework.	Fully								No further actions		
						Every child known to social care services is RAG rated and face to face visits to all children open to CSC have been reinstated subject to individual risk assessments.											
						Efficient assessment of need and risk by having strong children's 'Front door' arrangements in place, including effective MASH.	Fully								Excess demand still seen in the MASH which is mitigated by additional workers as agreed by CEDR		
						Completion of CEF Self-evaluation report every quarter which is submitted to Ofsted at the Annual Conversation.	Fully										
						Quality assurance framework in children's social care -for reach, effectiveness and impact.	Fully								Review of capacity to meet QA and continuous improvement requirements underway		
						Safeguarding complaints submitted to Ofsted are reviewed and investigated in a timely manner. Outcomes are reported to Ofsted.	Fully								No further actions		
						School attendance is monitored daily, attendance team staff undertaking home visits to encourage attendance, in partnership with schools.	Fully										
						Numbers of electively home educated children are monitored.	Fully										

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LR3	**High needs block funding:** Deficit in national funding and increasing local demand	The national High Needs Dedicated Schools Block funding allocation for Oxfordshire is some £11million less than the cost of provision locally, reflecting both the increase in demand identified in the specialist placement risk, but also a shortfall in the government's grant.	4	5	20	SEND assurance board meets fortnightly to provide oversight at strategic level	Fully	Cllr L. Brighouse	Kevin Gordon	Hayley Good & Sarah Fogden	3	5	15	↔	The assurance board is meeting fortnightly and any key updates on actions will be reported here.	As above demand in the service is high due to Covid and children have been safeguarded due to the additional investment in front line staff	01/09/2021 - No changes
						The national SEND review is expected, data not yet known, and is expected to include references to how mainstream schools should meet the needs of SEND pupils. Aligned with this the local SEND transformation programme has a project to manage demand	Partial									Demand at the front door can be unpredictable and we need to be able to be flexible to respond.	
						A paper is being drafted to cabinet to identify the level of additional top up funding required. Paper to include potential 'sunset clause' with schools based on support level of children with special needs	Partial								Cabinet paper on pressures currently being drafted		

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LR4	**Safeguarding of vulnerable adults:** Failure to safeguard vulnerable adults. The Care Act 2014 places a duty on the council to work with other parts of the health and care system to safeguard adults at risk of abuse or neglect. Roles, responsibilities and accountability are set out in the act with the council being required to take the lead coordinating role.	• Vulnerable people not protected from abuse or neglect. • Serious injury or death of a vulnerable adult • Significant reputational damage for the council	3	5	15	Oxfordshire Safeguarding Adults Board oversees and scrutinises the safeguarding of vulnerable adults across all partners in Oxfordshire The act brought in the principles of 'Making Safeguarding Personal'. Oxfordshire is recognised as doing this well. Part of the principle is that people own their own risks - so it can never be completely mitigated away. Centralised Safeguarding Team which leads on incoming safeguarding concerns and the completion of all subsequent safeguarding activity. Clear statement of the minimum standards expected of care providers (from the County Council, the Care Quality Commission and the Oxfordshire Association of Care Providers) Monitoring of providers by the Council's Quality and Contracts Team. This includes performance information (complaints, safeguarding referrals, etc.), contract monitoring meetings, and quality monitoring visits and gathering feedback. These are measured against ten quality standards and an internal traffic light system. Working closely with the Care Quality Commission to identify and share issues to ensure they are dealt with appropriately. The Care Governance Group which is led by the council includes both the safeguarding lead for the Council and the Care Quality Commission. Publicise and provide clear communication on the ways in which a person can raise a safeguarding concern. Daily, weekly, monthly performance reports in place on the activity in the safeguarding team. Quarterly performance report to the Performance Subgroup of the board on wider partnership issues. Cross partnership training plan in place.		Cllr J. Hannaby	Stephen Chandler	Melanie Pearce	2	5	10	↔	The number of concerns reported to the council is increasing the methodology and approach through the consultation service is struggling to meet demand. The services is realigning resources to ensure adequate priority is possible. The timings of responding to and dealing with concerns and enquiries are monitored daily and reported via Operational Services management team. The quality of providers in Oxfordshire remains higher than elsewhere as evidence by the CQC ratings though clearly due to lock down there has been a reduction in the number of on site inspections carried out nationally by CQC, the resumption of inspections has started and we will review accordingly. Multi agency meetings have continued to take place to ensure appropriate sharing of information and other intelligence; regular audits of case work in place and a prioritised programme of quality visits has commenced. No additional actions are felt to be required but we will respond to any issues raised in the on-going monitoring. The current state of overall safeguarding activities and quality monitoring is reviewed monthly by the Directorate Management Team (DLT).		06/08/2021 - No changes

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LR5	**Demand management -Adults-** Adult social care services aren't help people remain independent and healthy for as long as possible	More people present with higher social care needs, reflecting not just the growth in needs in the population, but also the change in informal care, which will not rise as quickly as demand. People with needs, who did not come forward for care previously, now start to come forward with greater public awareness of social care. Those people who do come forward, have higher levels of need. People moving to social care funded services as health services also face reduced funding.	4	4	16	a. The service has an agreed model for predicting demographic pressure and this is funded by the Council, a robust system is in place to monitor demand, the councils response to demand and any ongoing pressures. b. Investment in services to reduce demand (e.g. reablement) and to support emerging models of support (Community Led). c. A pooled budget arrangement is in place with health which allows whole system investment and prioritisation. d. Referrals into the service via First point of contact and then onwards into locality teams continues to show and increase compared to the same time last year. The increase in referrals have been managed effectively and have ensured more people are supported outside of long term care. e. Medium and long term impact from Covid is still not fully known though we are starting to see increased activity in all our key areas (Hospital activity, Community activity and Safeguarding activity).		Cllr J. Hannaby	Stephen Chandler	Pippa Corner	3	4	12	↔	Risk at target level but a permanent risk due to demographic pressures. These are being managed well in Oxfordshire and responding to demand is a core thread of the Adults transformation programme. Main issue in managing demand remains the performance of the reablement pathway (subject of a separate risk) which is monitored monthly with action plan in place. A retender of the reablement support provider was completed during August 21 with new service commencing in October 21. ASC transformation and Making it Happen approach have begun, in partnership with the voluntary sector and is progressing in line with plans, impacts are as expected.		25/08/2021 - Risk manager and comments updated
LR6	**Capital Infrastructure Programme Delivery**	HIF1 potentially could cost OCC £6m per month after the end date of Nov '24. HIF2 could cost OCC £2m per month after Feb '25. 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 .	3	5	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.		Cllr D. Enright	Bill Cotton	Owen Jenkins	3	5	15	↑	A Service Improvement Plan has been enacted that links to the Communities directorate redesign and will ensure the long term resources and skills are put in place and all processes are modernised and 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.	Mitigating Action that were put in place have taken effect and significant progress has been made in scheme delivery, and although some residual risk remains, the situation is improving, hence the risk reduced across the majority of schemes. However emerging cost pressures and programme pressures as a result of further scheme development have increased the risk of delivery on some key schemes. These are currently being assessed and an action plan being developed to mitigate	01/09/2021 - Risk reviewed, residual score increased, mitigating actions and comments updated.

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LR7	**Local and community resilience** : ensuring there are plans in place to support and engage communities with regards to resilience, cohesion, and community tension	Impact on Council's ability to deliver services if disruption affects particular locations, customers or staff. Potential reduction in public trust if the council is not seen to be acting appropriately.	3	4	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.		Cllr N. Fawcett	Yvonne Rees	Rob MacDougall	2	4	8	↔	Health Protection Board, MOAC and Surveillance Cell in place to manage pandemic surveillance, implementation of restrictions and Oxfordshire System communications. Impacts of UK Transition being monitored by specific Oxfordshire System group and community tension risk being reviewed by Local Resilience Forum. Government Road Map to Recovery being reviewed by all relevant groups.	Covid remains the main factor envisaged to cause community tension although there is no significant intelligence being raised to this effect and rising cases are being managed by surge testing	17/08/2021 - No changes
LR8	**Management of partnerships (non-commercial)** maximising the use of effective partnerships to deliver strategic outcomes and community benefit.	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).	2	4	8	Ongoing management of existing relationships held at Cabinet and senior officer level, including sharing of priorities and early discussion of potential changes or challenges Supported by regular engagement and interaction at different levels of the organisation, including joint working initiatives and shared posts. Formal/informal meetings with main bodies and sector representatives. Participation and engagement in local partnerships, forums and project / policy development work. 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. Health and Wellbeing Board has oversight of development of Integrated Care System and pooled budget arrangements. Growth Board retains oversight of the implementation of the Housing and Growth Deal and Housing Infrastructure Fund schemes. Systems structures in place to deliver on-going response to CV-19 and plan for recovery. Liaison and planning arrangements in-place with VCS for Covid-19 community response, VCS resilience and recovery planning.		Cllr G. Phillips	Claire Taylor	Emily Schofield	2	3	6	↔	Maintain oversight of partnerships in the county to reflect new recovery systems working arrangements, including bi-laterals. New working relationships with VCS and infrastructure support contract are being developed, with new support arrangements to be in place by April 2022. Community development strategy and approach to be produced and implemented jointly with VCS and partners. Partners' engagement with / involvement in Community Resilience work will help to minimise the likelihood of this risk. Support Democratic Services with new Member induction packs and support new Portfolio Holder through advising and briefing of relevant relationships to establish as priority.		06/08/2021 - No changes

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LR9	**Supply chain management:** ensuring effective delivery through the supply chain	Delays to meeting service requirements or service provision.	2	4	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.		Cllr C. Miller	Steve Jorden	Melissa Sage	2	4	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.	The Contract Management Intelligence Team, as part of Provision Cycle, is taking a more proactive role in identifying risks in the supplier and marketplace more generally. As part of the implementation of Provision Cycle, contract management procedures are being discussed with Service Areas, in order to agree respective roles.	03/08/2021 - No changes
LR10	**Corporate governance:** creating and embedding an effective and robust management and governance system that provides accountability and transparency.	Inconsistent, uncompliant or potentially unlawful actions/decisions. Inability to support Council's democratic functions / obligations (e.g. remote public meetings, remote voting). Elements of the Covid-19 response may be compromised or delayed.	2	2	4	Council governance framework is regularly reviewed and updated by senior managers and members. Constitution - updated and annually reviewed by Monitoring Officer and Full Council - Amendments made to the Constitution to facilitate virtual/remote public meetings. System of internal control - co-ordinated by the Corporate Governance Assurance Group; overseen by the Chief Internal Auditor; elected member oversight by Audit & Governance Committee, which reviews the Annual Governance Statement. 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 & Governance Committee. Business Continuity Plans are in place which ensure that appropriate leadership of the Covid-19 response. Control measures implemented throughout 2019/20 and updates on key issues are reported to Audit & Governance Committee. Democratic decision-making processes are in place and reviewed as part of the Constitution Review and with regard to COVID regulations and virtual meetings processes		Cllr G. Phillips	Anita Bradley	Glenn Watson	1	2	2	↔	Continue to undertake control measures throughout 2021-22 and respond to specific matters as they arise. Annual Governance Statement process for reflecting back on the year 2020/21 is now completed, with approval from the Audit & Governance Committee. Process now begun for embedding Local Code of Corporate Governance and Annual Governance Statement process (for 2021/22 year) with ELT and CEDR. CEDR approved plan and first meeting held with ELT. ELT members being approached outside the meeting with detailed follow up. Corporate Governance Assurance Group leading a project to review/align governance processes between Cherwell DC and Oxon CC. CEDR has agreed a quarterly reporting process for CEDR/ELT and Corp Gov Assurance Group Proposals for a Constitution Review for Oxon CC agreed by Audit & Governance Committee and Full Council in March agreeing a fuller review to be owned by the new incoming Council after the May 2021 elections. Cross party working group to be proposed to Audit & Governance Committee in September with timeline for the review. Elections successfully delivered and Induction Programme has completed its first phase. Consultation with the administration, CEDR and potential councillor working group to develop future stages. Sessions delivered to councillors on the constitution, finance, code of conduct, equalities and service overviews. Meetings have returned successfully to physical form (Annual Council), in compliance with COVID safe rules	Induction rolled out; decision making meetings continue to be held in physical form, with access rights in person and virtually for the public and other participants, and doing so in line with changing public health situation (e.g. relocation of meetings outside of Oxford City). The new administration formed.	17/08/2021 - No changes

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LR11	**Workforce management:** long term plans to ensure a capable and skilled workforce with the capacity to deliver required and new services.	Failure to manage the workforce and develop strategic HR plans may result in the following: •Recruitment and retention issues •Increased costs of agency staff •Increased costs in training and development •Underperformance or lack of delivery	4	3	12	On-going monitoring of issues and HR data. Key staff in post to address risks (e.g. strategic HR business partners, reward manager) Ongoing service redesign will set out long term service requirements .		Cllr G. Phillips	Claire Taylor	Karen Edwards	3	3	9	↔	Development and adoption of sector relevant workforce plans . Development of new People and Organisational Development strategy. The ability to interrogate and access key data (ongoing) in order to inform workforce strategies. Development of new Learning & Development strategy, including apprenticeships. 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. Weekly review of the absence data is being undertaken to identify areas of high absence.	As the response to Covid evolves and we move towards a new 'norm' such as greater agile working, both workforce and management development will require a re-focus to enable this transition for the long term.This risk remains stable. Absence as a result of Covid has fallen out of the top 5 reasons for sickness absence in Q1. Self - isolation rules change on 16 August 2021 which should see a significant reduction in staff having to self-isolate if they are double vaccninated although there are some exceptions for staff woking with specific client groups. The situation continues to be monitored. Turnover (planned and unplanned) is significantly below the national level.	18/08/21 - Comments updated
LR12	**Organisational Change and Service Design:** ensuring there are effective plans and governance in place to deliver required organisational change.	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.	4	4	16	All projects identify benefits to be delivered and long term financial implications (upfront costs and savings), supported by project plans. Financial benefits realisation articulated in all project plans, monitored via monthly highlight reports and our corporate reporting process Systematic service improvement activity focused on demand management, and developing a more preventative approach to our services All project resourcing considered monthly, roles allocated & additional 3rd party support commissioned where there is a lack of internal capacity. 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 & 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. Where joint activity is planned the Partnership Working Group review progress and delivery. 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. 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.		Cllr G. Phillips	Claire Taylor	Tim Spiers	3	4	12	↔	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. Continue to ensure that detailed planning and monitoring of projects fully understands interdependencies between projects. Ensure all change activity is fully aligned to, and supportive of, the corporate priority setting and Medium Term Financial Planning process. 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. Align work with CDC programmes wherever possible to achieve increased benefits. The IT Services are being closely joined which will support alignment	Initial consultation work on IT reorganisation complete, key posts now filled with staff supporting both CDC and OCC giving more alignment. Gartner have been engaged to undertake PMO maturity baseline and to identify areas for further improvement. The IT, Digital and Programme Board membership has been reviewed and refreshed to ensure all service areas are represented.	18/08/2021 - Comments updated

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LR13	**Financial resilience**: ensuring there are effective plans in place to deliver a balanced budget and a sustainable medium term financial strategy	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.	3	5	15	Progress against current year's savings is tracked monthly and included in the Business Management Reports to Cabinet. — Fully Progress against future year's savings is also tracked monthly, and if necessary addressed as part of the Service & Resource Planning process Additional costs, loss of income and non- achievement of savings are being tracked and inform data returns to — Fully Savings under the banner of Organisational Change and Service Design being monitored on a project/activity level with detailed planning, milestones & reporting. — Fully Regular meetings between Directors and s151 Officer to discuss significant financial issues and risks. — Fully	Fully Fully Fully Fully	Cllr C. Miller	Lorna Baxter	Ian Dyson	2	5	10	↔	'The financial impact of COVID- 19 is being tracked and is being reported to CEDR, Cabinet and Performance Scrutiny Committee and as part of the monthly Business Management report. The Government continues to provide grant funding to assist with the public health response and containment of further outbreaks, which is enabling targeting support to local businesses, communities and voluntary sector, without additional cost to the Council. The Government is also funding lost income on Sales Fees and Charges related to COVID, which we are claiming in accordance with the Government timetable. COVID related grants and funding are being reported routinely to CEDR. The longer- term financial impacts will become clearer during the recovery phase both locally and nationally, but currently remains uncertain.		25/08/2021 - No changes

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LR14	**Health and safety:** ensuring effective arrangements are in place to meet our duties	Unsafe services leading to injury or loss.

Breach of legislation and potential for enforcement action.

Financial impact (compensation or improvement actions) | 3 | 4 | 12 | H&S policies and procedures have been reviewed and adopted.

Risk Assessments completed including COVID-19.

Provision of PPE is priority area of focus for both standard work issue and additional infection control requirements for COVID-19.

Information and training programmes in place for staff and volunteers. Communications channels in place including COVID-19 focussed H&S information.

H&S Governance Board maintains oversight of policy and practice with response to COVID-19 covered within business continuity support structure.

Additional budget has been allocated for rectifying all H&S and compliance items across our buildings and to bring full statutory compliance.

We have established a H&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.

H&S monitoring will be carried out in selected services to assess compliance subject to restrictions due to COVID-19;

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.

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. | | Cllr N. Fawcett | Steven Jorden | Paul Lundy | 2 | 4 | 8 | ↔ | COVID-Secure arrangements and safe working practices remain effective and are regularly reviewed to ensure they are inline with government guidance. Even though positive outlook with reducing cases controls are expected to remain in place for longer term e.g. IPC procedures including PPE.

Corporate Assurance on effectiveness of H&S controls is monitored by the H&S Assurance Board. Key areas of focus include:
- Task and Finish group established to review and recommend improvements for the role of Responsible Premises Manager. This will be delivered as part of the Property function redesign which will look holistically at property management and include system improvement.
- As part of delivering the future and agile working a review is underway to ensure the health and safety is adequality considered for home working. This has included improvements around DSE Assessments, provision of work equipment and prevention of ill health.

Policies and procedures are regularly reviewed to ensure safe operating framework. | Risk score remains amber to reflect increasing COVID cases nationally and in Oxfordshire. H&S Risk Assessments and Procedures remain effective in controlling workplace exposure and reducing transmission alongside vaccination programme. To achieve 'Green' RAG rating a downward trend and low case numbers needed to reduce likelihood of exposure.

Currently at Stage 4 of Roadmap. Important to note legal duties under H&S legislation still apply including red to assess risks to our staff and customers and take appropriate mitigations in line with the current gov working safely guidance: Frontline services e.g. social care continuing to apply IPC protocols incl. PPE etc. H&S/FM developing proposals for return to offices with focus on improving ventilation, regular cleaning and encouraging hand hygiene and wearing of face coverings.

Lone worker mobile app project on track and onboarding of services in progress.

Field Monitoring by H&S Team has restarted - Libraries and CSS Centres during Q2.

Corporate H&S for OCC/CDC now aligned in terms of management support and where possible aligned governance processes. | 17/08/2021 - Comments updated. |

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated+A1:R2
			Probability	Impact	Rating		Fully effective Partially effective Not effective				Probability	Impact	Rating				
2021/22																	
LR15	**Business continuity and recovery plans:** Resilience to a additional significant disruption during the Covid-19 Response	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	3	4	12	Business continuity plans remain under review to reflect the on-going COVID situation .The business continuity improvement programme has led to significant and has led to significant improvements including to a consistent approach to business impact assessments, service business continuity frameworks and business continuity plans.		Cllr N. Fawcett	Steve Jorden	Rob MacDougall	2	4	8	↔	Health Protection Board, MOAC and Surveillance Cell in place to manage pandemic surveillance, lifting of restrictions and Oxfordshire System communications Agile working guidance continues to be developed across services Business Continuity Plans have been reviewed and business impact assessments are being completed for 21/22.	Rising Covid cases in Oxfordshire have started to see a slight increase in staff absences. To date these are manageable levels and short term. The change in isolation regulations for vaccinated staff from 16th August should ease departmental pressures arising from short term staff shortages. Staff absence and impact on services continues to be closely monitored.	11/08/2021 - Comments updated
LR16	**Cyber security:** assurance that effective controls are in place to prevent security issues.	A serious and widespread attack (like Wannacry in Health or Ransomeware attacks in Hackney and Recur) could mean the Council will not be able to 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.	4	4	16	A robust plan is in place and under continuous improvement. OCC and CDC are 'Cyber Security Essentials Plus' accredited. OCC are currently undertaking 'Cyber Essentials Plus' accreditation. OCC and CDC are PSN accredited. OCC and CDC are also working with other local government organisations to ensure a co-ordinated approach to Cyber Security events. Guidance has been re-issued to all staff on protective measures to take when home working, less secure apps have been disabled.		Cllr G. Phillips	Claire Taylor	Alastair Read	3	4	12	↔	The IT Service at CDC and OCC continue to manage cyber security threats in-line with the required 'Cyber Essentials Plus' standards. As part of the IT service redesign a joint OCC/CDC Cyber Security officer has been appointed , to undertake: •Responsibility for managing security threats and prevention methods •Working with Information Management to ensure implications of GDPR on data security are understood and built in •Working with partners to provide training so that every OCC user is aware of their role in preventing cyber threats •Documenting processes and policy to define roles, responsibilities and procedures •Maximising tech to reduce cyber risks •Ensuring all new and existing suppliers meet cyber security requirements Launched a 'Cyber Security Awareness' project to evaluate and improve Cyber awareness across the Council, including new eLearning material and security exercises. Implemented 'Microsoft Cloud App Security' which protects our use of cloud services, providing advanced threat detection against ransomware, inside threats and data leaks. Trialling an email banner to highlight external emails – providing protection against phishing attacks, spoofed emails and scams.	IT and Cyber Security Officer has been appointed to cover both OCC and CDC. The IT Service continues to work with colleagues and partners to manage the cyber security threat. IT technical resources from OCC and CDC are working closely to ensure both organisations are protected from Cyber security threats. Risk is being treated as a high priority due to the ongoing threat to all organisations. Our approach is guided by the National Cyber Security Centre (NCSC) and also informed by Gartner insight. Presentation made to Audit and Governance Committee regarding the current status and plans to ensure the organisation continues to do everything possible to manage the ongoing threat. Work is being planned to increase awareness. We are now engaging our annual PSN review. With the changes we have put in place this process has become easier to execute with less requirement on people resources. Our ongoing patching and asset management has helped the process. There is more work to be done but we have made great steps forward. NCSC have advised that all County Councils have an offline backup solution to fully mitigate against Ransomware. To add this to out infrastructure the cost would be in the region of £250k that has not been budgeted for. IT are now running an awareness programme.	18/08/2021 - Comments updated

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2021/22																	
LR17	**ICT Infrastructure:** assurance that IT infrastructure is reliable and fit for purpose	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	3	4	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. IT have secured more laptops to help ensure we have stock in case there is delivery issues after Brexit.		Cllr G. Phillips	Claire Taylor	Alastair Read	2	4	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. A proposal for a more cost effective and less complex DR solution has been agreed and procurement will start this month for installation in November. This should be able to remove this risk. Procurement is happening this week. Installation pushed back until December. Installation of more cost effective DR is underway. Completion by Feb 2021. Due to COVID work this has been delayed. We also fixed some networking issues that had caused outages over the last 3 Sundays, making the infrastructure even more resilient.	We now have a migrated datacentre, the DR solution is in place and less complex than previous. We have tested all parts of the solution. We now have to run a full DR test to confirm our testing.	18/08/2021 - Risk reviewed, no changes

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			Probability	Impact	Rating		Fully effective / Partially effective / Not effective				Probability	Impact	Rating				
2021/22																	
LR18	**Covid-19. Assurance that the Council can maintain and initiate new services and support to those impacted by the coronavirus** pandemic as required by local circumstances and national requirements alongside maintaining BAU provision	•Possible reductions in frontline service delivery, events, meetings and customer contact. - Increased level of service demand due to the effects of the pandemic •Economic hardship impacting local business and potentially the local workforce. •Impact on vulnerable residents who may find it harder to access services. •Increased demand on both frontline and enabling services. •Prolonged risk of social isolation and the mental and physical consequence thereof.	3	5	20	System-wide pandemic governance is in place. The Council has prepared, revised and is delivering a Local Outbreak Management Plan to minimise the spread and impact of COVID-19 Under 'System Gold' arrangements, we work with partners across the system to address the immediate concerns of the pandemic (eg to deliver contain plans, vaccinations and communications of key messages) as well as to plan to the recovery from wider pandemic impact in system-wide recovery planning Business Continuity Plans have been reviewed, tested and are maintained and updated Remote working is in place alongside new capacity for remote and 'hybrid' public meetings with initial return to some face to face meetings and review of customer facing functions following Step 4 of the national roadmap. Staff communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response. Regular updates from Director of Public Health, shared internally and externally. ~~Within the organisations, weekly sickness monitoring in place~~ ~~Agile working guidance for the post-Roadmap period has been issued~~ A RAG rating reporting system is in place to provide updates at directorate/service level on a fortnightly basis for areas forecasting significant staff and service pressures due to COVID-19 impact. This data is monitored at OCC/CDC Silver and escalated to CEDR (Gold) as required.		Cllr G. Phillips	Claire Taylor	Robin Rogers	3	3	9	↔	The Council's Recovery Strategy (Re-start, Re-Cover and Re-New) has been revisited and a report was submitted to Cabinet in June 2021 to reassess recovery planning alongside the controls and capacity that need to remain in place through the transitional horizon.		04/08/2021 - Controls updated
LR20	**Construction Resources and Skills shortages** - Availability of construction materials and skills could lead to high inflation for construction projects and a potential lack of appropriate skills and resources to complete programmes on time/ budget.	Impact on Property, Major Infrastructure and Maintenance programmes. Projects get stalled. Increased costs mean fewer projects can be completed within funding envelopes. Skills shortages lead to increased costs. Skills shortages lead to projects slowing down or being undeliverable. Contractors unable to commit to quoted prices due to market conditions.	4	4	16	Grow your own – bringing in more junior staff and training them up. Utilisation of contracted and temporary staff where necessary. Increased supply chain base to increase the chances of success. Closer working with supply chain partners to influence an Oxfordshire first strategy. Communicating longer term programmes to gain market confidence.	Partial	Cllr T. Bearder	Bill Cotton	Owen Jenkings	4	4	16	↔	Further work with supply chains to secure resources for Oxfordshire. Communication with government departments to increase flexibility and funding.	There maybe a need to rebalance programmes if risk is realised, and prioritise those projects that give the best outcomes, delaying or halting those that are less favourable.	26/08/2021 - No changes