

## Annex B – Leadership Risk Register as at 01/12/2021

Level of risk	How the risk should be managed
<b>High Risk</b> (16-25)	<b>Requires active management</b> to manage down and maintain the exposure at an acceptable level. Escalate upwards.
<b>Medium Risk</b> (10 -15)	<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 – 9)	<b>Good Housekeeping</b> - 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		LR6 - LR15 -	LR2 - LR3	LR1 - LR8	
	4 - Major		LR9 - LR11- LR16 - LR17 - LR19	LR7- LR14 - LR18	LR4 - LR21	LR5
	3 - Moderate		LR10	LR13 - LR20		
	2 - Minor					LR22
	1 - Insignificant		LR12 -			

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



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2021/22						Fully effective Partially effective Not effective											
LR1	<b>Demand management - Children</b> : 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  Fully  Partial	Cllr L. Brighthouse	Kevin Gordon	Hannah Farncombe	4	5	20	↔	Continue to provide area early help networks and Locality Community Support Service (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  Staff absence and impact on services continues to be closely monitored via Covid Programme O+P7ffice and Directorates.F:R  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. Caseloads are still higher than target levels, but some relief is being provided by the council's additional funding of MASH staff and two-managed agency teams. The early help strategy is being refreshed to improve access to preventative support for families, so that children are helped before the need for social care. Family Solutions Plus is showing good impact on preventing child abuse, neglect and family breakdown.	23/11/2021 - Changes to Control Assessment
LR2	<b>Safeguarding of vulnerable children:</b> ensuring there are effective arrangements in place for safeguarding	Impact to a 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.	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.  Monitored weekly through CEF Performance Dashboard and Performance Management Framework.  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.  Completion of CEF Self-evaluation report every quarter which is submitted to Ofsted at the Annual Conversation.  Quality assurance framework in children's social care -for reach, effectiveness and impact.  Safeguarding complaints submitted to Ofsted are reviewed and investigated in a timely manner. Outcomes are reported to Ofsted.  School attendance is monitored daily, attendance team staff undertaking home visits to encourage attendance, in partnership with schools.  Numbers of electively home educated children are monitored.	Fully  Partial  Fully  Fully  Partial  Fully  Fully  Fully	Cllr L. Brighthouse	Kevin Gordon	Lara Patel & Hayley Good	3	5	15	↔	No further actions required  No further actions  Excess demand still seen in the MASH which is mitigated by additional workers as agreed by CEDR  No further actions  Review of capacity to meet QA and continuous improvement requirements completed and resourcing underway  No further actions  Additional temporary staff added to attendance and EHE teams to support additional workload as a result of additional COVID pressures.	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.  EHE (Elected Home Education) numbers have stabilised since September 2020 although approximately 30% higher than pre pandemic levels.	10/11/21 - Comment updated



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LR5	<b>Insufficient placement availability for children we care for:</b> ensuring the timely availability of high quality placements for children we care for	Can impact Council's service judgements from OFSTED Increased financial cost due to increased complexity of need, lack of choice and availability and increased need for crisis provision Impact on patient flow though hospital settings, as small numbers of children may occupy bed in wards prior to a placements becoming available .	5	4	20	Placement sufficiency strategy 2020-25 developed and implemented with oversight of actions through monthly board chaired by DD for Corporate Parenting Increased investment in in-house fostering to increase capacity of in-house foster placements with ongoing recruitment campaigns Capital investment in development of new build OCC children's home due to open in spring 2023 Market engagement routinely taking place to inform Market Position Statement and Sufficiency Strategy Block contracts and frameworks in place and contract management for commissioning of external foster and residential placements Monthly review of occupancy data for in-house OCC residential and fostering placement and for block contracts Implementation of new Young People's Supported Housing Pathway. Robust approval and monitoring of unregistered arrangements by DD through weekly Placement and Resource Panel and escalations Weekly Placement and Resource Panel chaired by DD for sign off of placement requests and additional resources .	Partial	Cllr L Brighouse	Kevin Gordon & Stephen Chandler	Lara Patel & Pippa Corner	5	4	20	↔	Development of business case for small residential homes underway and application for DfE capital funding for one home submitted Contract monitoring in place to enhance delivery of YPSA beds to ensure that all beds commissioned are delivered within agreed timeframe Housing provision for increased numbers of unaccompanied children arriving through the National Transfer Scheme identified and scheduled for opening Robust quality & improvement system for placements developed and awaiting sign off Working with South Central Framework to assess tenders for enhanced foster care recruitment Autumn recruitment campaign for in-house foster carers underway Recruitment to additional agency staff in Children's Brokerage to meet demand and backlog in placement searches. HESC Recruitment is in progress to achieve a full establishment in near future.	There has been a progressive increase in the overall number of children we care for, predominantly due to less children leaving care. The complexity of children's needs is increasing making it more difficult to find appropriate placements to meet their needs in a timely way. Covid has impacted on the availability of suitable foster care and residential placements which has impacted on the already challenged national and local sufficiency of placements. There is a national shortage of welfare secure and tier 4 health beds. The reorganisation of HESC has impacted on staffing in children's brokerage with new staff requiring time to be inducted and gain experience.	17/11/2021 - Mitigating actions updated
LR6	<b>Safeguarding of vulnerable adults:</b> 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.	<ul style="list-style-type: none"> <li>Vulnerable people not protected from abuse or neglect.</li> <li>Serious injury or death of a vulnerable adult</li> <li>Significant reputational damage for the council</li> </ul>	3	5	15	<p>Oxfordshire Safeguarding Adults Board oversees and scrutinises the safeguarding of vulnerable adults across all partners in Oxfordshire</p> <p>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.</p> <p>Centralised Safeguarding Team which leads on incoming safeguarding concerns and the completion of all subsequent safeguarding activity.</p> <p>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)</p> <p>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.</p> <p>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.</p> <p>Publicise and provide clear communication on the ways in which a person can raise a safeguarding concern.</p> <p>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.</p> <p>Cross partnership training plan in place.</p>	<p>Fully</p> <p>Partial</p> <p>Fully</p> <p>Partial</p> <p>Partial</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p>	Cllr J. Hannaby	Stephen Chandler	Melanie Pearce	2	5	10	↔	<p>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.</p> <p>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.</p> <p>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).</p>	The statutory demand for Adult Safeguarding remains high across Oxfordshire. Additional staff agreed to manage the increase and complexity of work.	24/11/21 - Changes to Control Assessment

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LR7	<b>Demand management - Adults-</b> 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). f. Autumn and winter planning is taking place with partners across the health and care system. g. The implementation of the new Live Well At Home contract is in progress and we are actively working with providers to maintain continuity of services, and identify alternatives to support people's independence and reduce demand where possible.	Partial	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.	The new reablement service went live on 1st October with 4 new providers covering 5 geographical zones. We are currently working with the outgoing NHS service provider to maximise capacity during an extended transition phase. Several initiatives will support demand management under these new arrangements, including an increased role played by the voluntary sector to support people returning home from hospital, and increased MDT / multi agency input to reduce avoidable admissions to hospital. We continue to develop our preventative measures as part of the Oxfordshire Way, and working with partners on the Community Services Strategy. During October and November we have seen very high levels of attendances and admissions to hospital, locally and nationally. While flow has been managed and maintained, this will result in high numbers of packages of care over the winter. The new Home First MDT arrangements are providing evidence that more people would be able to return home without formal support as a proportion of all discharges as our practice develops as a system. However, we are also seeing higher numbers of people overall with higher needs.	25/11/21 - Coments updated and Changes to Control Assessment
LR8	<b>Capital Infrastructure Programme Delivery</b>	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 .	4	5	20	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.  Review of major schemes to reflect changes in environmental legislation, and intelligence from early contractor engagement is under way.	Partial	Cllr D. Enright	Bill Cotton	Owen Jenkins	4	5	20	↔	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. Ongoing dialog with funding bodies such as MHCLG and Homes England takes place to manage funding agreements.	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 actively managed.	23/11/2021 - Risk reviewed, no changes

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LR9	<b>Local and community resilience</b> : 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.	Partial  Partial	Cllr N. Fawcett	Yvonne Rees	Rob MacDougall	2	4	8	↔	Health Protection Board, MOAC and Surveillance Cell in place to manage pandemic surveillance 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 Winter Plan 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. Oxfordshire is heavily involved with supporting refugees from Afghanistan - this could increase community tension in some areas and is being monitored by the System Silver group supporting this.	25/11/21 - Changes to Control Assessment
LR10	<b>Management of partnerships (non-commercial)</b> 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.	Partially	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.		23/11/2021 - Changes to Control Assessment

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LR11	<b>Supply chain management:</b> 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 Jordan	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.	04/11/2021 - Risk reviewed, no changes
LR12	<b>Corporate governance:</b> 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. return to in person formal meetings and compliance with restored legal regime). Elements of the Covid-19 response may be compromised or delayed.	2	2	4	<p>Council governance framework is regularly reviewed and updated by senior managers and members.</p> <p>Constitution - updated and annually reviewed by Monitoring Officer and Full Council - Amendments made to the Constitution to facilitate return to in-person formal meetings with provisions for virtual attendance by non-voting members, the press and public.</p> <p>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.</p> <p>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.</p> <p>Business Continuity Plans are in place which ensure that appropriate leadership of the Covid-19 response.</p> <p>Control measures implemented throughout 2019/20 and updates on key issues are reported to Audit &amp; Governance Committee.</p> <p>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</p>		Cllr G. Phillips	Anita Bradley	Glenn Watson	1	2	2	↔	<p>Continue to undertake control measures throughout 2021-22 and respond to specific matters as they arise.</p> <p>Annual Governance Statement process for reflecting back on the year 2020/21 is now completed, with approval from the Audit &amp; 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. Follow up meeting with ELT on 30 Nov.</p> <p>ELT members being approached outside the meeting with detailed follow up.</p> <p>Whistleblowing Policy review being taken to November Audit &amp; Governance Committee following positive response from the Audit Working Group in October.</p> <p>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</p> <p>Proposals for a Constitution Review for Oxon CC agreed by Audit &amp; 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 approved by Audit &amp; Governance Committee in September with outline terms of reference and timeline for the review. Political Groups being approached for cross-council membership of the Working Group.</p> <p>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. Sessions also delivered in September to strengthen scrutiny skills for chairs and members, led by the Centre for Governance and Scrutiny.</p> <p>Recruitment is taking place to achieve Interim and then permanent Committee Officer posts following vacancies created by two part time posts (1 FTE) and the committee work. This is to mitigate the risk that meetings are not adequately resourced. Interim and permanent scrutiny officers also being recruited (one interim started 15 Nov) to embed the scrutiny function to mitigate risks that scrutiny is not effective.</p>	<p>Recruitment taking place in Democratic Services to fill 2 FTE vacancies for committee officers. Plus recruitment to 2 FTE specialist scrutiny support officers. Interim scrutiny officer started 15 Nov.</p> <p>Allocation of work will then ensure key meetings are adequately supported.</p> <p>Transition planning taking place re: governance activity - with Principal Governance Officer developing governance resilience among the wider Law &amp; Governance Team (to enable continuity once Principal Governance Officer leaves later in December).</p> <p>Agilisys review of Law &amp; Governance officer has had input from across Democratic and Governance functions.</p>	15/11/2021 - Mitigations and comments updated



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2021/22						Fully effective Partially effective Not effective											
LR13	<b>Workforce management:</b> 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 .	Partial  Fully  Partial	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. There are indications that specific service areas are beginning to experience recruitment difficulties for professional roles. HR is working with the relevant directors to consider alternative resourcing methods.	As the response to Covid evolves and we move towards a new 'norm' such as greater agile working, both workforce and management development infrastructure and plans will require a re-focus to enable this transition for the long term. A review of HR and Organisational Developments Services is underway and a business case is being prepared. This risk remains stable. The situation continues to be monitored. Turnover (planned and unplanned) is significantly below the national level. HR is working with areas experiencing recruitment difficulties.	11/11/21 - Comments updated
LR14	<b>Organisational Change and Service Design:</b> 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.	Partial	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.  Business Partners in the IT Customer Engagement team have been aligned to specific areas in the Council matching their experience and knowledge. These will be an initial contacts in IT for a service to explore and discuss change initiatives. Ensuring they are aligned with the broader Council change agenda and the IT Strategy.  Currently IT Services are reviewing all programmes and projects to ensure they are adequately resourced to deliver required outcomes.	23/11/2021 - Control Assessment and comments updated

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2021/22						Fully effective Partially effective Not effective											
LR15	<b>Financial resilience:</b> 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.  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 MHCLG.  Savings under the banner of Organisational Change and Service Design being monitored on a project/activity level with detailed planning, milestones & reporting.  Regular meetings between Directors and s151 Officer to discuss significant financial issues and risks.	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.	This risk remains amber as although the probability is unlikely, the impact could be level 5 should the risk occur. The controls are effective, performance is monitored monthly, and continues to be Green. Budget and Business planning to set the 22/23 budget and the 22/23-25/26 MTFP is in progress and whilst there is currently some uncertainty regarding future settlements following the Governments 2021 Spending Review, the financial resilience of the council remains strong.	15/11/2021 - Comments updated
LR16	<b>Health and safety:</b> 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.	Fully  Fully  Fully  Fully  Fully  Fully  Fully  Fully	Cllr N. Fawcett	Steven Jordan	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 status of 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, CO2 monitors in meeting rooms, regular cleaning and encouraging hand hygiene and wearing of face coverings.  Mandatory COVID Vaccinations for health and social care staff. Flu vouchers offered to health and social care staff in addition to those entitled under national immunisation programme. Lone worker mobile app project on track and onboarding of services in progress. Rolling out to 650 CSC staff Oct-Nov 2021. Field Monitoring by H&S Team has restarted including libraries, CSS, Children's Residential Homes in Q2 and Q3 - No significant concerns raised to date. Corporate H&S for OCC/CDC now aligned in terms of management support and where possible aligned governance processes.	23/11/2021 - Changes to Control Assessment

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2021/22						Fully effective Partially effective Not effective											
LR17	<b>Business continuity and recovery plans:</b> 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.	Partial	Cllr N. Fawcett	Steve Jordan	Rob MacDougall	2	4	8	↔	Health Protection Board, MOAC and Surveillance Cell in place to manage pandemic surveillance 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.	Staff absence and impact on services continues to be closely monitored via Covid Programme Office and Directorates.	15/11/21 - Risk reviewed, no changes
LR18	<b>Cyber security:</b> assurance that effective controls are in place to prevent security issues.	A serious and widespread attack (like WannaCry in Health or Ransomware 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.	Fully  Fully  Partial  Fully  Partial  Fully	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. There is a national Cyber Security campaign in October, IT will be using this to promote the new 'Staying Safe Online' course to all staff across the Council. This will be advertised on the intranet and promoted in the manager's briefing. All staff are expected to complete the course and managers will be asked to monitor staff progress in doing this.  PSN due for completion first week of December	19/11/2021 - Comments Updated

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LR19	<b>ICT Infrastructure:</b> 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.	Fully  Fully  Fully  Fully	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. In preparation for DR testing all servers have be prioritised according to the services they are running. This has been paired with the priority applications list approved by the Business Continuity Steering Group. Work continues to record the point to which we can restore data to for each application for presentation and awareness to Business Continuity Steering Group.  Awaiting funding news from CEDR to agree off line backup to guard further against Ransomware.	19/11/2021 - Comments Updated
LR20	<b>Covid-19. Ability of the Council to focus on recovery and renewal from the COVID-19 period while retaining the capacity to adapt and respond to new developments and requirements, and deal with new increased levels of service demand</b>	•Ongoing pressures on service delivery with increased level of service demand and ongoing limitations on delivery may reduce the Council's ability to deliver its objectives •Long term direct and indirect impacts of COVID on community, economic and individual wellbeing including the differential impact on different sections of society,	4	4	16	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. This has been updated in September 2021 to reflect the changing course of the pandemic. Coordinated communications continue to public, stakeholder and staff audiences Regular updates from Director of Public Health, shared internally and externally. 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). Recovery and renewal planning is underway within the system governance structures and through sector specific partnerships (eg Health and Wellbeing Board and OxLEP)	Fully	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. Further reporting will come forward in the next quarter on lessons learnt and recovery and renewal	23/11/21 - Changes to Control Assessment

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LR21	<b>Construction Resources and Skills shortages</b> - 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 Jenkins	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.	23/11/2021 - No changes
LR22	<b>Deprivation of Liberty Authorisations (Care Homes and Community)</b> We may be unable to fulfil our legal duty to vulnerable adults in care homes, hospitals and the community by completing authorisations for deprivation of liberty for those who lack capacity to consent to their care and support arrangements.	Insufficient resource to complete assessments and prepare Court applications in light of the dramatic increase in scope of qualifying criteria following the Cheshire West judgment. Non-compliance with legal duties leading to potential risk of litigation, damages and reputational damage. Delays mean person is deprived of their liberty without assessment and authorisation.	3	5	15	a. Substantive team in place to complete assessments for DOLS and community cases requiring applications to the Court of Protection. b. All team members are qualified BIA's so can complete both statutory and community applications as required. c. LAS module for both workstreams - easier to manage and monitor performance as well as keep a live database of current cases. d. Triage referrals with highest priority given to people objecting to their care arrangements, subject to restraint or sedation, high levels of 1:1 or concerns about arrangements. e. Best Interests Assessor rota reinstated following Covid pandemic. f. agency staff recruited on temporary basis to assess longest waits.	Partial	Cllr J. Hannaby	Stephen Chandler	Melanie Pearce	2	5	10	NEW		Review of all outstanding cases to ensure correct prioritisation and allocation. Reinstatement of the BIA rota to increase throughput of assessments. Temporary recruitment of agency BIA's to assess longest waiting cases. Regular review of community DOL cases with providers to ensure accurate prioritisation.	20/10/2021 - No changes