

Formal Risk Summary

Corporate Risk Register

201

Title	Risk description	Risk			Owner	Gross		Current		Residual		Mitigating Actions	Controls		
		Opp/ threat	Cause	Consequence		I	P	I	P	I	P		Due date	Progress	Action Owner
ICT resilience	Resilience of ICT function - managing projects and improvements alongside business as usual	T	numerous projects running concurrently across the Council all needing ICT support; limited resources and vacant posts within ICT	Inability to provide good quality and consistent service	Jackie Yates	4	4	4	3	4	2	Projects are prioritised within available resources, and an ongoing project work plan is in place, as approved by CMT.	31/3/14	100%	Jane Lubbock
												Regular reporting on progress of key projects to Organisational Development Board, by way of highlight reports	31/3/14	100%	Jane Lubbock
												Cross skilling of staff in ICT and BIT	30/6/14	20%	Jane Lubbock
												Transfer helpdesk to County to increase capacity	30/9/13	95%	Jane Lubbock
												Rationalise number of applications requiring support	30/9/14	0%	Jane Lubbock
												Ensure key posts are filled in ICT	31/12/13	70%	Jane Lubbock
Robustness of Medium Term Financial Plan	Medium Term Financial Plan savings not delivered and pressures not accurately recorded	T	ongoing Central Government cuts and current savings not being met	Inability to produce a balanced budget, or further saving needing to be made in the future	Jackie Yates	4	3	3	3	3	2	Annual review of the Medium Term Financial plan to confirm savings are deliverable and pressures recorded	December 2013	10%	Nigel Kennedy
												Produce accurate, timely monitoring reports	31/12/13	50%	Nigel Kennedy
												Ensure key stakeholders are kept upto date on progress of plan and monitoring	31/12/13	50%	Nigel Kennedy
												Ensure action plans in place for delivery of savings	30/9/13	75%	Nigel Kennedy
Adverse Weather	the impact of adverse weather on service delivery and adverse financial impact on Council	T	increase risk of flooding and other adverse weather conditions	affecting service delivery, increased cost, resource shortfall	Tim Sadler	4	3	4	3	4	2	Ensure early warning processes are in place to advise of early warning systems	30/9/13	80%	John Copley
												Emergency Planning Team set up	April 2013	100%	Jeremy Thomas
												Set aside budget	April 2013	100%	Nigel Kennedy
Welfare Reforms	Changes to legislation regarding Welfare Reform will impact financially, directly and indirectly on the Council	T	Changes in Legislation	increased homelessness; increase costs; increase arrears; increase DHP payments	Jackie Yates	4	4	4	3	4	3	Ensure learning from pilots is communicated and acted upon across the organisation	April 2014	20%	Helen Bishop
												Review DHP policy	April 2013	100%	Helen Bishop
												Monthly reporting of rent arrears, DHP allocations	April 2014	100%	Helen Bishop
												Monthly review of impact on stakeholders, council tenants and council tax payers	Jul 2013	100%	Helen Bishop
												Commission review of welfare reforms on Oxford residents	April 2014	50%	Helen Bishop
												Engagement with third sector and other partners to ensure coordinated approach to service delivery	April 2014	20%	Helen Bishop
												Update financial impact on council in MTFS	31/12/13	30%	Helen Bishop
												Establish robust methodology for project management using PRINCE 2 principles through Capital Asset Management Group	31/12/13	30%	Jane Lubbock
Managing Capital Projects and Contract Management	The need to ensure efficient management of capital projects and contracts	T	Poor Governance on major projects	Cost overruns; non delivery of projects; slippage of projects, cost to the authority	David Edwards	4	4	4	3	4	2	Ensure staff undertaking projects are appropriately trained	31/12/13	0%	Jane Lubbock
												Review procedures for approving and monitoring projects	31/3/14	0%	Nigel Kennedy
												Business Continuity Plans are up to date and reviewed for consistency/compatibility	31/12/13	50%	Jeremy Thomas
Emergency Planning and Business Continuity	Failure to ensure Emergency Planning and Business Continuity procedures are in place, tested and robust	T	inadequate plans, not tested, not kept up to date. System failures, failure of partners to deliver services	Civil unrest; impact on service delivery	Jackie Yates	4	3	3	3	3	2	Regularly review Emergency plan contacts list to ensure up to date	31/12/13	50%	Jeremy Thomas

												Ensure Emergency Planning procedures and Business Continuity plans are tested annually	31/3/14	0%	Jeremy Thomas
Health & Safety of People	Health & Safety of People	T	not maintaining a robust Health & Safety policy, and ensuring it is carried out in all service areas.	increase cost; potential financial penalties; potential insurance claims	Jackie Yates	4	3	3	3	3	3	Ensure Health and Safety Policy is reviewed and kept up to date	1/4/13	100%	Simon Howick
												Ensure bi-annual workplace assessments are up to date	31/03/14	50%	Simon Howick
												Ensure H&S training undertaken by new staff and regular refreshers delivered either on line or toolbox talks eg fire/first aid arrangements	30/9/13	50%	Simon Howick
Health & Safety of Property	Health & Safety of Property	T	not maintaining a robust Health & Safety policy, and ensuring it is carried out in all service areas.	increase cost; potential financial penalties; public safety in public buildings; potential insurance claims	David Edwards	4	3	3	3	3	3	Ensure statutory H&S risk areas around fire risk assessment, asbestos, water are regularly reviewed and reported to CAMG	quarterly	50%	Stephen Clarke
												Ensure H&S policy is reviewed and kept upto date relating to staff and building	31/3/14	0%	Simon Howick
												Training of staff to be carried out using ilearn and other forms such as MPG session	31/3/14	0%	Simon Howick
Fraud	Risk of fraud against the council	T	Internal fraud by staff, cyber attacks on councils ICT systems, fraudulent claims for council tax and housing benefits and council tax discounts, fraudulent claims for payment	Reputation; Cost	Jackie Yates	4	3	3	3	3	2	Ensure internal policies around preventing bribery fraud and corruption, whistle blowing and money laundering are annually reviewed and communicated to staff	March 2014	0%	Nigel Kennedy
												Raise awareness with staff of fraud issues	31/12/13	50%	Nigel Kennedy
												Annual review of procedures for combating fraud by internal audit	31/3/14	0%	Nigel Kennedy
												Regular reporting to Audit and Governance Committee	31/4/14	25%	Nigel Kennedy
												Training of staff to be carried out using ilearn and other forms such as MPG session	31/12/13	50%	Nigel Kennedy
Data Protection	risk of breaching the Data Protection Act	T	Staff not being aware of the policy; being careless with data	Reputation; financial penalties	Jackie Yates	4	3	3	3	3	2	Review data protection policy	30/6/13	100%	Jane Lubbock
												Raise awareness and training of staff by the use of ilearn.	31/12/13	50%	Jane Lubbock
												Obtain and retain Public Service Network compliance	30/10/13	80%	Jane Lubbock
												Raise awareness and training of staff, carrying out a session at MPG	30/6/13	100%	Jane Lubbock
Managerial Capacity	Managers become overstretched lose sight and focus on service delivery and performance suffers	T	Too many competing priorities, lack of capacity to deliver	Services are not delivered or not delivered effectively. Additional costs are incurred by the council. Customers unrest with service delivery, higher complaints	Peter Sloman			4	2			Ensure managers are adequately trained for the tasks in hand	31/03/14	80%	Simon Howick
												Ensure appropriate arrangements in place for prioritising work and allocating appropriate resources, and deprioritising other work	31/03/14	80%	Simon Howick
												Ensure sufficient financial and staffing resources for the tasks being undertaken	31/03/14	80%	Simon Howick