Ref	Title	Risk Description	Opp / Threat	Cause	Consequence	Risk Treatment	Date Raised	Owner	Gross		Current			Target		Comments	Control / Mitigation Description	Date Due	Action Status	% Progress	Action Owner
									P	I	P	I	Score	P	I						
CEX001	Project Scope	Detailed scope of roles/activities cannot be agreed with services	Threat	Competing priorities. Limited capacity. Service pressures.	Unable to progress with project.	Reduce	09/06/22	Ian Wright	4	3	3	2	6	2	2		Robust RACI in place within Project Scoping ToR. This will need to be agreed with each Project Lead and their HoS at scoping stage along with the scope of the project.	31/05/24	Ongoing	50%	Vicki Galvin
CEX004	Delay of efficiencies	The level and rate of efficiencies realised /savings is reduced by descoping or delay	Threat	Change in priorities. Delay in implementation of ICT - internally or via extranal provider. Capacity within services to implement. Data to demonstrate efficiencies lacking.	Increased pressure on services as agreed savings are taken. Inability to meet MTFP.	Reduce	09/06/22	Ian Wright	4	4	4	3	12	3	3		Ensure digital technology roadmap is prioritised to enable savings for customer. Where benefits have an ICT element this is now going to be highlighted on the Benefits Tracker to activate conversations at OCB around resource for this ICT work. Put in place robust front door of change process to ensure CMT can prioritise project and make decisions relating to prioritisation and potential impact on savings. Engaging HoS via commissioning conversations whereby we set out a clear RACI and project scope at the very start. Inter-dependencies understood and picked up in the conversations to shape the Corporate Business Plan. Robust governance in place via weekly Delivery Boards	31/05/24	Ongoing	10%	Vicki Galvin
CEX005	Delay of web/digital	Delays in deployment of web/digital offer due to deployment of ICT on other projects	Threat	Competing and changing priorities within ICT. Staff changes. Team capacity.	Delayed rollout of online forms/applications and RPA. Delay to process improvements and efficiencies/savings being made.Delay to channel shift of customers. Customer experience remains unimproved.	Reduce	09/06/22	Ian Wright	4	4	4	4	16	4	3		Online forms and website refresh reported on under CEX Programme tracker to help prioritise and align objectives. ICT a standing item at the CEX Delivery Board weekly meeting to discuss inter-dependencies and timelines. (Attended by Rocco and/or Harry). Where benefits have an ICT element this is now going to be highlighted on the Benefits Tracker to activate conversations at OCB around resource for this ICT work which is engaged on other project activities.	31/05/24	Ongoing	10%	Vicki Galvin
CEX006	Channel Shift	Channel shift outcomes delayed	Threat	See CEX005	Delay to process improvements and efficiencies/savings being made. Customer experience remains unimproved.	Reduce	09/06/22	Ian Wright	4	4	4	4	16	4	3		Develop and identify key customer team members to be upskilled to develop simple forms without interfaces to other systems with minimal reliance or ICT digital team support. There will be a specific project once the Operating Model is agreed to support, encourage and upskill customers to channel shift which will include use of Behavioural Insight.	31/05/24	Ongoing	10%	Vicki Galvin
CEX007	Digitally Excluded	Digitally excluded are not impacted by these changes	Threat	Impact not understood through an EIA. Insight and feedback from customers/citizens not actively sought or considered ongoing.	Digital gap is increased in the city. Increase in inequalities. Some customers/citizens not able to access services. Increase in calls and face to face visits places greater pressure on services. Savings not delivered.	Reduce	09/06/22	Ian Wright	4	4	3	4	12	3	3		Equality Impact Assessments in place and regularly reviewed. Ensure a fit for purpose offer is still in place within the community. Ongoing consultation with the EDI Steering Group.	31/05/24	Ongoing	20%	Helen Bishop

Risk ID	Risk	Description	Threat/Opportunity	Cause	Impact	Response	Date	Owner	Gross		Current		Target			Mitigating Actions	Date	Status	%	Action Owner
CEX009	Campaign Management	Campaign management with customers is fragmented and causes avoidable demand during implementation	Threat	Lack of Comms Plan and support. Reactive comms.	Some customers/citizens not able to access services. Increase in calls and face to face visits places greater pressure on services. Savings not delivered.	Reduce	09/06/22	Ian Wright	4	4	3	3	9	2	2	Put in place a governance (including a RACI and scope) to manage campaigns with our customers.☐ Monthly Demand Management with Tom Jennings.	31/05/24	Ongoing	10%	Vicki Galvin
CEX010	Website	Benefit impact and stakeholder management impact due to delay in procurement or deployment process for web/digital offer	Threat	Capacity in business to write new content.	Some customers/citizens not able to access services. Increase in calls and face to face visits places greater pressure on services. Savings not delivered.	Reduce	09/06/22	Helen Bishop	4	4	3	3	9	2	2	Clear governance to monitor and review progress, training for content authors and engagement with business. Stakeholder mapping and plan in place	30/09/23	Ongoing		
CEX011	Service Capacity	Capacity and commitment in services to lead and deliver on projects.	Threat	Competing and changing priorities within Services. Team capacity stretched. Poor Comms with services re: Fit for the Future portfolio. Lack of clear direction from Senior Management.	Delays to delivery of projects and therefore efficiencies, savings and process improvements for the customer/citizen.	Avoid	01/0922	Vicki Galvin	4	4	4	4	16	2	2	Robust Terms of Reference to be agreed in scoping meeting complete with RACI to ensure roles, responsibilities and accountabilities are clear from the start of each project. Service Leads to attend Customer Experience Delivery Board to provide update and raise any issues/blockers each week.	Ongoing	Ongoing	10%	Vicki Galvin
CEX012	Strategy & Operating Model sign off	Delay in agreement of Strategy & Operating Model due to challenges back from internal and/or external stakeholders	Threat	Poor comms/engagament with stakeholders. Competing priorities.	Delay to implementation and therefore realisation of benefits.	Reduce	15/12/22	Ian Wright	3	3	2	2	4	2	2	Engagement Plan in place to ensure user-led design.	31/05/23	Completed	100%	Helen Bishop

THE RISK REGISTER IS FORMATTED AS A TABLE. PRESS TAB ON THE LAST TABLE CELL TO INSERT A NEW ROW.

Notes

Gross Risk Score

Risk level if existing key controls and mitigations were not in place or not effective.

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.

Target Risk Score

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

Risk Management Approach

See separate tabs for further information:
- **Risk Identification**
- **Types of Risk to Consider**
- **Risk Evaluation & Prioritisation**
- **Risk Treatment**

Risks should be identified that may affect the Council's ability to achieve its business objectives, execute its strategies successfully or limit its ability to exploit opportunities.

Risks can be identified through a number of methods, including:
• A 'brainstorming' session or workshop with the whole management team and relevant stakeholders
• Interviews or questionnaires with key stakeholders
• Meetings with smaller groups of people

There are a wide range of methods available that can be used to identify and understand risks. The **method that you select will depend upon the type of risk(s) that you are dealing with but typically a management team workshop is the method most commonly used.**

Additionally, existing sources of information could help inform this stage. Some examples are listed
• Service / corporate plans, strategies and objectives
• Existing risk registers
• Risks or issues raised by internal audit or other scrutiny body
• Risks identified through budget setting processes
• Health & safety risk assessments
• Business continuity risk assessments
• Partnership, programme or project documentation (e.g. business case or project risk register)
• Experience of those participating in the risk identification process

It is the responsibility of those identifying risks to decide which sources of information they should **consult. This may be one or more of the sources listed above or it could be something else you think is appropriate.**

As well as direct risks to the achievement of our objectives it is important to think broadly about **uncertainties that may have an impact on the organisation. The diagram shown below illustrates a variety of different risk themes, expanding on PESTLE prompts, which the organisation could face. Think also in terms of these themes when identifying risks.**

Once identified, the risks need to be described in sufficient detail and recorded in a consistent format to support effective decision making on the way that the risk is managed. It is crucial for risks to be defined properly at this stage. Failure to do so can result in confusion about the exact nature of the risk, ineffective risk controls being implemented, or the risk analysis being over or underestimated.

The description of the risk should include the following elements:
• Risk Title – a short and concise header for the risk
• Description – expanding on the risk title outlining the situation or event that exposes us to a risk.
• Risk Cause – also known as the trigger event. Situations or factors which result in the risk becoming a
• Risk Effect – the likely consequences if the risk materialises (The negative impact - consider worst likely

When describing a risk try not to describe the impact of the risk as the risk itself or define risks with statements which are the converse of objectives. Focus upon the uncertain event that would result in these impacts

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Types of Risk to consider	
Strategic / Commercial	
1	Under performance to specification
2	Management will under perform against expectations
3	Collapse of contractors
4	Insolvency of promoter
5	Failure of suppliers to meet contractual commitments (quality, cost, time)
6	Insufficient capital
7	Market fluctuations
8	Trade/Banking crises
9	Fraud/theft
10	Partnership failing to deliver desired outcomes
11	Situation is not insurable (cost of insurance outweighs the benefit)
Economic / Financial / Market	
1	Exchange rate fluctuation
2	Interest rate instability
3	Inflation
4	Shortage of working capital
5	Failure to meet projected revenue targets
6	Market developments will adversely affect plans
Legal and Regulatory	
1	New or changed legislation may invalidate assumptions upon which the activity is based
2	Failure to obtain appropriate approval e.g. planning consent
3	Unforseen inclusion of contingent liabilities
4	Loss of intellectual property rights
5	Failure to achieve satisfactory contractual arrangements
6	Unexpected regulatory controls or licencing requirements
7	Changes in tax or tariff structure
Organisational / Management / Human factors	
1	Management incompetence
2	Inadequate corporate policies
3	Inadequate adoption of management practices
4	Poor leadership
5	Key personnel have inadequate authority to fulfil their roles
6	Poor staff selection procedures
7	Lack of clarity over roles and responsibilities
8	Vested interests creating conflict and compromising overall aims
9	Individual or group interests given unwarrented priority
10	Personality clashes
11	Indecision or inappropriate decision making
12	Lack of operational support
13	Inadequate or inaccurate information
14	Health and Safety constraints
Political	
1	Change of government policy
2	Change of government
3	War and disorder
4	Adverse public opinion/media intervention
Environmental	
1	Natural disasters

2	Storms, flooding, tempests
3	Pollution incidents
4	Transport problems (including aircraft/vehicle collisions)
Technical / Operational / Infrastructure	
1	Inadequate design
2	Professional negligence
3	Human error/incompetence
4	Infrastructure failure
5	Operation lifetime lower than expected
6	Increased dismantling/decommisioning costs
7	Safety being compromised
8	Performance failure
9	Residual maintenance problems
10	Scope creep
11	Unclear expectations
12	Breaches in security/information security
13	Lack or inadequacy of business continuity

Once risks have been identified the risk matrix is the main tool for prioritising risks so we can establish which risks are most significant and therefore are in need of greater attention and resources. It also allows us to compare different types of risk with each other across the council.

Each risk should be analysed using a five by five matrix for (1) the likelihood it will happen and (2) the impact if it did occur. This assessment should be made on three different basis:
• Gross risk – risk level if existing key controls and mitigations were not in place or not effective.
• Current risk – risk level after existing controls and mitigations are taken into consideration.
• Target risk – anticipated risk level following the introduction of planned controls and mitigations.

Assessing the gross risk allows consideration of the dependency the organisation has upon the existing key controls and informs decisions around risk treatment, and selection of an appropriate target risk level, considered in the next section of this toolkit. It is often helpful to consider the Current Risk first, and then ask yourself what the impact and likelihood of the risk might be if the key controls were not in place.

It is the risk owner's responsibility to ensure the controls they believe are reducing the risk are effective and are working in practice. Controls that are not yet in place should not be considered within the current risk.

Each identified risk should then be plotted onto the risk matrix.
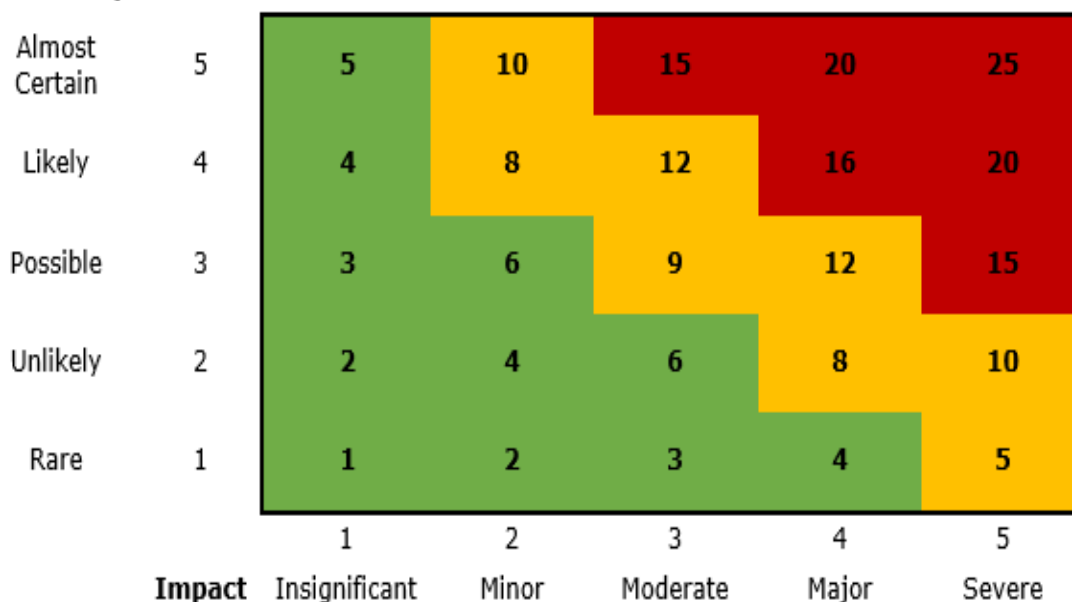
When considering the likelihood of a risk happening you should select the number from 1 to 5 from the risk matrix that you think it will be over the next 12 months (it can be longer or shorter; some risks in the Strategic Risk Register are better considered over 3 to 5 years, some operational risks will be considered over 3 to 6 months). This score will require an element of judgement when considering how likely an event is to occur and you should consider the following:
• Has this event happened before in the Council? (How frequently?) Has this event happened elsewhere?
• How likely is it that one or more of the causes/ triggers of the event will occur?
• Has anything happened recently that makes the event more or less likely to occur?

The following tables provide some support in quantifying the risk in terms of likelihood and impact.

Risk Probability Assessment Criteria

Scale	Description	Likelihood of	Probability of Occurrence

Scale	Description	Occurrence	Probability of Occurrence
1	Rare	1 in 10 years	The event may occur in certain circumstances
2	Unlikely	1 in 3 years	The event could occur
3	Possible	1 in 2 years	The event should occur
4	Likely	Annually	The event will probably occur
5	Almost certain	Monthly	The event is expected to occur or occurs regularly

When you select the impact you should give consideration to the factors outlined in the risk matrix. For example, if the risk you are scoring has a low financial impact but a high impact on our reputation then you would select the most appropriate number between 1 and 5 that relates to the level of reputational impact. Once again, this score will have an element of judgement.

Risk Impact Assessment Criteria

	Insignificant	Minor	Moderate	Major	Severe
Financial	<£50k per annum	£50k - £250k per annum	£250k - £500k per annum	£500k - £750k per annum	>£750K per annum
Service Delivery	No impact to service quality, limited disruption to operations	Minor impact to service quality, minor service standards are not met, short term disruption to operations, minor impact on a partnerships	Significant fall in service quality, major partnership relationships strained, serious disruption in service standards	Major impact to service quality, multiple service standards are not met, long term disruption to operations, multiple partnerships affected	Catastrophic fall in service quality and key service standards are not met, long term catastrophic interruption to operations, several major partnerships are affected
Reputation	Public concern restricted to local complaints which do not attract local media attention.	Minor adverse local / public / media attention and complaints	Adverse national media public attention	Serious negative national or regional criticism	Prolonged, regional & national condemnation
Compliance & Regulation	Minor breach of internal regulations, not reportable	Minor breach of external regulations, not reportable	Breach of internal regulations leading to disciplinary action Breach of external regulations, reportable	Significant breach of external regulations leading to intervention or sanctions	Major breach leading to suspension or discontinuation of business and services
Strategic	Little impact on the organisational strategy	May have an impact on achieving organisational strategy	Would impact on the organisational objectives	Would require a significant shift from current strategy and objectives	Would require a fundamental change in strategy and objectives

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Once risks have been identified and scored based on current controls the next step is to decide what action needs to be taken to manage them. Generally speaking, there are four approaches to treating risk: Treat, Tolerate, Terminate or Transfer:

Action	Description	Options
Treat / Reduce	Controlling the likelihood of the risk occurring, or controlling the impact of the consequences if the risk does occur	Reducing the likelihood of the risk occurring AND / OR Mitigating the impact if the risk does occur
Tolerate / Accept	Acknowledging that the ability to take effective action against some risks may be limited or that the cost of taking action may be disproportionate to the potential benefits gained.	The ability to take effective action against some risks may be limited or the cost of taking action may be disproportionate to the potential benefits gained in which case the risk is accepted on an "informed" basis.
Terminate / Avoid	Not undertaking the activity that is likely to trigger the risk	Changing the direction or strategy and revisiting objectives or improving channels of communication Obtaining further information from external sources or acquiring expertise Reducing the scope of the activity or adopting a familiar, proven approach Deciding not to undertake the activity likely to trigger the risk
Transfer	Handing the risk on elsewhere, either totally or in part – e.g. through insurance.	Financial instruments such as insurance, performance bonds, warranties or guarantee. Renegotiation of contract conditions for the risk to be retained by the other party. Seeking agreement on sharing the risk with the other party. Sub-contracting risk to a consultant or external suppliers. NB. It may not be possible to transfer all aspects of a risk. For example, where there is or reputational damage to the organisation.

When considering further action required to manage the risk, and indeed the appropriateness of existing controls, an assessment of treatment options should be made alongside a consideration of the Council's risk appetite and tolerance for the current level of risk.

A further consideration is the efficiency of risk treatment in relation to the cost effectiveness of the proposed actions to be taken. Firstly the cost of implementation has to be considered (time, manpower, budget, etc.). The impact expected if no action is taken, should be weighed against the cost of action and the reduction of the impact. There should be a direct benefit from the cost implementation in terms of the reduction of the level of the risk.

Plans should then be put into place to manage the risk with key milestones identified and clear owners – ensuring that they are 'SMART' – Specific, measurable, achievable, realistic, time bound.

Oxford City Council has focused on the Red, Amber, Green status of risks in determining the risk appetite of the organization. Red risks are considered unacceptable and every effort must be made to reduce the risk to the organization.

The risk appetite is reviewed periodically or when there are significant changes to the organisation. Changes to the risk appetite level would require a change to strategy and would therefore require approval of the Cabinet.

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