

Appendix 2

Service	Ref	Title	Risk description	Cause	Consequence	Owner	Gross Impact	Gross Probability	Current Impact	Current Probability	Residual Impact	Residual Probability	Comments	Control description	Due date	Control Status	Progress	Action Owner	
Housing Services	CRR-015b	Failure in the Delivery of the HRA Capital Investment Programmes	Failure in the delivery of the HRA Capital Investment Programmes.	Increasing interest rates and below inflation rent rises, alongside lots of competing demands, are significant risks	Overspend due to increase prices or the need to retender for further contractors to complete the work.	Nerys Parry	4	3	3	3	3	2							
	CRR-015b													In light of Covid-19, review and restart work but updated re priorities and what is possible in timescales following delays due to lockdown periods over the last 12 months, e.g. delivering the planned bathroom & kitchen refurb work over 21 month window.	31/03/21	In Progress	100%	Nick Brown	
	CRR-015b													Routine monitoring and reviewing of the business plans to ensure progress and alignment with the organisation's priorities.	31/03/21	In Progress	100%	Nick Brown	
Corporate Strategy	SRR-001-ACE	Partnership working	Devolution governance debate disrupts partnership work	County and Districts pursuing different options for Unitary Government.	Negative impacts on services and projects delivered in partnership with County and partners.	Mish Tullar	4	4	4	2	4	1							
	SRR-001-ACE													Seek closer countywide partnership working with County and District administrations through Future Oxfordshire Partnership and bilaterally to foster a cohesive Oxfordshire partnership approach around the Oxfordshire Strategic Vision and other shared objectives	31/07/24	In Progress	City Council now in NOC does potentially increase risk in respect of Unitary debate, however, no evidence that this is something that others across Oxfordshire want to pursue this side of a General Election	Mish Tullar	
	SRR-001-ACE													Emphasis on relationship management to support business as usual cooperation and communications with County and Districts. City to take a less active role on transport matters, though the joint Steering Group with County continues. Closer cross-council working also in progress on sustainability issues and climate change response with proposal to expand ZCOP to countywide partnership	31/07/24	In Progress	60%	Mish Tullar	
Corporate Property and Assets	SRR-001-CA	Staff recruitment and retention	Inability to recruit and/or retain staff on proposed terms and condition in Property and Re-generation and Major Works teams.	Terms and conditions of employment are not sufficiently attractive to attract permanent staff.	Required skills and capacity are not available to deliver required work programmes.	Jane Winfield	3	3	3	4	3	4							
	SRR-001-CA													The option is being explored to look at a different way of holding resource with a commissioning model as well as direct delivery by in-house staff. Backfill with temporary staff & contractors where necessary. Use market supplements as necessary.	31/03/21	In Progress	60%	Jane Winfield	
Planning Services	SRR-001-CD	Service Failure	Major service failure due to significant loss of ICT, staff etc	Major systems failure - major health pandemic etc	Reduction in staff or premises availability means a reduced service to customers and or a backlog of work to be cleared.	David Butler	4	3	3	3	3	3							
	SRR-001-CD													A single Business Continuity plan is in place. The business plan work is ongoing as part of the service plan. Loss of staff has been managed in a sustainable manner	31/03/21	In Progress	75%	Andrew Murdoch	
Regulatory Services and Community Safety	SRR-001-ED	Regulation of the Private Rented Sector	Opportunity to embed HMO licensing across the City and to regulate the private rented sector	Systems failure/ poor delivery of service; inadequate engagement; non-compliance with regulation/ legislation	Damage to Council reputation and potentially finances; risks to occupiers, neighbours	Ian Wright	3	4	2	2	1	1							
	SRR-001-ED													Ensure that the HMO Business Plan is robust and up to date	31/03/21	Completed	100%	Ian Wright	
Financial Services	SRR-001-FS	Reputation Management	Failure to deliver an efficient and timely year end process for annual Council Tax and NDR bills, Rents, Garage and leaseholder statements	Lack of resources (staff/finance) Upgrades of software not carried out Single points of failure CTR will be administered through Revenues not Benefits Knowledge of requirements Ability to design templates Legislative requirements not addressed	The biggest risk to the Council is reputational. If the bills and notices are not delivered on time the Council cannot collect income due to it and would suffer reputational damage as a consequence. This risk is low until the process starts again in October	Laura Bessell	3	3	1	1	1	1							
	SRR-001-FS													Management of year end process imperative. with new post and print supplier and new Revenues and Benefits system supplier it is imperative that we work closely with them this year as it will be the first time using both suppliers	31/03/23	Completed	100%	Phillip McGaskill	
	SRR-001-FS													Develop action plan and monitor. Work with new providers of systems	31/03/23	Completed	100%	Phillip McGaskill	
Housing Services	SRR-001-HC	Increased Homelessness Costs	Increased costs of provision of temporary accommodation and rent top-up payments. Reduced access to the private rented sector.	Changes to Housing Benefit and Local Housing Allowance regulations, economic climate leading to more severe problems for the customer base. Impacts of the cost of living crisis is likely to see an increase in individuals seeking homelessness assistance. Increased use of B&B accommodation	Additional cost, less effective homelessness prevention work, higher homelessness acceptances	Nerys Parry	4	4	5	5	4	4							

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	SRR-001-HC													Undertake a review of our approach to temporary accommodation to ensure faster move-on, informed by the 'Housing First' approach.	31/03/21	Completed	100%	Nerys Parry
	SRR-001-HC													Undertake work to look at options for stock rationalisation of temporary accommodaiton units.	31/03/21	Completed	100%	Nerys Parry
	SRR-001-HC													Continue to deliver interim accommodation at Canterbury House and YHA. Deploy funding (RSI4) to support move onto longer term accommodation & complete exit strategy; bid for further funding available from MHCLG to help fund provision for rough sleepers.	31/03/21	Completed	100%	Nerys Parry
	SRR-001-HC													Coordinate a corporate approach to homelessness prevention activity through the pandemic and recovery period, and responding to and preparing for to any changes in legislation, e.g. end of eviction ban.	31/03/21	Completed	100%	Nerys Parry
	SRR-001-HC													Deliver the Settled Oxfordshire Scheme providing private rented accommodation with support to singles and couples.	31/03/24	In Progress		Richard Wood
	SRR-001-HC													Deploy Homelessness Prevention Grant uplift in full for 23/24 to invest in front-line homelessness services facing huge demand.	31/03/24	In Progress		Richard Wood
	SRR-001-HC													Develop and roll out new approaches to providing TA to help lower our B&B use.	31/03/24	In Progress		Richard Wood
	SRR-001-HC													Continue to improve process and approach in Options/ TA and allocations to ensure rapid move on of cases	31/03/24	In Progress		Richard Wood
	SRR-001-HC													review of our PRS procurement approach for good PRS supply	31/03/24	In Progress		Richard Wood
	SRR-001-HC													continue to work closely with Affordable Supply team to ensure demand is informing affordable supply	31/03/24	In Progress		Richard Wood
	SRR-001-HC													close working with neighbours to access Oxford unmet need properties	30/09/24	In Progress		Richard Wood
	SRR-001-HC													expand the number of prevention and relief duties taken to increase access for support for those owned a duty, and ensure good access to future HPG.	31/03/24	In Progress		Richard Wood
Regeneration and Economy	SRR-001-RE	Staff Recruitment	Difficulty in recruiting e.g. Regeneration Managers on proposed terms and conditions (FTC).	Terms and conditions of employment are not sufficiently attractive to attract and retain staff	Required skills and capacity are not available to deliver required work programmes or staff turnover results in the loss of skills from the team.	Jenny Barker	2	3	2	2	2	3						
	SRR-001-RE													Identifying project resource needs in early stages to identify resource needs and commence recruitment early before projects are committed	29/03/24	Ongoing	90%	Carolyn Ploszynski
	SRR-001-RE													Using a forward plan of projects to proactively allocate projects and review project plans as a programme monitoring pipeline	31/03/24	Ongoing	90%	Carolyn Ploszynski
Planning Services	SRR-002-CD	Unplanned Workload	Unplanned workload leading to reactive response and delay or omission of proactive work	Complaints, added to complexities to existing work, unplanned work demands corporate or external	Delay or omission of programmed work, impact on quality of work if it is rushed or not checked. Reduction in quality of service to customers	David Butler	4	3	4	3	4	3						
	SRR-002-CD													Improved communications about role and priorities to temper expectations	31/03/20	In Progress	60%	Andrew Murdoch
	SRR-002-CD													Review with line manager over priorities (saying no or re prioritise)	31/03/20	In Progress	60%	Andrew Murdoch
	SRR-002-CD													Ensure time allowed for such work in performance agreements. Reviewed through regular 1.2.1 meetings	31/03/20	In Progress	80%	Andrew Murdoch
Financial Services	SRR-002-FS	ICT	OCC not able to deliver the improvements to ICT systems in a timely and manageable manner; Inability to deliver ICT Systems that operate in a controlled and robust manner on a timely basis	ICT workplan not adhered to and delayed; System implementation ineffectual leading to delays and / or poor system design and implementation	Increased inefficiencies in work flow leading to increased manual working and worsening collection rates; controls around the system not robust leading to an increased level of reconciliation or data control issues Project plans overlapping so that there is excessive work for staff over a shortened time period Non-compliance with contractual agreements and non-compliance with external standards such as PCN and PCI-DSS	Sonal Khade	2	2	4	3	2	2						
	SRR-002-FS													Active attendance at project board meetings, planning ahead for projects and being aware of interdependencies	31/03/23	In Progress	50%	Sonal Khade

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	SRR-002-FS													Involvement of key staff within Financial Services to identify any issues and feed back to the project team	31/03/23	In Progress	50%	Sonal Khade
	SRR-002-FS													Technical Service Development Lead, Lauren Armstrong, is assigned within Incomes Team to ensure improvements are delivered within project plan. Lauren will report progress through to Income Management Team (IMT). Once QL has settled down we will be looking at ways to utilise the system effectively. We have introduced daily snag meetings so that issues are properly recorded and escalated as required	01/01/23	Completed	100%	Philip McGaskill
Housing Services	SRR-002-HC	Delivery Failure - Affordable Housing	Low delivery rate for affordable housing	Changes to Home's England 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 site viability. Shortage of labour and materials. Increased uncertainty in the housing market linked to unknown speed of pandemic recovery and Brexit.	Decreased ability to house applicants in greatest need, "sitting up" of temporary accommodation, additional costs. Major impacts on quality of life and life chances of population.	Nerys Parry	3	3	3	4	3	2						
	SRR-002-HC													Deliver the housing delivery test action plan in Planning.	31/03/21	Completed	100%	Nerys Parry
	SRR-002-HC													Provide a clear and robust response to the governments planning changes through the consultation, changes which would significantly reduce S106 contributions in the city.	31/12/20	Completed	100%	Nerys Parry
	SRR-002-HC													Delivery of regeneration schemes, including Blackbird Leys.	31/03/23	In Progress	20%	Nerys Parry
	SRR-002-HC													Continue to take forward opportunities to purchase S106 dwellings through the HRA.	31/03/21	Completed	100%	Dave Scholes
	SRR-002-HC													Purchase of Council dwellings from Barton Park development.	31/03/25	In Progress	30%	Nerys Parry
	SRR-002-HC													Revaluate financial appraisals of development sites and make any adjustment to ensure continued viability.	31/03/24	In Progress	30%	Nerys Parry
	SRR-002-HC													Maximise access to alternative funding programmes - Homes for England, HIF and Housing Growth fund	31/03/24	In Progress	75%	Dave Scholes
	SRR-002-HC													Implement robust programme and project management arrangements for the Affordable Housing Supply programme, including client-role with respect to the Ox Place programme.	31/03/24	In Progress	75%	Dave Scholes
	SRR-002-HC													Deliver Ox Place business plan to increase scale and speed of delivery.	31/03/24	Ongoing	30%	Nerys Parry
	SRR-002-HC													Continuing to work with Registered Providers to enable the delivery of more affordable housing.	31/03/24	Ongoing	75%	Dave Scholes
Regeneration and Economy	SRR-002-RE	Staff Capacity	Little capacity in team to allow cover for other team members if required.	Internal and external projects and programme are running to very similar timescales in across economic development, City Centre, Green Transport and Regeneration creating resourcing pressures.	Staff resource and work needs to be carefully prioritised to handle demand. Some programmes are outside our control particularly in Green Transport and Economic Development. Difficulty to provide project cover if regeneration manager is off work or leaves at short notice.	Carolyn Ploszynski	2	4	4	4	3	3						
	SRR-002-RE													Agree and implement a forward plan for regeneration team for the project programme and make sure it is updated and discussed at team meetings	31/03/24	In Progress	80%	Carolyn Ploszynski
	SRR-002-RE													Agree and implement a project management file structure and shared storage space for files	31/03/23	Completed	100%	Carolyn Ploszynski
	SRR-002-RE													Maintain links with wider services on staffing demand issues, utilise external funds, and recruitment agencies where needed	31/03/24	Ongoing	80%	Carolyn Ploszynski
	SRR-002-RE													Ensure all project managers are keeping a risk and issues log up to date and this is reported to development board	31/03/24	In Progress	80%	Carolyn Ploszynski
	SRR-002-RE													Appointment of the regeneration lead to manage project and staffing issues effectively	31/03/22	Completed	100%	Carolyn Ploszynski
Corporate Property and Assets	SRR-002-RMP	Income Generation	Income Generation due to Covid-19	Portfolio is biased towards retail/food and beverages and tenants are struggling to pay rent even with Central Government aid.	Reduced rent leading to budget pressure	Jane Winfield	4	4	3	3	2	3						

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	SRR-002-RMP													New rent protocol in place to aid smaller independent traders. Significantly higher contact with tenants. Likely Pressure adopted in to MTFP & monitored. Property by property review for regeneration opportunities. Protocol on debt agreed and being implemented	31/03/23	In Progress	60%	Jane Winfield
Planning Services	SRR-003-CD	Project Delays	Project delays (service specific)	Poor project management of projects such as LocalPlan, major Development management case, change projects	Reduced performance, missed targets, ultimately delay to delivery of needed housing on the ground.	David Butler	4	3	3	3	3	3						
	SRR-003-CD													Clarity of role of project manager in project initiation document	31/03/20	In Progress	100%	Andrew Murdoch, Rachel Williams
	SRR-003-CD													Regular reports to Board	31/03/20	In Progress	100%	Andrew Murdoch, Rachel Williams
	SRR-003-CD													Tight project management and good reporting from project manager	31/03/20	In Progress	100%	Andrew Murdoch, Rachel Williams
Corporate Property and Assets	SRR-003-CP	Property Related Health and Safety Failure	General Fund property related health and safety failure - Compliance	Lack of statutory compliance. Potential for system failure. Particular focus on building safety, and occupier/user safety across all areas	Occupiers/users put at risk. Prosecution of Oxford City Council.	Jane Winfield	4	2	4	2	2	2						
	SRR-003-CP													Stock condition surveys underway which includes compliance	31/03/22	In Progress	20%	Darowen Jones
	SRR-003-CP													Ongoing review of compliance standards and processes and building safety requirements.	30/01/23	In Progress	65%	sstansfield@oxford.gov.uk
Financial Services	SRR-003-FI	Failure to recruit and retain key staff	Insufficient quality of applicants to vacancies, current key staff leave to better opportunities	Current pay scales not attractive, reputation of Council will not attract new recruits	Vacant posts remain vacant, and existing posts become vacant. Further pressure is put onto remaining staff to fulfil extra tasks	Nigel Kennedy	4	3	3	3	3	3						
	SRR-003-FI													Development of staff internally, providing development opportunities to existing staff, and providing suitable training to all	31/03/21	Ongoing	100%	Nigel Kennedy
	SRR-003-FI													Ensure Team Leaders and Managers communicate with staff on a regular basis in the current remote working set-up	31/03/21	Ongoing	100%	Nigel Kennedy
	SRR-003-FI													For recruitment to all vacancies, review the job content, specification and pay, exploring different markets to advertise	31/03/21	Ongoing	100%	Nigel Kennedy
Regeneration and Economy	SRR-003-RE	Project Governance	Development board and associated groups within the governance process not utilised effectively as it could be across the council.	Lack of knowledge of how and when to utilise development review group and development board.	Board is reactive or not utilised leading to project problems.	Jenny Barker	2	3	2	3	2	3						
	SRR-003-RE													Project management training for project managers to be established. Training to outline the project process and how and when to use development board and development review group	31/03/24	In Progress	80%	Carolyn Ploszynski
	SRR-003-RE													Update the guidance and intranet regarding development review group and development board	31/03/24	In Progress	80%	Carolyn Ploszynski
	SRR-003-RE													Advertise the development board review group to all project managers across the organisation	31/03/24	Ongoing	80%	Carolyn Ploszynski
	SRR-003-RE													Ensure consistent and appropriate personnel in PMO to enable the development process to be embedded across the organisation	31/03/24	Ongoing	80%	Carolyn Ploszynski
Planning Services	SRR-004-CD	External Delays	Delays to Council projects caused by outside agencies	Delays by outside agencies - County Council, Consultees, National and Regional Government, other agencies like PINS	Reduced performance, missed targets	David Butler	4	4	4	4	4	4						
	SRR-004-CD													High level intervention if necessary. Greater collaboration is in place on key projects and a proactive approach to intervention/communications	31/03/20	In Progress	75%	Andrew Murdoch
	SRR-004-CD													Monitoring of applications/ processes/ programmed projects in hand and delays	31/03/20	In Progress	75%	Andrew Murdoch
Corporate Property and Assets	SRR-004-CP	Property Related Health and Safety Failure	General Fund property related health and safety failure - Systems	Review of current systems enables the implementation of more robust systems around building safety	Improved compliance and forward planning of PPM schedules	Steve Stansfield	2	3	3	3	2	2						
	SRR-004-CP													Implementation of new systems	30/01/23	In Progress	65%	sstansfield@oxford.gov.uk
Financial Services	SRR-004-CS	Welfare Reform	Implementation of Universal Credit roll-out and the additional effects of welfare reform and impact of changes to claimants benefit continue. Council Tax, Rents and Business Rates collection performance deteriorates	Welfare reform and changes to legislation We now know this will be fully rolled out by 2025.	Decline in service performance, overpayments occur and revenue and rent income streams are reduced.	Laura Bessell	3	2	2	1	1	1						
	SRR-004-CS													Work with other OCC teams to manage migration alongside DWP Date now given for completion is 2025	31/03/25	In Progress	80%	Laura Bessell
	SRR-004-CS													Implement Generic working across teams	31/03/25	In Progress	80%	Laura Bessell

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	SRR-004-CS													Monitor and review monthly performance figures	31/03/25	Completed	95%	Laura Bessell
Regeneration and Economy	SRR-004-RE	Health & Safety	Poor health and safety compliance due to inconsistent levels of experience and training.	Inconsistent levels of experience and training in project managers. Lack of corporate resource and training in H&S protocols.	Health and safety incidents and non compliance during projects which may cause significant project delays, fines or legal action and more widely causes risk to staff.	Jenny Barker	3	3	3	3	2	2						
	SRR-004-RE													Agree with Health and Safety Team in commercial property the minimum health and safety training standard for project managers and implement and then maintain	31/03/24	Ongoing	95%	Carolyn Ploszynski
	SRR-004-RE													Roll out health and safety training for project managers over 6months until all project managers compliant and ensure a process is in place to train new staff	31/03/22	Completed	100%	Carolyn Ploszynski
	SRR-004-RE													Deliver health and safety training for project managers	31/03/22	Completed	100%	Carolyn Ploszynski
	SRR-004-RE													Establish and implement risk assessments and lone work protocol for service teams	31/03/22	Completed	100%	Carolyn Ploszynski
	SRR-005-CP													Higher degree of contract management with daily reports	30/09/24	In Progress	55%	Jonathan Wright
Financial Services	SRR-005-FI	Treasury Management	Safety of investments	Current economic climate and prolonged volatility in financial markets; banks and other investment institutions not being robust enough to survive future economic changes	Loss of principal investments placed	Bill Lewis	5	3	5	2	5	2						
	SRR-005-FI													Ensure a robust process of monitoring counterparty changes is carried out	31/03/23	Ongoing	100%	Bill Lewis
	SRR-005-FI													Ensure that the TM Strategy is robust and does not allow principal investments to be put at risk	31/03/23	Ongoing	100%	Bill Lewis
	SRR-005-FI													Financial provision set aside for movement in property fund price	31/03/23	Ongoing	100%	Bill Lewis
	SRR-005-FI													Management information provided Head of Service on a monthly basis	31/03/23	Ongoing	100%	Bill Lewis
	SRR-005-FI													The investment policy ensures all our investments have a financial limit and have a maximum investment period per counterparty	31/03/23	Ongoing	100%	Bill Lewis
Community Services	SRR-005-LP	Service standards and quality provision	Service not delivering quality services	Lack of resources and employee deployment. Fragile procedures, process and delivery mechanisms. Internal and external monitoring and auditing principles not robust	Failure to achieve industry recognised accreditation (i.e. Quest, Green Flag, ISO). Increased costs. Corporate and service objectives fail to be delivered. Reputational damage. Reduced ability to draw down external funding	David Morrell	3	3	3	2	3	4						
	SRR-005-LP													Monitor through service delivery and stakeholder meetings	31/03/17	Ongoing	100%	Hagan Lewisman
	SRR-005-LP													Timely action through systematic methodology, procedures and internal and external audits	31/03/17	Ongoing	100%	Hagan Lewisman
	SRR-005-LP													Workforce planning and employee development and training regimes	31/03/17	Ongoing	100%	Hagan Lewisman
Regeneration and Economy	SRR-005-RE	Service Failure	Major service failure due to significant loss of ICT, Staff etc.	Major systems failure- major health pandemic etc.	Reduction in staff or premises availability means missed deadlines and a backlog of work to be cleared	Carolyn Ploszynski	4	2	2	2	2	2						
	SRR-005-RE													A Business Continuity Plan has been developed and is now in place. File sharing, use of IT systems such as Teams and Zoom. This will be monitored and updated	31/03/24	Ongoing	100%	Carolyn Ploszynski
Planning Services	SRR-006-CD	Income Targets	Non achievement of income targets	Impact of recession/Brexit/Other macro-economic issues - falling number of planning applications, visitor spend etc	Not meet budget estimates. Deficit in corporate budget. Ultimately impact on resources available to the council to provide services	David Butler	4	4	3	3	2	3						
	SRR-006-CD													Review of Building Control service over 2018/19	31/03/20	Completed	100%	Ian Wright
	SRR-006-CD													Promoting services, raise fees and charges, secure planning performance agreements to achieve income and meet targets	14/10/21	Ongoing	100%	David Butler
	SRR-006-CP													More efficient data management	28/06/24	In Progress	55%	Jonathan Wright
Law and Governance	SRR-006-LG	Resilience of Service	Inability to effectively deliver services required by the Council to deliver and support statutory and non-statutory functions	Inability to recruit lawyers to permanent post, leaving service dependent on locum resources and therefore exceeding salary budget The majority of permanent posts have been recruited to. Further advertising of the Litigation and Planning Lawyer posts has not been successful. The Council will have to retain a locum lawyer in litigation and reconsider the recruitment strategy.	Reputational damage; adverse costs; greater reliance on external services and therefore increased costs. Ability to meet Council's own requirements prejudiced.	Emma Jackman	4	3	3	2	3	1						
	SRR-006-LG													Focused recruitment processes, reviewing posts which we struggle to recruit to and taking steps to address and targeted use of locums.	31/03/24	In Progress	70	Emma Griffiths
	SRR-006-LG													Trainee Solicitor apprentice recruited	31/03/23	Completed	100%	Emma Jackman
	SRR-006-LG													Succession plan in place to ensure continuity of service provision given potential retirements amongst senior staff;	31/03/23	Completed	80%	Emma Jackman
	SRR-006-LG													Level of service to be provided to Council companies agreed & monitored; demand managed & workloads monitored	31/03/23	Ongoing	100%	Marcia Ecclestone
	SRR-006-LG													Continuous professional development legal training programme maintained and team participation encouraged	31/03/23	Ongoing	100%	Marcia Ecclestone
	SRR-006-LG													Regular team briefings held	31/03/23	Ongoing	100%	Emma Jackman
	SRR-006-LG													AEA Forum monitoring by senior colleagues around the country. Replies to queries swift. AEA consultancy arm accessible.	31/03/23	Ongoing	100%	Martin John

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Regeneration and Economy	SRR-006-LG													Electoral Services has good relationships with neighbouring and country wide authorities to whom they could turn for advice. Contacts and numbers are on the board in the elections office and maintained in a central record	31/03/23	Ongoing	100%	Martin John	
	SRR-006-LG													Legal Hub and other collaboration arrangements maintained	31/03/23	Ongoing	100%	Emma Jackman	
	SRR-006-LG													Level of service to be provided to external organisations agreed and monitored	31/03/23	Ongoing	100%	Emma Jackman	
	SRR-006-LG													Written procedures, shadowing and cross-skilling in Committee Services	31/03/24	Ongoing	75%	Jonathan Malton	
	SRR-006-RE	Support Team Capacity	Lack of specialist advice or delays to projects caused by support team capacity	Commitments to projects and resourcing of support services (procurement, legal, finance, communities, planning) have not been considered in tandem and therefore resourcing in support areas cannot meet requirements of capital projects	Project delays and inaccurate information reported through governance process	Jenny Barker	2	3	3	3	3	3							
	SRR-006-RE														Raise awareness with the support services on requirements during projects	31/03/24	Ongoing	80%	Carolyn Ploszynski
Planning Services	SRR-007-CD	Government legislation, Democracy and Localism Bill	Substantial changes to the planning system. Relaxation of Change of Use, Prior Approval regime extended Impact of expectations of politicians and the local community impacting on resources and priorities	Government legislation leading to need to redesign processes	Lack of capacity to meet changes coming from government, undermining of the delivery of local policy objectives (e.g. protection of key employment sites). Neighbourhood Plans put pressure on resources and/or seek to challenge City Council	David Butler	4	4	4	4	4	4							
	SRR-007-CD													Maintain responsiveness and plan for change. Make robust representations to Government where appropriate. Maintain a dialogue with groups wishing to bring forward Neighbourhood Plans.	31/03/19	Ongoing	100%	David Butler	
Community Services	SRR-007-LP	Insufficient revenue and capital for each proposed development	Insufficient revenue and capital for each proposed development	Current economic climate/Comprehensive spending review	Developments do not take place	Hagan Lewisman	3	3	3	3	3	3							
	SRR-007-LP													Leisure Delivery Board Overview	22/04/21	Completed	100%	Ian Brooke	
	SRR-007-LP													Solid business case developed for each development	22/04/21	Ongoing	95%	Hagan Lewisman	
	SRR-007-LP													Project Board overview	22/04/21	Ongoing	100%	Hagan Lewisman	
Community Services	SRR-007-PC	Income Targets	Non achievement of Town Hall income targets	Impact of economic circumstances; delays in building maintenance, major disruption to business e.g. fire, major repairs		David Hunt	4	4	1	1	1	1	Income is on target to achieve budget targets						
	SRR-007-PC													Complete capital investment e.g. Main Hall, toilets, kitchens	31/03/19	Completed	100%	Sue Varney	
	SRR-007-PC													Contingency fund for major repairs	31/03/19	Completed	100%	Sue Varney	
	SRR-007-PC													Insurance against loss of income (to be confirmed)	01/08/17	Completed	100%	Sue Varney	
	SRR-007-PC													Project management approach for building projects	31/03/19	Completed	100%	Sue Varney	
	SRR-007-PC													Create a draft recovery plan post Covid / future	31/03/22	Completed	Completed and budget targets have	David Hunt	
	SRR-007-PC													Implement sales & marketing plans including on-going review of the product offered and quality of the facilities available for this	31/03/19	In Progress		Sue Varney	
Regeneration and Economy	SRR-007-RE	Staff Budget	Lack of budget to maintain staffing levels across service. Regen team due to failure to capitalise on the regeneration managers time and lack of funding to maintain current levels for city centre management and economic development teams	Staff budget relies capitalising time and external funding sources	Not being able to maintain staffing level of teams which would mean reduced resource to bring forward projects and programmes.	Carolyn Ploszynski	3	3	2	2	2	2							
	SRR-007-RE													Proactively review funding opportunities to sustain staff levels	31/03/24	Ongoing	80%	Carolyn Ploszynski	
	SRR-007-RE													Ensure that Project Managers time is built into the Capital budgets on future projects	31/03/24	Ongoing	80%	Carolyn Ploszynski	
	SRR-007-RE													Agree an approach to capitalise time with finance across project life cycles and agree day rates	31/03/22	Completed	100	Carolyn Ploszynski	
	SRR-008-RE	Project Delays	Significant delays of capital projects	Unforeseen circumstances, external factors, competing asks on resources	Reduced performance and missed targets on capital projects which affect overall expenditure, MTFP spend or grant stipulations	Carolyn Ploszynski	2	3	4	4	4	4							

Service	Ref	Title	Risk description	Cause	Consequence	Owner	Gross Impact	Gross Probability	Current Impact	Current Probability	Residual Impact	Residual Probability	Comments	Control description	Due date	Control Status	Progress	Action Owner
	SRR-008-RE													Ensure the programme of work of each project is fully scoped and thorough feasibility is conducted	31/03/24	Ongoing	80%	Carolyn Ploszynski
	SRR-008-RE													Good project management with all risks managed and mitigated suitably. Ensure good reporting is conducted by project managers, escalating issues to development board	31/03/24	Ongoing	80%	Carolyn Ploszynski
Planning Services	SRR-009-CD	Opposition	Opposition to emerging statutory plans, and to planning applications and decisions; A) vocal and organised local opposition before decision; B) opposition at Examination or committee stage; C) Legal Challenge after Adoption or planning decision	Local public, groups, organisations or political parties object to policies in emerging documents and choose to use many and all avenues to express objection, including some outside normal procedures and all drawing a lot of media attention . Or opposition to planning applications at, pre-application, after validation. Committee and post decision stages	Delay, extra costs, reputational risk, possibly amendments to policies.	David Butler	4	3	3	3	3	3						
	SRR-009-CD													Raise quality of community engagement as far as possible within available resources to flush out and address community concerns at an early stage in the process	31/03/20	In Progress	100%	David Butler
	SRR-009-CD													Communication strategy to be developed for all key planning & regulatory projects/consultations/communications particularly Local Plan. Work collaboratively on objections raised & provide additional evidence.	31/12/19	In Progress	100%	David Butler
Housing Services	SRR-009-HC	Long term sustainability of HRA business plan	Changes to variable factors threatens investment and service performance and medium term financial strategy	Government legislative changes with respect to welfare reform, rent policy and sale of high value assets. Government rules on Right to Buy receipts mean money not spent in certain timeframe need to be returned to central government with interest. The Rent Cap being set at 7% has limited rental income alongside the pressure of supply, repairs & maintenance and the retrofit agenda will cause significant pressures for the HRA.	Significant reduction to rental income threatens the investment programme in existing stock and new Council housing and the level and quality of landlord services. As well as our ability to respond to retrofit agenda, new decent homes standards and any further demands from regulator.	Nerys Parry	4	3	4	2	4	2						
	SRR-009-HC													Consider recommendations from the commissioned HRA strategic review and use to inform the future HRA business plan and budget process, prioritise and plan for different key work items in coming years.	31/03/24	In Progress	15%	Nerys Parry
	SRR-009-HC													Lobby MHCLG to help shape proposals and implementation. In particular on use of our Right to Buy receipts, and the need for more flexibility through the Covid-19 pandemic and beyond.	31/03/21	In Progress	100%	Nerys Parry
	SRR-009-HC													Lobby DLUHC to help shape proposals and implementation. In particular on use of our Right to Buy receipts, rent convergence and the need for more flexibility through current climate .	31/03/24	In Progress		Nerys Parry
Community Services	SRR-010- CS	Budget and Income	Trading Income from Event hire	Changes to Broad Street, COVID-19, the cost of living impact on the events sector and targeted campaigns against event organisers	Budgeted Target not met	Paula Redway	2	4	1	3	1	2						
	SRR-010- CS													Increase publicity and soft market testing for Broad Street	31/03/24	Ongoing	90%	Paula Redway
	SRR-010- CS													Create and communicate Outdoor Venue Guide	31/12/21	Completed	100%	Paula Redway
	SRR-010- CS													Fees & charges amended as part of the budget process	31/10/21	Completed	100%	Paula Redway
	SRR-010- CS													Recruited an Events Officer	31/10/21	Completed	100%	Paula Redway
	SRR-010- CS													Implement Corporate Debt policy - not needed as the target has already been met no longer necessary	30/11/21	Completed	0%	Paula Redway
Planning Services	SRR-010-CD	New Partnership Challenges	Oxford Growth strategy, and related work including City Deal scheme implementation. Unable to secure partnership agreement in order to deliver work plan commitments with pace to work plan	Unable to reach agreement with partners, necessity to compromise away from best interests, prevarication, delay and effort in the processes	Delay, failure, less favourable out comes, more complex delivery mechanism going forward	David Butler	4	4	3	4	3	4						
	SRR-010-CD													Ensure that Oxford Growth Strategy work is supported, programmes are monitored and pace is maintained with partners and partner councils	31/03/20	In Progress	100%	David Butler
Community Services	SRR-010-LP	Breach in H&S leading to fatality/closure of building	Breach in H&S leading to incident/ injury/ fatality/ closure of leisure facility and/ or service disruption	Failure of health and safety management and monitoring	Risk of injury or death to persons. Reputational risk. Financial claims. Risk of facility closure or service disruption	David Morrell	3	3	4	3	4	3						
	SRR-010-LP													Lead Officer with experience, knowledge and understanding of compliance. Monitor through service delivery meetings. Performance and pay mechanisms for the leisure provider. Timely action through systematic methodology and procedures. Review ODS governance.	01/04/23	Ongoing	70%	Ian Brooke
Community Services	SRR-011-CS	Hinksey heated Outdoor Pool Cover	Incident, injury, vandalism cost liability and negative publicity.	Unauthorised access to the facility and a pool cover installation; Pool cover not operated by the end user as intended (i.e. leisure provider);	Risk of serious incident or injury; Cost liability to the council; Negative PR to the council; Utility and carbon savings not achieved inline with any funding agreement; Un-budgeted R&M or Lifecycle replacement costs to the council; Challenge from the leisure provider; Contract management relationship with the leisure provider.	Ian Brooke	2	4	4	3	3	3	Hinksey Pool safety working group create to reduce trespassing along with a visit on 15th March by an external consultancy to advise on what else could be done to further reduce the risk and the impact.					

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	SRR-011-CS													Higher security fencing in an area where there have been regular incursions	06/12/21	In Progress		David Morrell
	SRR-011-CS													Signage externally and in the pool area highlighting risks	31/12/21	In Progress		David Morrell
	SRR-011-CS													Additional lighting	31/12/21	In Progress		David Morrell
	SRR-011-CS													Positive Client / Contract relationship with the leisure provider	31/03/24	Ongoing	The Leisure Decarbonisation Project Team (LDPT) are progressing options and costs for mitigating risks. Communication is continuing with Fusion. Fusion representatives have been included in part of the mitigation conversations. The LDPT (Officer decision paper completed) have instructed the Councils contractor to progress with installation.	James Baughan
	SRR-011-CS													Client Audit inspections	31/03/24	Ongoing	The Leisure Decarbonisation Project Team (LDPT) are progressing options and costs for mitigating risks. Communication is continuing with Fusion. Fusion representatives have been included in part of the mitigation conversations. The LDPT (Officer decision paper completed) have instructed the Councils contractor to progress with installation.	James Baughan
Housing Services	SRR-011-HC	ICT re-investment projects - delivery failure	Risks relating to the delivery of ICT projects following the ICT Strategic Review, including cost over-runs; project resourcing capacity (operational and technical); delivery timetable delays; quality or specification/ procurement/ provider issues; etc.	Project over-runs or service objectives not achieved through proposed procurement.	Delays in implementation of the Customer Portal impacting the CBL system, online housing application and the enhanced housing options along with the Verssa mobile. Additional administration requirements for operation staff whilst we await a self serve option for tenants and applicants.	Nerys Parry	3	3	3	3	2	3						
	SRR-011-HC													Deliver a replacement Housing System. System is live but with a number of work arounds in place and full functionality not delivered. Aiming for steady state in autumn 2021 and full functionality in May 2022.	31/05/21	Completed	100%	Bill Graves
	SRR-011-HC													Procurement of mobile data solutions completed and mobile devices rolled out across front facing teams, bespoke forms developed to enable Verssa to be utilised.	01/12/23	In Progress		Bill Graves
	SRR-011-HC													Implement the Customer Portal and continue to develop full functionality.	31/03/24	In Progress		Bill Graves
	SRR-011-HC													Complete procurement of MRI (or alternative provider) and begin implementation of CBL portal, online applications and enhanced housing options	31/03/24	In Progress		Bill Graves
Community Services	SRR-011-LP	Loss of key staff members	Prolonged absence or badly planned leave may result in the service area not delivering on its objectives	Staffing structure quite tight, meaning that there can be resource issues	Non delivery of service objectives	Ian Brooke	3	4	3	4	3	3						
	SRR-011-LP													Monitor through service delivery meetings	23/04/21	Ongoing	100%	Hagan Lewisman
Law and Governance	SRR-012-LG	External Legal Resources	External legal costs exceed budget	Unpredictability of costs which may arise. Due to increase demand in client departments for legal support, capacity issues continue which has an impact on ELA requirements.	Budgetary pressure	Emma Griffiths	3	4	3	2	2	2						
	SRR-012-LG													EM Lawshare framework arrangement enables more robust budgeting	31/03/23	Ongoing	100%	Marcia Ecclestone
	SRR-012-LG													Close liaison with internal clients to secure appropriate budget for projects requiring external legal services	31/03/23	Ongoing	100%	Marcia Ecclestone

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	SRR-012-LG													Use of external legal advisors limited & controlled (prior approval of Head of Service/Legal Services Manager required); presumption - internal legal team to be relied upon unless no expertise/resource	31/03/23	Ongoing	100%	Marcia Ecclestone
	SRR-012-LG													Active management of budget & issues of concern flagged at budget monitoring meetings	31/03/23	Ongoing	100%	Emma Jackman
Community Services	SRR-012-LP	Insufficient resource and market demand to deliver financial plan	A stringent focus is on this work although the macro env continues to increase the challenges. There is a risk of there not being enough resource (staff time), and/or market demand to deliver the level required	Not enough staff time / insufficient demand for additional activities	Reduced delivery of efficiencies	Ian Brooke	4	3	3	3	3	3						
	SRR-012-LP													Undertake feasibility works and monitor through SPM	23/04/21	In Progress	90%	Hagan Lewisman
Regulatory Services and Community Safety	SRR-013-ED	Public Health Protection	Threats to public health eg., from food borne communicable disease	Uncontrolled spread of diseases; illness and possible deaths; damage to Council reputation.	Failure to adequately control/respond to outbreaks.	Ian Wright	4	4	3	3	3	3						
	SRR-013-ED													Competent and experienced specialist staff; effective links with Public Health & the UKHSA; protocols for outbreak and control.	31/03/24	In Progress	90%	Ian Wright
Housing Services	SRR-013-HP	Property Related Health and Safety Failure	Property related health and safety failure (HRA)	Lack of statutory compliance. Potential for system failure. Particular focus on tower blocks compliance.	Occupiers put at risk. Prosecution of Oxford City Council.	Steve Stansfield	4	2	3	2	2	1						
	SRR-013-HP													Ongoing monitoring and surveillance of property to ensure compliance. 6 month trial secondment in place H&S lead being put in place	31/03/21	In Progress	50%	Jane Winfield
	SRR-013-HP													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. PS lead directly involved	31/03/21	In Progress	70%	Jane Winfield
	SRR-013-HP													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.	31/03/21	In Progress	70%	Jane Winfield
Housing Services	SRR-014-HC	Delivery Failure - Adult Homeless Pathway Transformation programme.	Risks relating to the delivery on time of the Alliance transformation programme to provide sufficient reprofiled services of good quality across the County.	Project over-runs or service objectives not achieved through proposed approach and subsequent procurement. Reduction in funding from DLUHC. High inflation increasing costs for providers causing services to be reduced.	Increased rough sleepers; more statutory homeless presentations; the need for increased City Council investment to maintain quality services, etc.	Nerys Parry	3	3	4	4	3	3						
	SRR-014-HC													Submit new funding bid to MHCLG (NSAP).	31/03/21	Completed	100%	Nerys Parry
	SRR-014-HC													Implement new funding for move-on accomodation made available through government funding schemes, SHAP & RSI.	31/03/21	In Progress	80%	Richard Wood
	SRR-014-HC													Senior officer and Member commitment to on-going joint working with the County. Districts and others around transformation programme, including future financial and commissioning arrangements, and Countywide Strategy.	31/03/24	In Progress	80%	Richard Wod
	SRR-014-HC													Work with Alliance and commissioning partners to ensure that service provision and access to accommodation is transformed in line with the countywide strategy, including moving to a housing-led and more person centered approach.	31/03/24	In Progress		Richard Wood
	SRR-014-HC													Continue to work closely with DLUHC and St Mungo's regarding future of a Somewhere safe to stay provision in Oxford	31/03/24	In Progress		Richard Wood
Financial Services	SRR-015-FI	Budget Management	Inability to forecast outturn effectively due to limited or incorrect information	There are significant efficiency savings and service reductions across the board as a result of budget process, and these may be difficult to deliver, or to understand if they will be delivered timely.	Increased use of balances or further reductions to be identified	Sonal Khade	2	2	2	2	2	2						
	SRR-015-FI													Regular forecast updates ensure the Council stays within budget	31/03/23	In Progress	50%	Sonal Khade
	SRR-015-FI													Robust challenges by MAs and BPs during the budget monitoring process	31/03/23	In Progress	50%	Sonal Khade
Community Services	SRR-015-LP	Safeguarding	Safeguarding vulnerable groups including children.	Poor training off and recognition of safeguarding principals. Poor monitoring and compliance regimes	Risk to Council reputation. Risk of allegation. Risk to public safety	Hagan Lewisman	4	3	4	2	4	2						
	SRR-015-LP													Staff Training	30/06/21	In Progress	95%	Hagan Lewisman
	SRR-015-LP													Lead Officer with experience, knowledge and understanding of compliance requirements.	22/04/21	Ongoing	100%	Hagan Lewisman
	SRR-015-LP													Relevant and timely processing of criminal record checks	22/04/21	Ongoing	100%	Hagan Lewisman
	SRR-015-LP													Timely action and monitoring through systematic methodology and procedures	22/04/21	Ongoing	100%	Hagan Lewisman

Service	Ref	Title	Risk description	Cause	Consequence	Owner	Gross Impact	Gross Probability	Current Impact	Current Probability	Residual Impact	Residual Probability	Comments	Control description	Due date	Control Status	Progress	Action Owner
Law and Governance	SRR-016-LG	ICT	Reliance on ICT and System Failures - Modgov, Iken, IDOX and eCase. Also need to move Legal to a cloud based version of IKEN so that they can be migrated to O365 without delay.	Insufficient support for critical systems and lack of timely roll out of appropriate device solution for Members	Officers and Members operating inefficiently or being frustrated in the discharge of their roles	Emma Jackman	4	4	4	3	3	2						
	SRR-016-LG													Electoral Services are developing contingency plans in the event of ICT failures	31/03/24	In Progress	80%	Martin John
	SRR-016-LG													Committee Services have contingency plans in place for ICT failures	31/03/24	Ongoing	40%	Jonathan Malton
	SRR-016-LG													Close liaison with ICT; articulation of the needs of Members; Iken upgrade implemented	31/03/23	Ongoing	100%	Emma Jackman
	SRR-016-LG													Escalation of issues as they arise using the Service Desk Portal	31/03/23	Ongoing	100%	Emma Jackman
	SRR-016-LG													Moving to cloud based solutions for each of the ICT systems – Elections and Info Governance done, IKEN and Mod.gov to be progressed	31/03/23	Ongoing	50%	Emma Jackman
	SRR-016-LG													Regular training and user groups in respect of the systems	31/03/23	Ongoing	100%	Emma Griffiths, Jonathan Malton, Martin John
Financial Services	SRR-017-FI	Corporate Fraud	Suppliers set up on payment system that are not genuine or requests to change bank account details that are not genuine	Third parties attempt to defraud the council	Payments being misappropriated, loss of public monies	Annette Osborne	3	3	3	3	3	2						
	SRR-017-FI													All new suppliers are fully checked and vetted	31/03/21	Ongoing	100%	Annette Osborne
	SRR-017-FI													Ensure any request to change bank details is checked by two individuals	31/03/21	Ongoing	100%	Annette Osborne
	SRR-017-FI													Monthly exception reporting of any changes made	31/08/18	Closed	100%	Annette Osborne
Law and Governance	SRR-017-LG	Legal Income	Income target not achieved	Failure to secure external work	Budgetary Pressure	Emma Jackman	3	3	3	3	3	2						
	SRR-017-LG													Regular contact with existing clients maintained to ensure understanding of service requirements. New clients sought. Team encouraged to take on external work as it arises	31/03/24	Ongoing	60%	Emma Griffiths
	SRR-017-LG													Provision of responsive service that meets clients' needs. Client satisfaction feedback sought and acted upon	31/03/24	In Progress	80%	Emma Griffiths
	SRR-017-LG													Effective arrangements in place to monitor workloads	31/03/24	In Progress	85%	Emma Jackman
	SRR-017-LG													Active management of budget & issues of concern flagged at budget monitoring meetings	31/03/23	Ongoing	100%	Emma Jackman
	SRR-017-LG													Keep fees and charges under review to ensure competitive but also cost recovery – annually	31/03/23	Completed	75%	Emma Jackman
Financial Services	SRR-018-FS	Management effectiveness and employee ability to deliver services	Excessive pressure placed on staff and managers	Increased workloads and increased volumes of emails and online meetings in addition to increasing demands arising from the "day job"	Staff burnout; increased incidence of stress; Nigel Kennedy lack of capacity to deliver work demands	Nigel Kennedy	4	4	4	4	3	3						
	SRR-018-FS													Manage corporate expectation of timescales and delivery	31/03/21	Ongoing	60%	Nigel Kennedy
	SRR-018-FS													Prioritise and manage performance and workloads to ensure that the work is manageable and identify early problems	31/03/21	Ongoing	60%	Nigel Kennedy
	SRR-018-FS													Staff away day sessions and staff interaction	31/03/21	Ongoing	50%	Nigel Kennedy
Law and Governance	SRR-018-LG	Complaints Handling	Failure of corporate complaints process resulting in Ombudsman intervention	Reliance on limited number of officers	Reputational risk. Additional complaints and/or ombudsmen intervention.	Emma Jackman	3	4	3	4	2	1						
	SRR-018-LG													Alternative officers identified by Chief Executive; Access Head of Law and Governance to complaint records possible via M drive.	31/03/23	Completed	100%	Alice Courtney
Financial Services	SRR-019-FS	Health & Safety	Staff are subject to volatile situations in the course of their duties and possible harm	Robust & challenging conversations held with subjects of investigation during interviews and visits leading to escalation tension and possible physical assault.	Staff subject to harm and subsequent short or long-term sickness, reduced resources.	Scott Warner	1	1	2	2	2	2						
	SRR-019-FS													All staff trained in conflict resolution & comply with team processes on ensuring personal safety, including use of personal attack alarms, smartphone location app, lone worker devices, providing whereabouts information in advance	31/03/24	In Progress	92.00%	Scott Warner
Community Services	SRR-020-CS	Community Cohesion Erodes	The risk that social and community cohesion will be negatively affected, detracting from our aims to encourage strong and active communities.	Britain's exit from the EU, shifts in national politics, and subsequent shifts in society's perceptions.	1.Uncertainty and instability in political climate leads to social and political polarisation - this in turn could lead to political fallout/shifts in management and risk of the council developing a bad reputation 2.Political instability means social instability / unrest, leading to higher rates of hate crime. Deepening cleavages in society divides communities, with settled communities feeling neglected by local authorities in favour of new/emerging communities - diversity is seen as a threat for some. 3. Social unrest can have negative effects on health, which carries risk of widening existing health inequalities across the city.	Ian Brooke	3	5	3	3	3	3						

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	SRR-020-CS													Encourage dialogue between communities (existing and new / emerging) through development of existing and potential community and health & wellbeing partnerships with clear area priorities. Re-energise and maintain clear communication and community / stakeholder engagement strategies. Consider how strategy matches public perceptions / political agenda and refresh council values to reflect these.	29/03/25	In Progress	60%	Ian Brooke
	SRR-020-CS													This is a central theme to the Thriving Communities Strategy that has been agreed by Council in January 2023.	06/04/23	In Progress	70%	Ian Brooke
Financial Services	SRR-020-FS	Budget and Income	Failure to deliver profiled trading income due to external factors	Reduced appetites for external clients and partners to spend on counter-fraud services due to cost of living crisis, politics or competing priorities	Trading income targets not achieved, medium term financial plan compromised, budgetary overspend.	Scott Warner	1	1	2	1	1	1						
	SRR-020-FS													Mitigated through enhanced business development activity, exhibiting at relevant conferences and delivery of the Oxford Annual Conference in the Town Hall. Business Plan and Marketing Strategy in place.	31/03/24	In Progress	92.00%	Scott Warner
	SRR-020-LG													Inability to recruit lawyers to permanent posts, leaving us dependent on locum resources and therefore exceeding salary budget.	01/04/23	In Progress	40%	Marcia Eccleston
Financial Services	SRR-021-FS	Performance	Failure to achieve service plan targets and objectives due to unplanned staff absence or turnover including sickness	Some fixed term contracts in the team increase risk of staff looking to alternative roles with other organisations.	Targets not achieved, trading income compromised, inability to service external contractual commitments	Scott Warner	1	1	3	2	3	1						
	SRR-021-FS													Resilience contract in place with Reigate and Banstead Council for assistance when needed. Use of master vend recruitment agency where required.	31/03/24	In Progress	92.00%	Scott Warner
Law and Governance	SRR-022-LG	Budgetary issue	Increase in the cost of postage causing budget pressures	The rise in the cost of postage has increased in recent years (with another in-year rise of 15% due)	Pressure on budgets beyond what is acceptable	Martin John	3	3	3	2	3	1						
	SRR-022-LG													A bid will be submitted to the Council to increase the postal element of the electoral services budgets (both elections and elec reg)	29/02/24	In Progress		Martin John
Law and Governance	SRR-023-LG	Voter ID provisions	Issues around the introduction of voter ID measures, due in Oxford in May 2024 (or any preceding by-elections)	The provisions within the Elections Act 2022 mean that the Council's RO has to put in place systems to allow the production of ID in order for an elector to vote at a polling station.	Potential issues with ID, training staff, getting the message out to electors about the new measures and the availability of VACs if they have no valid ID	Caroline Green	4	4	4	3	4	2						
	SRR-023-LG													Project Group formed., inc the CX/RO, Elections Team and Comms. Elections Team worked at other Oxon districts in May 23, already sent leaflet with CCA/CCBs, engagement plan in development.	31/05/24	In Progress		Martin John
Law and Governance	SRR-024-LG	FOIA and DPA compliance	Failure to comply with statutory deadlines in terms of information Requests and Data Subject Access Requests. Failure to properly manage personal data.	Failure of other council departments and officers to contribute and approve in timescales required	Reputation risk, ICO action could result.	Emma Jackman	3	3	3	3	3	3						
	SRR-024-LG													Set up the new management system for information governance to ensure reminders, prompts, and communications managed with internal teams	31/03/24	In Progress		Emma Griffiths
	SRR-024-LG													Corporate training (compulsory) to be pushed to ensure that the council has maximum take up	31/03/24	In Progress		Emma Griffiths
	SRR-024-LG													Undertake departmental audits of data retention and tie in with migration to One Drive and SharePoint	31/03/24	In Progress		Emma Griffiths
	SRR-024-LG													Review retention policies and processes going forward to ensure future management of information is properly undertaken	01/10/24	In Progress		Emma Griffiths
Law and Governance	SRR-025-LG	Data Protection	Data Protection Breach and Non-Compliance with Data Protection Law	Failure of the organisation to adhere to data protection law would cause issues for the team in terms of capacity and work implications	Increased workload on a small team. Organisation could suffer reputational damage and/or have fines levied against them by ICO. Reputational risk for Service & Council Financial penalties for Council & employees. Potential litigation against Council with damages/adverse costs	Emma Jackman	4	3	4	3	2	2						
	SRR-025-LG													GDPR Action Plan Review - What next	31/10/22	In Progress	60%	Emma Jackman
	SRR-025-LG													Manage Actions of Law and Governance Service Action Plan on an ongoing basis. Reviewed annually with the Service Action Plan	31/03/24	Ongoing	70%	Emma Jackman
	SRR-025-LG													Prepare guidance; policies and procedures	31/03/22	In Progress	60%	Emma Jackman
	SRR-025-LG													Provide data protection legal support as required	31/03/23	In Progress	60%	Emma Jackman
	SRR-025-LG													Ensure L&G Service complies with corporate policies and guidelines on data protection and ICT security	31/03/23	Ongoing	100%	Emma Jackman
	SRR-025-LG													Meet corporate training requirements	24/03/22	In Progress	10%	Emma Jackman
	SRR-025-LG													Properly respond to data subject access requests	31/03/22	In Progress	80%	Emma Jackman
Community Services	SRR-028-PCC	Sponsorship	Failure to achieve sponsorship income targets	Business climate.	Difficult to sustain city events and cultural activity on an annual basis.	Paula Redway	4	2	2	2	1	2						Ian Brooke

Service	Ref	Title	Risk description	Cause	Consequence	Owner	Gross Impact	Gross Probability	Current Impact	Current Probability	Residual Impact	Residual Probability	Comments	Control description	Due date	Control Status	Progress	Action Owner
	SRR-028-PCC													Sponsorship in place for Christmas Light Festival. Development Board seeking sponsorship for MOX. Sponsorship being sought for May Morning with call out to businesses supported via CMT. Unfortunately the change to advertising focus has reduced the income offer from Red Bull - working hard to try to increase this	31/03/24	Ongoing	90%	Paula Redway
	SRR-028-PCC													All members of the team engage in sponsorship - £4K has been raised recently for the Festive lighting in Gloucester Green over a 3 year period.	31/03/21	Completed	100%	Paula Redway
	SRR-028-PCC													Target met for this year	31/03/21	Completed	100%	Corporate Risk Management
Financial Services	SRR-034-BIT	Procurement	Risk of challenge	Failure to follow best practice	Reputation of Council. Financial penalty. Poor decision making and financial loss due to potentially awarding a contract to the wrong supplier. Potential delays in achieving organisational objectives as a result of challenge and if decision set aside	Annette Osborne	3	3	4	4	3	3	Increased Residual Probability based on recent events					
	SRR-034-BIT													Clear and unambiguous best practice guidance and templates readily available, providing an advisory service for procurements below £100k.	31/03/21	Ongoing	100%	Annette Osborne
	SRR-034-BIT													Development and monitoring of a forward plan to identify potential high risk areas (early intervention)	31/03/21	Ongoing	100%	Annette Osborne
	SRR-034-BIT													Evaluation panels include a cross selection of officers and professional staff, proportionate to the value and risk of the contract being tendered	31/03/21	Ongoing	100%	Annette Osborne
	SRR-034-BIT													Providing up to date and relevant training to commissioners	31/08/18	Ongoing	100%	Annette Osborne
	SRR-034-BIT													Regular monitoring of spend and contracts that need to be re tendered and are not allowed to be rolled on	31/03/21	Ongoing	100%	Annette Osborne
Business Improvement	SRR-039-BIT	Corporate Management	Managers not equipped to meet the changing needs of the organisation	Development of Fit for the Future Programme, gives new accountabilities and responsibilities for Leaders	If not addressed service improvements and efficiencies not delivered	Helen Bishop	3	2	3	3	2	2						
	SRR-039-BIT													HR Support & Business Partners review processes to support organisation and deliver revised service supported by SLA	31/03/24	In Progress	80%	Helen Bishop
	SRR-039-BIT													Leadership development programme	31/07/23	Completed	90%	Gail Malkin
	SRR-039-BIT													Review key policies and deliver relevant training	31/03/24	In Progress		Gail Malkin
Business Improvement	SRR-044-BI	Budget pressures	Budget pressures in Customer Services, including Customer Contact and Corporate Support teams	Increased workload Improvements not delivered to improve services and reduce resource requirement Insufficient funding for workforce	Service savings not acheived	Helen Bishop	3	3	3	3	2	2						
	SRR-044-BI													Tight establishment control in conjunction with Finance	31/03/24	In Progress	60%	Helen Bishop
	SRR-044-BI													Corporate governance of CEX programme to include regular monitoring and escalation where appropriate	31/03/24	In Progress		Helen Bishop
Community Services	SRR-CoS001	Decarbonisation Programme - Impact to leisure operator & service provision	Impact to leisure operator & service provision from the programme of works for the decarbonisation of council community assets	Full or partial facility closures to deliver the decarbonisation and enabling programme of works, within the PSDA (Salix) timelines.	Impact on the councils MTFP. Compensation claim from the leisure operator. Reputational risk to the council, interim reduction in wellbeing & resilience opportunities for our communities and residents.	David Morrell	5	5	1	2	1	1						
	SRR-CoS001													Asbestos in the Ferry pool plant & boiler area	30/08/21	Completed	100%	Ian Brooke
	SRR-CoS001													Additional money in capital budget to cover if required		Completed	100%	Ian Brooke
	SRR-CoS001													Delivery timelines		Completed	100%	Ian Brooke
	SRR-CoS001													Desktop feasibility, work with consultants and dialogue with Salix Finance & the Leisure Provider		Completed	100%	Ian Brooke
	SRR-CoS001													Contractual position and liability between Landlord & Tenants		Completed	100%	Ian Brooke
	SRR-CoS001													System validation of M&E equipment		Completed	100%	Ian Brooke