

# Formal Risk Summary

(Oxford)

As at: Jan-2019

Ref	Title	Risk description	Risk			Date Raised	Owner	Gross		Current		Residual		Comments	Controls				
			Opp/ threat	Cause	Consequence			I	P	I	P	I	P		Control description	Due date	Status	Progress	Action Owner
CRR-033-18-19	Housing	The Council has key priorities around Housing including ensuring housing delivery and supply for the City and enabling sufficient house building and investment	T	Unable to deliver affordable and acceptable housing to a "required" standard	Insufficient housing in City Increase in homelessness Impact on residents Health and quality of life issues Adverse publicity Reputation Risk Perception of unfairness reinforces tensions around immigration	1-Jun-2018	Stephen Clarke	5	4	5	4	3	2		Both Real Lettings and OCCs own property fund purchases are on programme. A further tranche of property purchase to be delivered via real lettings in 18/19.	31-Mar-2019	In Progress	90%	Dave Scholes
															Rent Guarantee scheme launched and extended for a further 6 months with the long term funding for the scheme to be secured as part of the 19/20	13-Feb-2019	Completed	100%	Dave Scholes
															The Council together with other Oxfordshire Councils have secured a Growth Deal including £60m to facilitate additional affordable housing. 18/19 is year 1 of the delivery programme.	31-Mar-2019	In Progress	80%	Stephen Clarke
CRR-031-18-19	Economic Growth	Local, national or international factors adversely affect the economic growth of the City	T	Terms of and impact of exit from the EU and Single Market resulting in the termination or suspension of investment decisions	Uncertainty and loss of market access may result in increased cost of trade with EU leading to adverse local macro-economic & operating conditions resulting in reduced economic growth for the city, a weaker local economy, hampering our ability to raise revenue through business rates as well as significant job losses. Loss of funding for key economic & research programmes and well as reduced FDI flows. Uncertainty about future visa requirements for EU workers and visitors may reduce labour supply as well as tourist flows limiting growth prospects of key economic sectors in the city.	1-Jun-2018	Ian Gray	4	3	4	3	4	2	Lack of clarity from Central Government is hampering effective planning.	An informal Brexit impact group of key employers has been set up. We have also been feeding into various national papers and briefings which are designed to inform the government's negotiating position. Also undertaking business surveys	31-Mar-2019	In Progress	10%	Ian Gray

### Current Risk Score

This is the risk score at the time that the risk is reviewed. When the risk is first identified it will be the same as the gross risk score. The current risk score is tracked to ensure that progress is being made to manage the risk and reduce the Council's exposure.

### Residual Risk Score

This is the risk score after mitigating actions have taken place. The residual risk score shows how effective your action plans are at managing the risk.

# Formal Risk Summary

(Oxford)

As at: Jan-2019

Ref	Title	Risk description	Risk			Date Raised	Owner	Gross		Current		Residual		Comments	Controls				
			Opp/ threat	Cause	Consequence			I	P	I	P	I	P		Control description	Due date	Status	Progress	Action Owner
CRR-032-18-19	Balancing and Delivery of the Financial Plan	Unable to balance the Medium Term Financial Plan and hence deliver the Council's Corporate Plan priorities	T	"Reduced contribution from Council companies; Business Rates reform Local Government finance reform  Unachievable savings and income"	Increased use of balances to ensure that Council sets a balanced budget for next 4 years.Re-active action taken to bring budget back into line	1-Jun-2018	Nigel Kennedy	4	3	4	3	4	2		Ensure companies are on schedule to deliver returns to Council	31-Mar-2020	In Progress	50%	Nigel Kennedy
										Keep abreast of changes to Business rates reforms and Fair funding	31-Mar-2020	In Progress	20%		Nigel Kennedy				
										Regular monitoring of revenue and capital budgets and ensuring savings and increased income are on target	31-Mar-2020	In Progress	5%		Nigel Kennedy				
										Start budget setting early and drive savings in conjunction with members	30-Apr-2019	In Progress	10%		Nigel Kennedy				
CRR-034-18-19	Recruitment and retention of the workforce	The challenge of recruitment and retention in some service areas, and ensuring succession planning exists for critical hard to fill roles.	T	<ul style="list-style-type: none"> <li>Proximity to London</li> <li>High cost of housing</li> <li>Congested infrastructure and transport links</li> </ul>	Reduced capacity to deliver, especially in high profile projects	1-Jun-2018	Helen Bishop	3	4	3	3	3	2		Develop and implement improved recruitment processes [incl. use of social media, 'staff stories' and other promotional material]	31-Mar-2019	In Progress	25%	Paul Adams
										Develop employer brand	31-Mar-2019	In Progress	25%		Paul Adams				
										Develop greater understanding of reasons for staff leaving and obtain insight into their 'work experience' whilst at council	31-Mar-2019	In Progress	40%		Paul Adams				
										Development of 'talent pipeline' including work experience, apprenticeships, graduate placement, sponsoring students through qualification, etc.	31-Mar-2019	In Progress	40%		Paul Adams				
										Review of employment offer for hard to fill and specialist roles [pay, flexible working practices, employee benefits]	31-Mar-2019	In Progress	40%		Paul Adams				
										Establish robust system of shareholder and scrutiny meetings for wholly owned companies	30-Jun-2019	In Progress	40%		Anita J. Bradley				
CRR-036-18-19	Resilience of Trading Models	The Council Companies are not successful and fail to deliver outputs and financial returns	T	Lack of skilled direction from Directors; Lack of capacity Lack of commercial focus Shortfalls in income forecasts  Deficiencies in governance"	Reputational damage of failing companies Reduced financial returns to the Council impacting on MTFP	1-Jun-2018	Nigel Kennedy	4	3	4	3	4	2		Governance over all joint ventures and companies	30-Jun-2019	In Progress	40%	Nigel Kennedy
										Internal audit of companies review by BDO	28-Feb-2019	In Progress	80%		Nigel Kennedy				
										Presentation of updated business plan on a quarterly basis to shareholder - OCHL	31-Mar-2019	In Progress	80%		Nigel Kennedy				
										Presentation of updated business plan on a quarterly basis to shareholder - ODS	31-Mar-2019	In Progress	80%		Nigel Kennedy				
										Reporting to shareholder for Barton	31-Mar-2019	Not Started	0%		Nigel Kennedy				
										Reporting to shareholder for Oxwed	31-Mar-2019	Not Started	0%		Nigel Kennedy				
										Review dividend policy - OCHL	31-Mar-2019	In Progress	10%		Nigel Kennedy				

### Current Risk Score

This is the risk score at the time that the risk is reviewed. When the risk is first identified it will be the same as the gross risk score. The current risk score is tracked to ensure that progress is being made to manage the risk and reduce the Council's exposure.

### Residual Risk Score

This is the risk score after mitigating actions have taken place. The residual risk score shows how effective your action plans are at managing the risk.

# Formal Risk Summary

(Oxford)

As at: Jan-2019

Ref	Title	Risk				Date Raised	Owner	Gross		Current		Residual		Comments	Controls				
		Risk description	Opp/ threat	Cause	Consequence			I	P	I	P	I	P		Control description	Due date	Status	Progress	Action Owner
CRR-038-18-19	Business Continuity Planning and Disaster Recovery including ICT Recovery Plan	There is an adverse impact on continuous business operation due to unplanned events.	T	<ul style="list-style-type: none"> <li>Disruptive event hindering access to building.</li> <li>Disruptive event affecting full functionality of building.</li> <li>Major technology incident (physical or cyber).</li> </ul>	Non-delivery of business operation	1-Jun-2018	Helen Bishop	3	3	3	3	3	2		All Services to review and sign-off their BC plans to ensure up-to-date.	31-Mar-2019	In Progress	75%	Bill Lewis
															Assure ICT backup and restore capabilities	30-Sep-2018	Completed	100%	Rocco Labellarte
															CMT to approve software priority restoration list from all Services BC plans.	31-Mar-2019	In Progress	40%	Mike Newman
															Implement alternative software to CITRIX to allow homeworking for own user devices	31-Mar-2019	In Progress	95%	Rocco Labellarte
															Include ICT systems outages in business continuity plan tests.	1-Oct-2018	Completed	100%	Mike Newman
															Re-establish Risk Management Group	20-Feb-2019	Completed	100%	Bill Lewis
															Review existing ICT recovery plan to ensure up-to-date.	30-Sep-2018	Completed	100%	Rocco Labellarte
															Test BCP	31-Oct-2019	Not Started	0%	Bill Lewis
CRR-040-18-19	Climate Change - Flooding	Whilst the City Council is not the Lead Local Flood Authority (County Council) and flood response is primarily led by the EA, the city has a key reputational risk based on prevention, preparation, response, communication and clean up.	T	Oxford is prone to flood risk from fluvial or river sources (Cherwell and Thames/Isis) and in specific areas to pluvial or surface flooding from heavy rainfall. For fluvial flooding heavy rainfall upstream normally gives Oxford between 24-48 hours to prepare and respond with flood protection. There is no warning for pluvial flooding.	Dependent on the type and extent of flooding, highly weather dependent.	1-Jun-2018	Jo Colwell	4	3	4	3	3	3	Flood risks remain high given winter weather potential to lead to river flooding in Oxford.	Control measures relating to advocacy, clear communication, negotiation over our land assets, in particular at Seacourt and Redbridge Park and Ride sites (Seacourt extension/Redbridge as location for recycling transfer station)	31-Mar-2019	In Progress	50%	Jo Colwell
															Partnership with the EA led programme to deliver the Oxford Flood Alleviation Scheme	31-Mar-2019	In Progress	50%	Jo Colwell
															Reputational risk is shared across partners.	31-Mar-2019	In Progress	50%	Jo Colwell
CRR-042-18-19	Terrorism	Terrorist incident in the city (most likely in the city centre) that adversely affects normal life in the city, including a negative impact on the Council's business, or targets an individual event (e.g. May Morning, St Giles' Fair, events in South Park)	T	Oxford is an internationally known city and is a more likely target than cities and towns of a similar size. There are several areas where large numbers of people congregate - primary shopping areas and tourist attractions, transport hubs - that may be	Dependent on nature of attack and where it occurs. Could result in lock down of buildings, including Council offices, severe travel disruption, need to disperse large numbers of people (to places of safety). Non-delivery of Council services	1-Jun-2018	Tim Sadler	5	2	5	2	5	1		Council's emergency plan includes link to Crowded Spaces Evacuation Plan	31-Mar-2019	In Progress	90%	Mike Newman
															Emergency plans for Council-operated buildings include dealing with a terrorist attack.(including building lock-down procedure)	31-Mar-2019	In Progress	90%	Mike Newman
															Event plans include dealing with a terrorist attack.(including evacuation procedure)	31-Mar-2019	In Progress	90%	Mike Newman
															Physical barriers in place - temporary and permanent	31-Mar-2019	In Progress	50%	Mike Newman

### Current Risk Score

This is the risk score at the time that the risk is reviewed. When the risk is first identified it will be the same as the gross risk score. The current risk score is tracked to ensure that progress is being made to manage the risk and reduce the Council's exposure.

### Residual Risk Score

This is the risk score after mitigating actions have taken place. The residual risk score shows how effective your action plans are at managing the risk.

# Formal Risk Summary

(Oxford)

As at: Jan-2019

Ref	Title	Risk description	Risk			Date Raised	Owner	Gross		Current		Residual		Comments	Controls				
			Opp/ threat	Cause	Consequence			I	P	I	P	I	P		Control description	Due date	Status	Progress	Action Owner
				conducive and prone to attack										Respond to intelligence received	31-Mar-2019	Ongoing	100%	Mike Newman	
														Work with partners, particularly the Police and County Council, on mitigation measures	31-Mar-2019	In Progress	5%	Tim Sadler	
CRR-043-18-19	Cyber Attack	Cyber security incident which impedes the operation of the business	T	Global attack from outside the business Internal hacker	Non-delivery of business operation	1-Jun-2018	Helen Bishop	3	4	3	3	3	2	Carry out PSN remedial work.	30-Sep-2019	Ongoing	40%	Rocco Labellarte	
														Ensure any security breaches are dealt with appropriately, in line with policies.	30-Jun-2018	Ongoing	100%	Helen Bishop	
														Ensure cyber defences (firewalls, anti-virus, anti-malware, password protection, two-factor authentication) is in place	30-Jun-2018	Ongoing	100%	Rocco Labellarte	
														Ensure cyber security policies are in place.	30-Jun-2018	Ongoing	100%	Rocco Labellarte	
														Ensure PSN accreditation is achievable. Allocate funding as necessary to ensure remedial work can be delivered.	30-Jun-2019	In Progress	20%	Nigel Kennedy	
CRR-044-18-19	Health and Safety - Buildings	Failure to comply with the various H&S legislative requirements which ensure the safety of buildings	T	Inadequate training, poor systems and procedures, failure to robustly monitor performance and address this. Inadequate resourcing and skills. Inadequate maintenance of buildings	Corporate manslaughter. HSE investigation and substantial fines. Loss of reputation	1-Jun-2018	Stephen Clarke	4	4	4	3	3	2	Create a dedicated H&S team	30-Jun-2018	Completed	100%	Martin Shaw	
														Introduce a bespoke IT system for monitoring compliance	31-Mar-2019	In Progress	50%	Martin Shaw	
														Recruit experienced H&S Manager and other team vacancies	30-Sep-2018	Completed	100%	Martin Shaw	
														Regular programme of audits of performance to identify gaps in Process	30-Jun-2018	Ongoing	100%	Martin Shaw	
														Regular reporting of performance at corporate level	30-Jun-2018	Ongoing	100%	Martin Shaw	
														Review existing processes and systems	31-Mar-2019	In Progress	40%	Martin Shaw	

### Current Risk Score

This is the risk score at the time that the risk is reviewed. When the risk is first identified it will be the same as the gross risk score. The current risk score is tracked to ensure that progress is being made to manage the risk and reduce the Council's exposure.

### Residual Risk Score

This is the risk score after mitigating actions have taken place. The residual risk score shows how effective your action plans are at managing the risk.

## Formal Risk Summary

(Oxford)

As at: Jan-2019

Ref	Title	Risk description	Risk			Date Raised	Owner	Gross		Current		Residual		Comments	Controls				
			Opp/ threat	Cause	Consequence			I	P	I	P	I	P		Control description	Due date	Status	Progress	Action Owner
CRR-037-18-19	Local Government Reorganisation	Risk that the reorganisation or devolution is imposed to the detriment of the Council and the City	T	A bid for an Oxfordshire-wide unitary authority has been submitted to the Secretary of State. A counter-proposal has also been submitted. The government has confirmed it will not be making a decision on the proposals "until some future point", citing progress made through the Housing & Growth Deal partnership, which it wants to see embedded first. If the debate is re-ignited, it will pose a significant threat to collaborative working in Oxfordshire, and particularly to our ability to successfully deliver the Oxfordshire Housing and Growth Deal and to securing future investment in infrastructure.	If debate is reopened: - Significant distraction of resources and focus into making City's case in argument - Significant disruption to partnership working and loss of opportunities for significant infrastructure investment - Risk of weakened focus on Oxford's priorities in a single Unitary - Potential negative impact on community though loss of local accountability for investment and services	1-Jun-2018	Caroline Green	5	3	4	1	4	1	Oxon Authorities have said they are not actively pursuing the proposals, focusing instead on delivery of the Housing and Growth Deal. Given the time left before sunset clause expires, it is unlikely the proposals will be progressed under the "short cut route". Ministers have said they will confirm future processes in time.	Work with all Oxfordshire Authorities to develop a delivery plan for the deal & make the case to all councils for agreeing the Housing & Growth Deal. National & local government focus needs to be on supporting economic growth, infrastructure & housing.	31-Mar-2019	In Progress	60%	Caroline Green
CRR-039-18-19	Delivery of Services by External Suppliers/Partnerships / Supply Chain	The negative performance of suppliers has a direct impact on the Councils ability to achieve its goals	T	Failure of key supplier (i.e. Fusion) or reductions in funding and/or financial pressures on the councils critical service partners may place additional burdens /demands on the council and poorer services outcomes for citizens and potential risks to our supply chain.	Lack of coordinated response or weak relationships with partners leads to withdrawal of services, increasing the burden on City Council services and poorer outcomes for communities.	1-Jun-2018	Ian Brooke	3	3	3	2	3	2	We have been closely monitoring the contract with Fusion and met with their senior management team to make sure they have enough focus on driving improvements.  Signs so far are positive and usage is up by 28% compared to the same period last year.	Work collectively and coherently with key partners to find solutions.Effective relationship management across partners will help to manage risks around service delivery and reputational risk.	31-Mar-2019	In Progress	60%	Ian Brooke

### Current Risk Score

This is the risk score at the time that the risk is reviewed. When the risk is first identified it will be the same as the gross risk score. The current risk score is tracked to ensure that progress is being made to manage the risk and reduce the Council's exposure.

### Residual Risk Score

This is the risk score after mitigating actions have taken place. The residual risk score shows how effective your action plans are at managing the risk.

This page is intentionally left blank