

Formal Risk Summary

(Oxford)

As at: Mar-2015

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-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	2	3		Cross skilling of staff in ICT and BIT	30-Nov -2014	Ongoing	60%	Jane Lubbock
															Ensure key posts are filled in ICT	30-Sep -2014	Completed	100%	Jane Lubbock
															Projects are prioritised within available resources, and an ongoing project work plan is in place, as approved by CMT.	30-Nov -2014	Ongoing	100%	Jane Lubbock
															Rationalise number of applications requiring support	31-Mar -2015	In Progress	30%	Jane Lubbock
															Regular reporting on progress of key projects to Organisational Development Board, by way of highlight reports	30-Nov -2014	Ongoing	100%	Jane Lubbock
															Transfer helpdesk to County to increase capacity	30-Sep -2013	Completed	100%	Jane Lubbock
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	2	3		Ensure staff undertaking projects are appropriately trained	30-Dec -2014	Completed	100%	Jane Lubbock
															Establish robust methodology for project management using PRINCE 2 principles through Capital Asset Management Group	30-Oct -2014	Completed	100%	Jane Lubbock
															Introduction of a new Capital Gateway process for monitoring capital projects throughout the Council.	31-Mar -2015	In Progress	95%	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	2	3		Ensure bi-annual workplace assessments are up to date	31-Mar -2015	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	31-Mar -2015	In Progress	50%	Simon Howick
															Ensure Health and Safety Policy is reviewed and kept up to date	1-Apr -2015	In Progress	50%	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	4	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 reviewed and communicated to staff	30-Nov -2014	Completed	100%	Nigel Kennedy
															Internal restructure of the Investigation Service to provide continued fraud presence.	31-Mar -2014	In Progress	80%	Nigel Kennedy
															Raise awareness with staff of fraud issues	30-Nov -2014	Completed	100%	Natalie Kavanagh

Current Risk Score

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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.

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														Regular reporting to Audit and Governance Committee	1-May-2015	Ongoing	100%	Nigel Kennedy	
														Training of staff to be carried out using ilearn and other forms such as MPG session	31-Dec-2014	In Progress	100%	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	2	3		Raise awareness and training of staff by the use of ilearn.	30-Nov-2014	Completed	100%	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	
														Review SOP's for compliance with data protection	31-Mar-2015	Not Started		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	2	2	2		Annual review of the Medium Term Financial plan to confirm savings are deliverable and pressures recorded	30-Oct-2014	Completed	100%	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	3	2	3	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%	Nathan Vear	
														Set aside budget	1-May-2013	Completed	100%	Nigel Kennedy	
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	3		Agreement with DP to be agreed	31-Mar-2015	In Progress		Helen Bishop
														Commission review of welfare reforms on Oxford residents	30-Nov-2014	In Progress	95%	Helen Bishop	
														Communications plan written and implemented for Universal Credit roll out	31-Mar-2015	In Progress		Helen Bishop	
														Engagement with third sector and other partners to ensure coordinated approach to service delivery	31-Mar-2015	In Progress	95%	Helen Bishop	
														Ensure learning from pilots is communicated and acted upon across the organisation	1-May-2014	Completed	100%	Helen Bishop	
														Monthly reporting of rent arrears, DHP allocations	1-May-2014	Completed	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	

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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	2	3	2	3	Business Continuity Plans are up to date and reviewed for consistency/compatability	30-Jun -2014	Completed	100%	Jeremy Thomas
										Ensure Emergency Planning procedures and Business Continuity plans are tested annually	31-Mar -2015			On Hold	50%	Jeremy Thomas		
										Regularly review Emergency plan contacts list to ensure up to date	31-Dec -2014			Completed	100%	Jeremy Thomas		
CRR-026	Health & Safety of Property	Health & Safety of Property	T	Not maintaing 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	2	2	2	2	Ensure Health and Safety Policy is reviewed and kept up to date	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%	Simon Howick		
										Training of staff to be carried out using ilearn and other forms such as MPG session	31-Mar -2014			Completed	100%	Simon Howick		
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	2	3	1	2	Ensure appropriate arrangements in place for prioritising work and allocating appropriate resources, and deprioritising other work	31-Mar -2014	Completed	100%	Simon Howick
										Ensure managers are adequately trained for the tasks in hand	31-Mar -2014			Completed	100%	Simon Howick		
										Ensure sufficient financial and staffing resources for the tasks being undertaken	31-Mar -2014			Completed	100%	Simon Howick		

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