

Formal Risk Summary

(Oxford)

As at: Sep-2020

Ref	Title	Risk description	Opp/ threat	Risk		Date Raised	Owner	Gross		Current		Target		Comments	Controls				
				Cause	Consequence			I	P	I	P	I	P		Control description	Due date	Status	Progress	Action Owner
CRR-031-18-19	Economic Growth	Local, national or international factors adversely affect the economic growth of the City	T	The economic impact of COVID-19 globally, nationally and locally continues to affect the livelihoods and jobs of thousands of local people in Oxford. The best case scenario is that the local economy undergoes a short sharp shock and then bounces back quickly. There has been a partial bounce back as the re-opening of consumer sectors under constrained circumstances has taken the local economy into a 'semi-normal' phase of economic recovery. However considerable restrictions, to be in place until Spring 2021, on groups, social distancing, opening hours and recommended home working means that much service, leisure, retail and hospitality activity will remain subdued and constrained. Grants and rent reliefs may be more limited as may be the next stage of support for furloughed workers. This poses an ongoing risk to businesses, employment, and commercial property markets in the coming months. Moreover, the uncertainty over terms and impact of exit from the EU and Single Market in January 2021, may result in the termination or suspension of investment decisions. This is a near-term and ongoing risk to competitiveness and growth in Oxford and the UK more widely. It will affect a range of sectors relying on trade with, collaboration or labour and talent from Europe and other international markets	This accelerates structural changes and economic uncertainties that were already affecting consumption on the High Street and in turn affecting the viability of some retail, hospitality and catering businesses. The wider economy is not immune with redundancies being announced at larger employers in other sectors as well as damaging impacts to education, transport, property, creative and cultural sectors. Economic output is 11.7% below the February rate nationally and the remainder may not be recovered quickly. Uncertainty and loss of market access may result in increased cost of trade with EU leading to adverse local macro-economics & 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. In the city centre, the structural changes being experienced, also carries a risk of higher than usual job losses and closures, vacancies in retail and restaurant uses.	1-Jun-2018	Matthew Peachey	5	4	5	5	4	4	Delivery of an ongoing a City & County wide Economic Recovery & Resilience Plan. In the next few months this will align with the Oxford Economic Strategy and City Centre Vision and Action Plan, with consultation drafts published in Autumn. The latter plans will commence from early 2021, as part of the overall long-term approach to recovery, building on our economic strengths and specific local needs. The phased restart (now complete), will progress to long term recovery & renewal actions over a minimum 3 year period. We continue to work with Employers & Economic Growth Board to understand emerging impact of Brexit.	Deliver a City & County wide Economic Recovery & Resilience Plan. This will be a phased restart through to long term recovery & renewal over a minimum 3 year period. Continue to work with Employers & Growth Board to understand emerging impact of Brexit.	1-Apr-2023	In Progress	30%	Matthew Peachey
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. Adverse financial impacts arising from the covid-19 pandemic and the economic aftermath	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	4	4	3	Ensure companies are on schedule to deliver returns to Council	Expenditure Restraint	31-Mar-2021	In Progress	50%	Nigel Kennedy
														Keep abreast of changes	31-Mar-2021	In Progress	30%	Nigel Kennedy	
														Lobby Government	31-Mar-2021	In Progress	80%	Nigel Kennedy	
														Regular monitoring of revenue and capital	31-Mar-2021	In Progress	40%	Nigel Kennedy	
														Start budget setting early and drive savings in	31-Mar-2021	In Progress	40%	Nigel Kennedy	
CRR-033-18-19	Housing	Failure to deliver the Council's key priorities around Housing including ensuring increased housing delivery and enabling sufficient affordable house building and investment,	T	Changes to Homes & Communities Agency's funding stream for housing development. Government policy changes affecting housing tenure, rental levels, LA borrowing ability. Economic recession leading to instability in the housing market, and falling prices which could undermine quality. Shortage of labour and materials. Current Covid outbreak has delayed starts and slowed work because of social distancing, and may lead to challenges around site viability with a risk to market sales.	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	4	3	Continue to take forward opportunities to purchase S106 dwellings through the HRA.	Continuing to work with Registered Provider partners to enable supply of more affordable housing through s.106	31-Mar-2021	In Progress	25%	Dave Scholes
														Deliver OCHL business plan to increase scale and speed of delivery.	31-Mar-2021	In Progress	20%	Stephen Clarke	
														Delivery of regeneration schemes, including Blackbird Leys.	31-Mar-2023	In Progress	20%	Stephen Clarke	
														Housing delivery test in Planning ongoing. Deliver the housing delivery test action plan in Planning.	31-Mar-2021	Completed	100%	Carolyn Ploszynski	

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															Implement robust programme and project management arrangements for whole supply programme.	31-Mar-2021	In Progress	80%	Dave Scholes
															Maximise access to alternative funding programmes - Homes for England, HIF and Housing Growth fund	31-Mar-2021	In Progress	50%	Dave Scholes
															Provide a clear and robust response to the governments planning changes through the consultation, changes which would significantly reduce S106 contributions in the city.	31-Oct-2020	Completed	100%	Carolyn Ploszynski
															Purchase of Council dwellings from Barton Park development.	31-Mar-2025	In Progress	20%	Stephen Clarke
															Re-evaluate financial appraisals of development sites and make any adjustment to ensure continued viability.	31-Mar-2021	In Progress	20%	Stephen Clarke
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"> • Proximity to London • High cost of housing • Congested infrastructure and transport links 	Reduced capacity to deliver, especially in high profile projects	1-Jun-2018	Helen Bishop	3	4	3	3	2	2		Develop and implement improved recruitment processes [incl. use of social media, 'staff stories' and other promotional material]	31-Mar-2021	In Progress	25%	Justin Thorne
															Develop employer brand	31-Mar-2021	In Progress	25%	Justin Thorne
															Develop greater understanding of reasons for staff leaving and obtain insight into their 'work experience' whilst at council	31-Mar-2021	In Progress	40%	Justin Thorne
															Development of 'talent pipeline' including work experience, apprenticeships, graduate placement, sponsoring students through qualification, etc.	31-Mar-2021	In Progress	40%	Justin Thorne
															Review of employment offer for hard to fill and specialist roles [pay, flexible working practices, employee benefits]	31-Mar-2021	In Progress	40%	Justin Thorne
															Delivery of Improved systems	31-Mar-2021	In Progress	50%	Nigel Kennedy
															Establish robust system of shareholder and scrutiny meetings for wholly owned companies	31-Mar-2021	In Progress	75%	Anita J. Bradley
															Governance over all joint ventures and companies	31-Mar-2021	In Progress	50%	Nigel Kennedy
															Internal audit of companies review by BDO - second review due December 2020	31-Mar-2021	Not Started	0%	Nigel Kennedy
															Presentation of updated business plan on a quarterly basis to shareholder - OCHL	31-Mar-2021	In Progress	80%	Nigel Kennedy
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 Housing Company sites not delivered to planned timescales Directors not recognising the control that a holding organisation properly has over their operations and outputs	Reputational damage of failing companies Reduced financial returns to the Council impacting on MTFP Lack of delivery of dividends to the Council	1-Jun-2018	Nigel Kennedy	4	3	4	3	3	3		Presentation of updated business plan on a quarterly basis to shareholder - ODS	31-Mar-2021	In Progress	80%	Nigel Kennedy
															Reporting to shareholder for Barton	31-Mar-2021	Ongoing	100%	Nigel Kennedy
															Reporting to shareholder for Oxwed	31-Mar-2021	Ongoing	100%	Nigel Kennedy
															Review dividend policy - OCHL	31-Mar-2021	In Progress	10%	Nigel Kennedy
															Strategic Review of OCHL	31-Mar-2021	In Progress	50%	Nigel Kennedy

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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	The 2017 bid for an Oxfordshire-wide unitary authority has sat dormant since Government made clear it has no appetite to pursue this while Growth Board partners deliver the Growth Deal. However, the new Prime Minister and Cabinet, with ministerial changes in MHCLG, creates uncertainty over the Government's policy position on unitaries going forwards. There is also new uncertainty around the Growth Deal, given the uncertainty over the status of South Oxfordshire District Council's Local Plan	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 through loss of local accountability for investment and services Adverse impact on resourcing Adverse impact on the growth deal and partnership working	1-Jun-2018	Caroline Green	5	3	4	3	4	3	County and Cherwell published PWC report backing single unitary. City Council and other districts publicly opposed Government White Paper and meeting with Minister due soon after which probability rating may be updated.	Update and improve ODS Operating Model	31-Mar-2021	In Progress	30%	Nigel Kennedy
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	• Disruptive event hindering access to building. • Disruptive event affecting full functionality of building. • Major technology incident (physical or cyber).	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.	All Services to review and sign-off their BC plans to ensure up-to-date.	31-Mar-2021	Ongoing	100%	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.	30-Jun-2019	Completed	100%	Mike Newman	
														Desktop review of BCP	31-Mar-2021	In Progress	50%	Bill Lewis	
														Implement alternative software to CITRIX to allow homeworking for own user devices	31-Mar-2021	In Progress	95%	Rocco Labellarte	
														Include ICT systems outages in business continuity plan tests.	1-Oct-2018	Completed	100%	Mike Newman	
														Re-establish ICT 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	
														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-2021	In Progress	60%	Ian Brooke	
CRR-039-18-19	Delivery of Services by External Suppliers/Partnerships / Supply Chain	The negative performance of suppliers has a direct impact on the Council's ability to achieve its goals	T	Failure of key supplier (i.e. Fusion) or reductions in funding and/or financial pressures on the council's 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	3	3	3	The unprecedented COVID-19 scenario means that leisure facilities were temporarily closed on 20 Mar 2020. Our leisure provider continues at this time to complete statutory and compliance inspections and facility checks. Ferry Leisure Centre – Reopened for dry activities on Monday 3 August, wet activities on Friday 21 August & Fusion swim school restarted 21 September. All on a reduced timetable. Hinksey Outdoor Pool closed for the 2020 season. 2021 season due to start in April. Barton Leisure Centre & Oxford Ice Rink remain closed until a safe, viable & sustainable offer can be identified.	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)	30-Dec-2022	Ongoing	100%	Jo Colwell
CRR-040-18-19	Negative Impacts of Climate Change	Climate Change leads to a number of adverse social, health and environmental impacts on the City	T	Oxford is prone to flood risk from fluvial or river sources (Cherwell and Thames/Ise) 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.	Flooding, which is highly weather dependent; poor air quality and increased episodes of excess heat.	1-Jun-2018	Jo Colwell	4	3	3	3	3	2						

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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 conducive and prone to attack	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	2		Partnership with the EA led programme to deliver the Oxford Flood Alleviation Scheme	31-Mar-2022	Ongoing	50%	Jo Colwell
															Reputational risk is shared across partners.	31-Mar-2021	Ongoing	100%	Jo Colwell
															Council's emergency plan includes link to Crowded Spaces Evacuation Plan	31-Mar-2021	Ongoing	100%	Mike Newman
															Emergency plans for Council-operated buildings include dealing with a terrorist attack (including building lock-down procedure)	31-Mar-2021	Ongoing	100%	Mike Newman
															Event plans include dealing with a terrorist attack (including evacuation procedure)	31-Mar-2021	Ongoing	100%	Mike Newman
															Physical barriers in place - temporary and permanent	31-Mar-2021	Ongoing	100%	Mike Newman
															Respond to intelligence received	31-Mar-2021	Ongoing	100%	Mike Newman
															Work with partners, particularly the Police and County Council, on mitigation measures	31-Mar-2021	In Progress	50%	Tim Sadler
															Carry out PSN remedial work.	31-Mar-2021	Ongoing	100%	Rocco Labellarte
															Ensure any security breaches are dealt with appropriately, in line with policies.	31-Mar-2021	Ongoing	100%	Helen Bishop
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		Ensure cyber defences (firewalls, anti-virus, anti-malware, password protection, two-factor authentication) is in place	31-Mar-2021	Ongoing	100%	Rocco Labellarte
															Ensure cyber security policies are in place.	31-Mar-2021	Ongoing	100%	Rocco Labellarte
															Ensure PSN accreditation is achievable. Allocate funding as necessary to ensure remedial work can be delivered.	31-Mar-2021	In Progress	40%	Nigel Kennedy
															Continued progress with tower blocks, ensuring remaining planned work is complete, including at Hockmore, and continued monitoring to identify and implement any further improvements needed.	31-Mar-2021	In Progress	70%	Stephen Clarke
															Following CDM audit, implement revised and strengthened governance arrangements.	31-Mar-2021	In Progress	50%	Nick Brown
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		Health & Safety team have been allocated key areas of responsibilities and are progressing the area highlighted from FRA and Asbestos surveys. Actions are rectified to ensure OCC are fully compliant.	31-Mar-2021	In Progress	70%	Stephen Clarke
															Ongoing monitoring and surveillance of property to ensure compliance.	31-Mar-2021	In Progress	50%	Stephen Clarke

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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.

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