Formal Risk Summary

(Oxford)

As at: Dec-2013

Ref	Title	Risk description	Opp/ threat	Cause	Consequence	Date Raised	Owner	Gross I	Gross P	Current I	Current P	Residual I	Residual P	Comments	Control description	Due date	Status	Progress	Action Owner
CRR-019	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	1-Apr-2013	Jacqui Yates	4	4	3	3	3	2		Cross skilling of staff in ICT and BIT	30-Jun-2014	In Progress	60%	Jane Lubbock
															Ensure key posts are filled in ICT	31-Mar-2014	In Progress	90%	Jane Lubbock
															Projects are prioritised within available resources, and an ongoing project work plan is in place, as approved by CMT.	31-Mar-2014	In Progress	100%	Jane Lubbock
															Rationalise number of applications requiring support	30-Mar-2015	In Progress	10%	Jane Lubbock
															Regular reporting on progress of key projects to Organisational Development Board, by way of highlight reports	31-Mar-2014	In Progress	100%	Jane Lubbock
															Transfer helpdesk to County to increase capacity	30-Sep-2013	Completed	100%	Jane Lubbock
CRR-020	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	1-Apr-2013	Jacqui Yates	4	3	3	3	3	2		Annual review of the Medium Term Financial plan to confirm savings are deliverable and pressures recorded	31-Mar-2014	In Progress	95%	Nigel Kennedy
															Ensure action plans in place for delivery of savings	30-Dec-2014	Ongoing	90%	Nigel Kennedy
															Ensure key stakeholders are kept upto date on progress of plan and monitoring	31-Dec-2013	Completed	100%	Nigel Kennedy
															Produce accurate, timely monitoring reports	31-Dec-2013	Completed	100%	Nigel Kennedy
CRR-021	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	1-Apr-2013	Tim Sadler	4	3	4	2	4	2		Emergency Planning Team set up	1-May-2013	Completed	100%	Jeremy Thomas
															Ensure early warning processes are in place to advise of early warning systems	30-Sep-2013	Completed	100%	John Copley
															Set aside budget	1-May-2013	Completed	100%	Nigel Kennedy
CRR-023	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	1-Apr-2013	David Edwards	4	4	3	3	3	3		Ensure staff undertaking projects are appropriately trained	31-Mar-2014	In Progress	50%	Jane Lubbock
															Establish robust methodology for project management using PRINCE 2 principles through Capital Asset Management Group	31-Mar-2014	In Progress	50%	Jane Lubbock
															Review procedures for approving and monitoring projects	31-Mar-2014	In Progress	80%	Nigel Kennedy
CRR-025	Health & Safety of People	Health & Safety of People	T	Not maintaining a robust Health & Safety policy, and ensuring it is implemented across all service areas.	Increase cost; potential financial penalties; potential insurance claims	1-Apr-2013	Jacqui Yates	4	3	3	3	3	3		Ensure bi-annual workplace assessments are up to date	31-Mar-2014	In Progress	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-Sep-2014	In Progress	50%	Simon Howick
															Ensure Health and Safety Policy is reviewed and kept up to date	1-Apr-2013	Completed	100%	Simon Howick
CRR-026	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	1-Apr-2013	David Edwards	4	3	3	3	3	3		Ensure H&S policy is reviewed and kept upto date releting to staff and building	31-Mar-2014	Completed	100%	Simon Howick
															Ensure statutory H&S risk areas around fire risk assessment, asbestos, water are regularly reviewed and reported to CAMG	31-Mar-2014	Completed	100%	Stephen Clarke
															Training of staff to be carried out using ilearn and other forms such as MPG session	31-Mar-2014	Closed	0%	Simon Howick
CRR-027	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	1-Apr-2013	Jacqui Yates	4	3	3	3	3	2		Annual review of procedures for combating fraud by internal audit	31-Mar-2014	Completed	100%	Nigel Kennedy
															Ensure internal policies around preventing bribery fraud and corruption, whistle blowing and money laundering are annually reviwed and communicated to staff	31-Mar-2014	In Progress	80%	Nigel Kennedy
															Raise awareness with staff of fraud issues	31-Mar-2014	In Progress	75%	Nigel Kennedy
															Regular reporting to Audit and Governance Committee	1-May-2014	Completed	100%	Nigel Kennedy
															Training of staff to be carried out using ilearn and other forms such as MPG session	31-Mar-2014	In Progress	90%	Nigel Kennedy
CRR-028	Data Protection	Risk of breaching the Data Protection Act	T	Staff not being aware of the policy; being careless with data	Reputation; financial penalties	1-Apr-2013	Jacqui Yates	4	3	3	3	3	2		Obtain and retain Public Service Network compliance	30-Oct-2013	Completed	100%	Jane Lubbock
															Raise awareness and training of staff by the use of ilearn	31-Mar-2014	In Progress	70%	Jane Lubbock
															Raise awareness and training of staff, carrying out a session at MPG	30-Jun-2013	Completed	100%	Jane Lubbock
															Review data protection policy	30-Jun-2013	Completed	100%	Jane Lubbock
CRR-029	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	1-Apr-2013	Peter Sloman	4	3	4	2	3	3		Ensure appropriate arrangements in place for prioritising work and allocating appropriate resources, and deprioritising other work	31-Mar-2014	In Progress	80%	Simon Howick
															Ensure managers are adequately trained for the tasks in hand	31-Mar-2014	In Progress	80%	Simon Howick
															Ensure sufficient financial and staffing resources for the tasks being undertaken	31-Mar-2014	In Progress	80%	Simon Howick
CRR-022	Welfare Reform	Changes to legislation regarding Welfare Reform will impact financially, directly and indirectly on the Council	T	Changes in Legislation	Increased homelessness; increased costs; increased arrears; increased DHP payments	1-Apr-2013	Jacqui Yates	4	4	3	2	3	2		Commission review of welfare reforms on Oxford residents	1-May-2014	In Progress	75%	Helen Bishop
															Engagement with third sector and other partners to ensure coordinated approach to service delivery	1-May-2014	In Progress	75%	Helen Bishop
															Ensure learning from pilots is communicated and acted upon across the organisation	1-May-2014	In Progress	95%	Helen Bishop
															Monthly reporting of rent arrears, DHP allocations	1-May-2014	Ongoing	100%	Helen Bishop
															Monthly review of impact on stakeholders, council tenants and council tax payers	31-Jul-2013	Completed	100%	Helen Bishop
															Review DHP policy	1-May-2013	Completed	100%	Helen Bishop
															Update financial impact on council in MTFS	31-Dec-2013	Completed	100%	Helen Bishop
CRR-024	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	1-Apr-2013	Jacqui Yates	4	3	3	2	3	2		Business Continuity Plans are up to date and reviewed for consistency/compatability	31-Mar-2014	In Progress	80%	Jeremy Thomas
															Ensure Emergency Planning procedures and Business Continuity plans are tested annually	31-Mar-2014	In Progress	25%	Jeremy Thomas
															Regularly review Emergency plan contacts list to ensure up to date	31-Dec-2014	Ongoing	100%	Jeremy Thomas

Current Risk Score

risk is first identified it will be the same as the gross risk score. The current risk score is tracked to made to manage the risk and reduce the Council's exposure.

Residual Risk Score

ce. The residual risk score shows how effective your action plans are at managing the risk.

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