

Formal Risk Summary

(Oxford)

As at: Mar-2021

Ref	Title	Risk description	Risk		Consequence	Date Raised	Owner	Gross		Current		Target		Comments	Controls				
			Opp/ threat	Cause				I	P	I	P	I	P		Control description	Due date	Status	Progress	Action Owner
CE001	Customer Experience Strategy 2019-2021	Capacity to deliver	O	Insufficient resources to deliver projects, and lack of prioritisation	Strategy not delivered to schedule	31-Mar-2021	Helen Bishop	4	5	4	5	3	3		Agree corporate governance, to include ownership at CMT & ODG and Transformation Board	31-Oct-2021	In Progress	80%	Helen Bishop
															Develop meaningful measures of success and identify benefits to be realised	28-Feb-2020	Completed	100%	Helen Bishop
CE002	Customer Experience Strategy 2019-2021	Delays in other related projects	O	Delays or non-delivery of customer-facing and digital improvements	Strategy not delivered to schedule	31-Mar-2021	Helen Bishop	4	4	4	4	3	3		Regular monitoring meetings and escalation were appropriate	31-Oct-2021	In Progress	80%	Helen Bishop

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CRR-031-18-19	Economic Growth	Local, national or international factors adversely affect the economic growth of the City	T	New trading and immigration arrangements with the EU from 1 January 2021. COVID19 lockdowns will continue to prevent and restrict economic activity through much of 2021.	Post-transition, this may affect vehicle manufacturing, logistics and wider import and export demand or capacity, and lead to business relocation divestment decisions in extreme cases. It's possible, certain sectors may have shortages (health, research, technical skills). It is possible there will be some job losses in the sectors affected by trade issues. COVID19 will hit consumption spending further, affecting the viability of business inc. restaurants, travel and tourism, events, creative and cultural sectors. Unemployment rises and long-term furlough may induce labour market scarring, slowing re-employment and lowering participation rates. This may affect certain resident groups more (low-skilled, carers, young). Workers who lose jobs may not have the skills for new ones. Ongoing fiscal challenges may reduce public sector investment in infrastructure and services.	1-Jun-2018	Matthew Peachey	5	4	5	5	4	4	Despite some positive trends, the risk still remains at Red. Issues relating to inflation, labour market supply, global economy, COVID levels locally, border arrangement, local business support being scaled back and business rates commencing suggests that while we have some short term positive signs, there are still numerous risks.	Deliver Oxford Economic Strategy & City Centre Vision Action Plan. Stimulate recovery through targeted measures. Work with Economic Growth Board & City Centre Task Force. Engage with businesses to understand long term impact of COVID & EU Transition	1-Apr-2023	In Progress	50%	Matthew Peachey
CRR-033-18-19	Housing	Failure to deliver the Council's key priorities around Housing including	T	Changes to Homes & Communities Agency's funding stream for housing	Insufficient housing in City Increase in homelessness	1-Jun-2018	Stephen Clarke	5	4	5	4	4	3		Continue to take forward opportunities to purchase S106 dwellings through the HRA.	31-Mar-2022	In Progress	50%	Dave Scholes

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		ensuring increased housing delivery and enabling sufficient affordable house building and investment,		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 site viability. Shortage of labour and materials. Increased uncertainty in the housing market linked to unknown speed of pandemic recovery and Brexit.	Impact on residents Health and quality of life issues Adverse publicity Reputation Risk Perception of unfairness reinforces tensions around immigration										Continuing to work with Registered Provider partners to enable supply of more affordable housing through s.106	31-Mar-2022	In Progress	90%	Dave Scholes
															Deliver OCHL business plan to increase scale and speed of delivery.	31-Mar-2022	In Progress	70%	Stephen Clarke
															Delivery of regeneration schemes, including Blackbird Leys.	31-Mar-2023	In Progress	40%	Stephen Clarke
															Housing delivery test in Planning ongoing. Deliver the housing delivery test action plan in Planning.	31-Mar-2022	Completed	100%	Carolyn Ploszynski
															Implement robust programme and project management arrangements for whole supply programme.	31-Mar-2022	Ongoing	100%	Dave Scholes
															Maximise access to alternative funding programmes - Homes for England, HIF and Housing Growth fund	31-Mar-2022	In Progress	80%	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	50%	Stephen Clarke
															Revaluate financial appraisals of development sites and make any adjustment to ensure continued viability.	31-Mar-2022	In Progress	80%	Stephen Clarke
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/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	Flooding, which is highly weather dependent; poor air quality and increased episodes of excess heat.	1-Jun-2018	Mish Tullar	4	3	4	4	2	3	The Council has made action on climate change one of its corporate priorities and has stepped up its programme of action, partnering and influencing to seek to mitigate this.	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%	Mish Tullar
															Partnership with the EA led programme to deliver the Oxford Flood Alleviation Scheme	31-Mar-2022	In Progress	50%	Mish Tullar

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				protection. There is no warning for pluvial flooding.											Reputational risk is shared across partners.	31-Mar-2022	Ongoing	100%	Mish Tullar
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	3	3	3	3	The MTFP has been produced and balanced for the next four year period	Ensure companies are on schedule to deliver returns to Council	31-Mar-2021	Ongoing	100%	Nigel Kennedy
															Expenditure Restraint	1-Mar-2021	Ongoing	100%	Nigel Kennedy
															Keep abreast of changes to Business rates reforms and Fair funding	31-Mar-2021	Ongoing	100%	Nigel Kennedy
															Lobby Government	31-Mar-2021	Ongoing	100%	Nigel Kennedy
															Regular monitoring of revenue and capital budgets and ensuring savings and increased income are on target	31-Mar-2021	Ongoing	100%	Nigel Kennedy
															Start budget setting early and drive savings in conjunction with members with a full budget reset in December	31-Mar-2021	Ongoing	100%	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"> 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-2022	In Progress	25%	Justin Thorne
															Develop employer brand	31-Mar-2022	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-2022	In Progress	40%	Justin Thorne
															Development of 'talent pipeline' including work experience, apprenticeships, graduate placement, sponsoring students through qualification, etc.	31-Mar-2022	In Progress	40%	Justin Thorne
															Review of employment offer for hard to fill and specialist roles [pay, flexible working practices, employee benefits]	31-Mar-2022	In Progress	40%	Justin Thorne
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	Reputational damage of failing companies Reduced financial returns to the Council impacting on MTFP Lack of delivery of	1-Jun-2018	Nigel Kennedy	4	3	4	3	3	3		Delivery of Improved systems	31-Mar-2022	In Progress	50%	Nigel Kennedy
															Establish robust system of shareholder and scrutiny meetings for wholly owned companies	31-Mar-2022	In Progress	75%	Susan Sale
															Governance over all joint ventures and companies	31-Mar-2022	In Progress	50%	Nigel Kennedy

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				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	dividends to the Council										Internal audit of companies review by BDO - second review due December 2020	31-Mar-2022	Ongoing	100%	Nigel Kennedy
															Presentation of updated business plan on a quarterly basis to shareholder - OCHL	31-Mar-2022	In Progress	80%	Nigel Kennedy
															Presentation of updated business plan on a quarterly basis to shareholder - ODS	31-Mar-2022	In Progress	80%	Nigel Kennedy
															Reporting to shareholder for Barton	31-Mar-2022	Ongoing	100%	Nigel Kennedy
															Reporting to shareholder for Oxwed	31-Mar-2022	Ongoing	100%	Nigel Kennedy
															Review dividend policy - OCHL	31-Mar-2022	In Progress	10%	Nigel Kennedy
															Strategic Review of OCHL	31-Mar-2022	In Progress	50%	Nigel Kennedy
															Update and improve ODS Operating Model	31-Mar-2022	In Progress	30%	Nigel Kennedy
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 though loss of local accountability for investment and services Adverse impact on resourcing Adverse impact on the growth deal and partnership working	1-Jun-2018	Mish Tullar	5	3	4	2	4	1	The change of administration at Oxfordshire County Council, with the Fair Deal Alliance, has reduced the likelihood of a further bid for countywide unitary. However, there is still uncertainty over what will be set out in the Government's Devolution White Paper that is now expected later this year.	Build understanding of new Government administration's view on devolution/unitary, Growth Deal, Ox-Cam Arc & seek levers to influence around Oxford Priorities. Maintain focus on delivering growth agenda & build consensual partnership governance	31-Mar-2022	In Progress	90%	Mish Tullar

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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.	1-Jun-2018	Ian Brooke	3	3	3	3	3	3	LEISURE MANAGEMENT CONTRACT: The unprecedented COVID-19 scenario means that leisure facilities were temporarily closed in 20 Mar 2020 and November 2020; again from 8pm on 24 Dec and currently are closed; other than Hinksey heated Outdoor Pool, which re-opened 29 March 2021.(in line with national guidelines). The COVID-19 pandemic has had a detrimental impact on Fusions trading results; these events & other conditions, may indicate that a material uncertainty exists, which may cast doubt on Fusions ability to continue as a going concern. The Council continues to work closely with Fusion Lifestyle, key clubs and customer representatives via the Leisure Partnership Board, to help further inform a safe, viable and sustainable leisure offer. Additionally, Officers are working with National industry partners (i.e. CLOA, UK Active, APSE, Sport England, etc.) to help understand wider implications and good practice. Fusion have obtained for their business, a £12m 3yr CBIL loan from their bank. OCC in	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-2022	In Progress	60%	Ian Brooke

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													partnership with Fusion were successful in an application for application of circa£300k National Leisure Recovery Funding bid providing further financial stability for the leisure offer in the city						
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	Matthew Peachey	5	2	5	2	5	2		Council's emergency plan includes link to Crowded Spaces Evacuation Plan	31-Mar-2022	Ongoing	100%	Matthew Peachey
															Emergency plans for Council-operated buildings include dealing with a terrorist attack.(including building lock-down procedure)	31-Mar-2022	Ongoing	100%	Matthew Peachey
															Event plans include dealing with a terrorist attack.(including evacuation procedure)	31-Mar-2022	Ongoing	100%	Matthew Peachey
															Physical barriers in place - temporary and permanent	31-Mar-2022	Ongoing	100%	Matthew Peachey
															Respond to intelligence received	31-Mar-2022	Ongoing	100%	Matthew Peachey
															Work with partners, particularly the Police and County Council, on mitigation measures	31-Mar-2022	In Progress	50%	Matthew Peachey
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		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-2022	In Progress	80%	Stephen Clarke
															Following CDM audit, implement revised and strengthened governance arrangements.	31-Mar-2022	In Progress	50%	Nick Brown
															Health & Safety team have been allocated key areas of responsibilities and are progressing the area highlighted from FRA and Asbestos surveys are rectified to ensure OCC are fully compliant.	31-Mar-2022	In Progress	80%	Stephen Clarke
															Ongoing monitoring and surveillance of property to ensure compliance.	31-Mar-2022	In Progress	60%	Stephen Clarke
CRR-038-18-19	Business Continuity Planning and	There is an adverse impact on continuous business operation	T	• Disruptive event hindering access to building.	Non-delivery of business operation	1-Jun-2018	Helen Bishop	3	3	2	2	2	2		All Services to review and sign-off their BC plans to ensure up-to-date.	31-Mar-2022	Ongoing	100%	Bill Lewis

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	Disaster Recovery including ICT Recovery Plan	due to unplanned events.		<ul style="list-style-type: none"> Disruptive event affecting full functionality of building. Major technology incident (physical or cyber). 											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	Completed	100%	Bill Lewis
															Implement alternative software to CITRIX to allow homeworking for own user devices	31-Mar-2022	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
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	2	3	2		Carry out PSN remedial work.	31-Mar-2022	Ongoing	100%	Rocco Labellarte
															Ensure any security breaches are dealt with appropriately, in line with policies.	31-Mar-2022	Ongoing	100%	Helen Bishop
															Ensure cyber defences (firewalls, anti-virus, anti-malware, password protection, two-factor authentication) is in place	31-Mar-2022	Ongoing	100%	Rocco Labellarte
															Ensure cyber security policies are in place.	31-Mar-2022	Ongoing	100%	Rocco Labellarte
															Ensure PSN accreditation is achievable. Allocate funding as necessary to ensure remedial work can be delivered.	31-Mar-2022	In Progress	40%	Nigel Kennedy

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