

Corporate Risk Register

Key

RED RISK (>=15)

CLOSED RISK

Risk ID	Risk						Corporate Objective	Gross Risk		Residual Risk		Current Risk		Owner	Date Risk Reviewed	Proximity of Risk (Projects/ Contracts Only)
	Category-000-Service Area Code	Risk Title	Opportunity/Threat	Risk Description	Risk Cause	Consequence		Date raised	1 to 6	I	P	I	P			
CRR-001			Elections are not delivered to the required standards. There is an opportunity to enhance the Council's reputation with a smooth running 2010 election	Lack of documented processes, staff are not appropriately trained in those processes, increasing complex environment (concurrent elections create logistical issues), lack of resources from outside the council.	Reputation implications if elections are not administered correctly and positive implications if they are. Defence of results may be costly to the council if challenged in court, individual officers may be held personally responsible.	12-Jan-10	6	4	2	3	1	4	2	JT		
CRR-002			Declining role of district councils	Central government policy	Local strategies do not reflect the need of the city. Ability of the council to achieve objectives.	12-Jan-10	6	5	3	4	2	5	3	MB	31-Jan-11	
CRR-003			One organisation approach	Many changes in the council has created strength at a service level but there is a lack of cohesion across the council	Fragmented organisation. Efficiencies not driven out. Ability of the council to deliver objectives and to drive change and innovation.	12-Jan-10	6	4	4	3	2	4	4	JY	31-Jan-11	
CRR-004			Delivery of key projects = ability to deliver cross cutting projects	Recent adoption of Project Management methodology (experience in the council is minimal). Conflict between BAU and Project work. Process focused and not fully embedded.	Project methodology is not applied consistently across the council. Budget variations, volatility in results and benefits not realised. Board intervention. Council does not innovate or change. Ability of the council to deliver objectives.	12-Jan-10	6	4	3	3	2	4	3	JY	31-Jan-11	
CRR-005			Financial Reporting	Accounts qualified	Reputation 1) ability to borrow funds in the future (negative perception of the council's ability to manage its finances). 2) central governments view on unitary bid. 3) Lack of confidence in internal support	12-Jan-10	6	5	3	5	2	5	3	JY	31-Jan-11	
CRR-006			Supplier Management	Ability of the council to manage large contracts and to obtain best value from those contracts	Correctly identifying appropriate staff with corporate and commercial awareness to manage contracts (where balancing reduction in staff with keeping best staff to manage contracts)	12-Jan-10	6	3	4	2	3	3	3	JY	31-Jan-11	
CRR-007			Health and Safety	Existence of operational risks (relating to internal as well as public concerns - property not vehicle).	Health and Safety practices are not robust enough. Under investment in property, potential lack of clarity of accountability and of ownership of health and safety	12-Jan-10	1, 3	4	3	2	2	3	3	MB	31-Jan-11	
CRR-008			Innovation	Ideas are not challenged, innovation is not used to drive change	Lack of staff knowledge/motivation to make calculated, risk based, decisions and to speak up about ideas, changes and challenges	12-Jan-10	6	4	4	3	2	4	4	PS	31-Jan-11	

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CRR-009	Macro impact of recession	T	Increasing cost and financial pressures on the council combined with increasing pressure to deliver. Hardening attitude of public/press (unsympathetic climate). Opportunity to take tough decisions to stop doing non essential programmes of work. Impact of Housing Benefit changes to admin grant and council tax subsidy, and universal HB.	Reduction in income funds (decrease in central government grants, income on investments, commercial rents, car parks, money from sale of land) plus increase in costs (benefits, pensions, homelessness, cost of services contracted out). Council achievements (including demonstrating good value for money) are not clearly and regularly shared. Market response to the interim emergency budget due 22nd June 2010.	Ability to deliver councils objectives	12-Jan-10	6	4	3	2	2	3	3	JY	31-Jan-11	
CRR-010	Carbon Management/Climate Change	O	Opportunity to develop Low Carbon City status and to share best practices outside organisation	Missed opportunity to drive change and hold the Council in exemplar status	Impact of climate change will be greater (more floods/higher insurance costs, rising temperatures, negative impact on health and the economy). Ability to use this opportunity to leverage some weight and enhance the reputation of the Council and to create an income opportunity and savings opportunity	12-Jan-10	5	4	4	3	3	4	4	TS	31-Jan-11	
CRR-011	Community Cohesion Erodes	T	Macro pressures create tension in communities. Changes in central government may heighten the impact. Opportunity to pre-empt issues and exploit situation to develop further cohesion.	Pressures on spending, increased inequalities, changes in society make up/demographics of the city (including increased immigration), change in socio-economic trends	Racial tension, group reactions, increased immigration. Increased costs of policing and community safety programmes. Councils ability to respond (due to financial pressures) will be reduced. Negative press and reputation implications at a localised level. Heightened tension on migrant workers in HMOs (buildings in multiple occupancy).	12-Jan-10	3, 4	4	4	2	2	4	4	MB	31-Jan-11	
CRR-012		T	Inability to achieve savings in budget	Significant efficiency savings and service reductions as a result of Comprehensive Spending Review	Increased use of balances or further reductions to be identified	31-Oct-10	6	4	3	3	3	3	3	JY	31-Jan-11	
CRR-013	Homelessness Projects	T	Substantial fall in funding level for homelessness projects	Geographical redistribution of Supporting People funding for homelessness on a basis which does not reflect need in the city, coupled with ongoing reductions of almost £1m in SP budget for homelessness and generic floating support over next two years, coupled with potential further reductions in funding for this programme from central government		1-Dec-09	1	5	3	4	3	4	4	MB	31-Jan-11	
CRR-014	Management of HRA reform and self-financing	T	That the self financing regime is difficult to administer and the 30 year cashflow is not favourable to the council	From the 1st April 2012 the HRA subsidy system is replaced with self financing, this entails the council taking on £200m of debt, keeping the income from rents and self financing the service		31-Jan-11	6	4	3	4	3	4	3	JY	31-Jan-11	

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CRR-015	Overspends on construction related projects	T	There are a number of large construction projects planned to be undertaken by the Council, the cost of these may rise in the current economic climate due to increased prices	Increase in prices of current contract over and above those already agreed. Collapse of major contractors already engaged	overspend due to increase prices or the need to retender for further contractors to complete the work	31-Jan-11	6	4	3	4	3	4	3	MB	31-Jan-11	
CRR-016	Capital Receipts	T	The risk that anticipated capital receipts will not be received, either to the full expected value or in the timescales expected	Declining market for sale of properties/buildings	reduction in capital receipts received and this could have an adverse impact on the ability to achieve the current capital programme	31-Jan-11	6	4	3	4	3	4	3	MB	31-Jan-11	
CRR-017	Impact of other public sector bodies cutting their services	T	The County Council and other public sector bodies are cutting their services due to the CSR cuts and this may have an impact on the services that we provide	The CSR cuts and the impact that these have on all organisations within the public sector	increase requirement to provide services to the public that other public sector bodies may have previously provided	31-Jan-11	6	4	3	4	3	4	3	PS	31-Jan-11	
CRR-018	ICT Failure	T	increased flexible working and the requirement for ICT structure and support to enable this to work efficiently	ICT are not able to provide the required support needed	Loss of working days due to the ICT systems not being available as members of staff are working from home or remotley	31-Jan-11	6	4	3	4	3	4	3	JY	31-Jan-11	
CRR-019	Document Desrtruction and storage of documents	T	Disorganised/irresponsible destruction of legal documents, and failure to reduce volume of documents stored	Decisions taken to destroy documents by staff without appropriate expertise or without proper consideration because of time constraints of implementing office accomodation strategy	Inability to prove title to land/ enforce obligations. Delay to/ unable to proceed with corporate project. Failure to comply with statutory requirements. Litigation + adverse costs. Disorganised.irresponsible destruction of docum,ents. Inability to prove/enforce obligations. Delay to/inability to proceed with corporate project. Failure to comply with statutory timescales	1-Apr-10	6	4	3	4	3	4	3	JT	27-Oct-10	

DRAFT Corporate Risk Register - Action Plans

ACTIONS MUST BE 'SMART'

Specific, Measurable, Achievable, Realistic and Time bound

Key
CLOSED ACTION/Risk

Risk ID	Risk Title	Action Owner	Accept, Contingency, Transfer, Reduce or Avoid	Details of Action	Key Milestones	%Action Complete	Date Reviewed
CRR-001	Delivery of successful Elections	JJT	Reduce	Development of project plan for managing the elections and associated tasks	Weekly meetings - project completion 30 April 2010		20/01/2011
CRR-001	Delivery of successful Elections	JJT	Reduce	Delivery of training/briefing sessions to ensure common understanding. Briefing sessions/training for staff working on the day who will then train individual volunteers	31-Mar-10		20/01/2011
CRR-001	Delivery of successful Elections	JJT	Reduce	Written instructions developed for polling card delivery	28-Feb-10		20/01/2011
CRR-001	Delivery of successful Elections	JJT	Contingency	Recruitment process for support volunteers in three steps: 1. Approach previous volunteers 2. Extend out to others 3. business volunteers (currently no reliance placed on business volunteers)	31-Mar-10		20/01/2011
CRR-001	Delivery of successful Elections	JJT	Reduce	Forum set up for dialogue with candidates agents to resolve any issues/concerns earlier	31-May-10		20/01/2011
CRR-001	Delivery of successful Elections	PMcQ	Reduce	Explore opportunities for +ve press with successful and smooth running election	31-Mar-10		20/01/2011
CRR-002	Declining role of district councils	JC	Reduce	Deliver best in class service/exemplar status through Low Carbon City	See risk CRR-010	50%	20/01/2011
CRR-002	Declining role of district councils	MB	Reduce	Develop 5 year strategy plan for achieving unitary bid	First stage high level plan development 30-April-10	100%	20/01/2011
CRR-002	Declining role of district councils	MB	Reduce	Develop stronger relationship with new Vice Chancellor to create a greater collaborative approach. Work with Oxford University to develop the Councils standing as best in class/exemplar status.	1) Meet with new VC of Oxford University 31-May-10. 2) Share plans for exemplar status and obtain buyin/support from Oxford University and develop/agree next step 30-Sept-10	1)100% 2)40%	20/01/2011
CRR-002	Declining role of district councils	MC-B	Reduce	Deliver best in class service/exemplar status through Community Development	Implementation of regeneration framework 1- May-10	100%	20/01/2011
CRR-003	One organisation approach	JY	Reduce	Centralisation of support services. Vision for Corporate Functions' to be developed	1) 'Vision for Corporate Functions' to be presented to CMT end June. 2) update action plan with further actions following CMT comment.	1) 30 Jun 10. 2) 15 Jul 10	20/01/2011
CRR-003	One organisation approach	SH	Reduce	Quality appraisals for all staff	All staff appraised by 31/03/2010 using new scheme	75%	20/01/2011
CRR-003	One organisation approach	SH	Reduce	Embedding of behavioural framework	New values rolled out by May 2010	100%	20/01/2011
CRR-003	One organisation approach	SH	Reduce	Staff survey action plans	Plans in place by June 2010	75%	20/01/2011
CRR-003	One organisation approach	SH	Reduce	Service area workforce plans	Plans in place by June 2011	30%	20/01/2011

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CRR-003	One organisation approach	SH	Reduce	Corp & service area training plans	Plans in place by June 2010	100%	20/01/2011
CRR-003	One organisation approach	SH	Reduce	OFTF programme	OFTF moves underway by 31/03/2011	50%	20/01/2011
CRR-003	One organisation approach	SH	Reduce	Action on selling Council "proposition"	Marketing campaign on benefits of working for OCC during summer 2011	0%	20/01/2011
CRR-003	One organisation approach	SH	Reduce	Develop staff through corporate management development training	Roll out programme (all managers commenced by 31-Dec-10)	75%	20/01/2011
CRR-004	Delivery of key projects	JL	Reduce	Development of corporate approach to project management via a corporate project management office.	Submit 'Vision for Corporate Functions' to CMT End June	100%	20/01/2011
CRR-004	Delivery of key projects	JL	Reduce	Development of a business partner model to project management using centre of knowledge within the Project Management office	Update actions following on from approval of 'Vision for Corporate Functions' End June	100%	20/01/2011
CRR-004	Delivery of key projects	SH	Reduce	Develop clear roles, responsibilities and job descriptions/expectations for managers, heads of, directors	Dec-10	10%	20/01/2011
CRR-004	Delivery of key projects	SS	Reduce	Development of options appraisal methodology for capital projects	30-Apr-10	100%	20/01/2011
CRR-005	Financial Reporting	SF	Reduce	Develop approach for improved planning and communication.	31-Mar-10	80%	20/01/2011
CRR-005	Financial Reporting	SF	Reduce	Identify issues within previous years audits and resolve them	31-Mar-10	50%	20/01/2011
CRR-005	Financial Reporting	SF	Contingency	Identification of likely and new issues. Develop contingency plans.	31-Mar-10	50%	20/01/2011
CRR-005	Financial Reporting	SF	Reduce	1) Plan set for improved standards of control through use of internal auditors.2) Include review of 2009/2010 return process at account close following external audit	1) 30/04/2010 2) 30-Oct-10	60%	20/01/2011
CRR-006	Supplier Management	JL	Reduce	Development and approval of procurement strategy. Ensure consistent approach towards supplier management across the organisation.	1) CEB approval of strategy 15-feb-10. 2) Develop operation principles for contract management to apply to all contracts 30-June-10. 3) Agree with internal audit programme of audit 31-May-10	1) 2) 3)	20/01/2011
CRR-006	Supplier Management	JL	Reduce	Implement standard contract documentation and approach (based on 4Ps approach to contract management)	CEB approval of strategy 15-feb-10	100%	20/01/2011
CRR-006	Supplier Management	JL	Reduce	centre of excellence for relationship management.	excellence in conjunction with HR 31-May-10		20/01/2011
CRR-006	Supplier Management	JL	Reduce	Implement a mentoring/work shadowing programme where expertise can be shared with new contract managers.	1) Identify experts 30-April-10. 2) Trial mentoring programme 31-May-10. 3)Roll out mentoring programme 30-June-10	1) 2) 3)	20/01/2011
CRR-007	Health and Safety	SS	Reduce	Establish Corporate Asset Management Group to create a joined up approach towards management of Corporate Assets	Group first meeting 28-Feb-10	100%	20/01/2011
CRR-007	Health and Safety	SS	Reduce	Develop a corporate approach towards health and safety	Agree detailed actions with HR - 31-March-10	100%	20/01/2011

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CRR-007	Health and Safety	SS	Reduce	Create 'one view' of all corporate assets (issues, status of building, budget, work required, timescales). 'One view' being everything documented in consistent and understandable format which can be shared across organisational boundaries.	One view developed 31-Aug-10	20%	20/01/2011
CRR-008	Innovation	BB	Reduce	Encourage learning during and at the end of projects and share this learning.	1) Development of lessons learnt practices in project/programme management via CMPG 30-June-10. 2) Roll out lessons learnt practice via CMPG 31-July-10	1) 2)	20/01/2011
CRR-008	Innovation	BB	Reduce	Share successful innovation and best practice	Develop actions for how to achieve 31-May-10		20/01/2011
CRR-008	Innovation	JH	Reduce	Develop staff awareness and understanding of good risk management practices (risk based decisions)	Roll out appropriate training to all identified key staff 31-July-10	30%	20/01/2011
CRR-008	Innovation	SH	Reduce	Develop staff through corporate management training programme	Roll out programme to all managers 31-Dec-10	75%	20/01/2011
CRR-008	Innovation	SH	Reduce	Development of staff awards scheme	Consider introduction as conference 2010	100%	20/01/2011
CRR-009	Macro impact of recession	PG	Reduce	Monitor adequacy of recession funding recognise trends in key income lines and capture any adjustments needed to base budgets	Q1 report July 10	10%	20/01/2011
CRR-009	Macro impact of recession	PG	Reduce	Prioritise capital schemes within Prudential Borrowing limits. Decision already taken to hold capital receipts in reserve.	Corporate assets board to review capital programme June 2010.30/06/2010	10%	20/01/2011
CRR-009	Macro impact of recession	PG	Reduce	Understand impact & model June 22nd Emergency Budget	30-Jul-10	100%	20/01/2011
CRR-009	Macro impact of recession	PG	Reduce	Impact of spending changes on MFTS. Spending review to be completed in Autumn	30-Oct-10	100%	20/01/2011
CRR-009	Macro impact of recession	SF	Reduce	Review investment & borrowing strategy and then treasury strategy in light of latest economic position.	30-Jun-10	100%	20/01/2011
CRR-009	Macro impact of recession	TS	Reduce	Simalto modelling with Members to inform choices in advance of 2011-12 budget	Sep-10	0	20/01/2011
CRR-010	Carbon Management/Clim ate Change	JC	Reduce	Calculation of internal benefits to Low Carbon City	Documented financial and target/environmental benefits 31-Aug-10	0	20/01/2011
CRR-010	Carbon Management/Clim ate Change	TS	Reduce	Share best practice with other organisations offering the service of advice/consultancy	Consultancy services being utilised outside organisation 30-June-11	50%	20/01/2011
CRR-010	Carbon Management/Clim ate Change	TS	Reduce	Build vision of 'Low Carbon Economy'	Development of plan to achieve vision 30-Sept-10	50%	20/01/2011
CRR-011	Community Cohesion Erodes	JC	Reduce	Implement enhanced HMO licensing to tackle multiple occupation issues.	1) Central Government grant power to the Council 30-Apr-10 2) Adoption of Licensing Scheme 30-Sept-10	10%	20/01/2011

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CRR-011	Community Cohesion Erodes	M FB	Reduce	Support implementation of Mantra by County Council (a system used to build understanding of diversity across the council.).	Document dates for implementation from 31-June-10	50%	20/01/2011
CRR-011	Community Cohesion Erodes	MN	Contingency	Develop contingency plans for anticipated incidents	1) Scenarios Developed 31-May-10 2) Plans developed and agreed 31-July-10 3) Scenarios/plans tested 30-Sept-10	1) 2) 3)	20/01/2011
CRR-011	Community Cohesion Erodes	VJ	Reduce	Take positive best practice from Connecting Communities programme and expand out to other areas at risk	1) Document best practice 31-May-10. 2) Identify other areas at risk 31-Jun-10 3) Develop plan to implement into other areas 30-Sept-10	1) 2) 3)	20/01/2011
CRR-012	Failure to achieve budget reductions over four year period	NK/MW/GC /JR/PJ	avoid	Close monitoring of budget especially savings	First monitor of new year May 2011	1-May-11	
CRR-013	Homelessness Projects	Head of Service	A	Membership of Core Strategy Group/ Commission body	Continued funding of homelessness projects on basis of levels of need	100%	04-Jan-11
CRR-013	Homelessness Projects	Head of Service	A	Continued lobbying at Core Group and Commissioning Body	Continued funding of homelessness projects on basis of levels of need	100%	04-Jan-11
CRR-013	Homelessness Projects	Head of Service	A	Use of veto if budget decisions based on any measure of need which does not reflect true levels of need	Continued funding of homelessness projects on basis of levels of need	0%	04-Jan-11
CRR-014	Management of HRA Reform	Head of Service	T	Respond to consultation, Finance Involvement, engage external consultancy assistance, brief stakeholders	Respond to consultation 31/3/2011 prepare business plan 31/3/2011, understand how to take on debt	50%	04-Jan-11
CRR-015	Overspends on construction related projects	Head of Service	T	Robust business cases, strong project management, monitoring of costs during construction	Robust review of Business cases through AMP Group	45%	04-Jan-11
CRR-016	Capital receipts	Head of Service	T	Robust monitoring via Asset Management Planning Group, sensitise data	Regular reporting to AMP Group	50%	20/01/2011
CRR-017	Impact of other public sector bodies cutting services	Head of Service	T	Linkages with County and other Districts, understand impact of cuts and plan accordingly	Understanding budgets	50%	20/01/2011
CRR-018	ICT Failure	Head of Service	T	Suitable business recovery plans		50%	20/01/2011
CRR-019	Document Destruction and storage of documents	Head of Service	T	Senior Management involvement in approval to destroy documents. Document retention policy known	Respond to consultation 31/3/2011 prepare business plan 31/3/2011, understand how to take on debt	60%	20/01/2011

Risk ID Categories

CRR-000	Corporate Risk Register
SRR-000	Service Risk Register
CEB-000	CEB reports
PRR-000	Project/Programme Risk Register
PCRR-000	Planning Corporate Risk Register
PSRR-000	Planning Service Risk Register

Service Area Codes

PCC	Policy, Culture & Communication	CS	Customer Services
CD	City Development	FI	Finance
CHCD	Community Housing & Community Development	BT	Business Transformation
CA	Corporate Assets	PS	Procurement & Shared Services
OCH	Oxford City Homes	CP	Corporate Performance
CW	City Works	LG	Law and Governance
ED	Environmental Development	CRP	Corporate Secretariat
CL	City Leisure	PE	People & Equalities

Corporate Objective Key

- 1: More Housing Better Housing for all
- 2: Stronger & more inclusive communities
- 3: Improve the local environment, economy & quality of life
- 4: Reduce anti-social behaviour
- 5: Tackle climate change & promote environmental resource management
- 6: Transform OCC by improving value for money and Service performance