

| Risk Management 2010/2011 April 2010 - March 2011 | | | | | | | | | | | | | |
|--|------------------|--|----------------------|-----------|----------------------|---------|--|----------------------|-----------|----------------------|---------|---------------------|--|
| Risk Heading | Owner | Description | Q3 : December 2010 | | | | Controls | Q4 : March 2011 | | | | Direction of Travel | Comments this quarter |
| | | | Gross Risk Rating | Gross RAG | Net Risk Rating | Net RAG | | Gross Risk Rating | Gross RAG | Net Risk Rating | Net RAG | | |
| Strategic Risks | | | | | | | | | | | | | |
| STRAT01 Deprivation & Equalities | Ian Davies | The risk in not breaking the cycle of deprivation and addressing inequalities across the District is that the life opportunities of residents in the greatest need will not be improved and as a result the reputation of the Council will suffer. The risk is particularly acute in areas such as the Neithrop, Ruscote and Grimsbury wards in Banbury where there is a high level of deprivation as measured by the Government's indices of multiple deprivation. | High Medium 12 | A ! | Medium 9 | A | Proposals include a) Long term approach for support to local people and communities as many issued can only be addressed on this basis b) Multi agency action with clear and common objectives c) Additional funding from Government grants to supplement current resources | High Medium 12 | A ! | Medium 9 | A | ⇒ | |
| STRAT02 Eco Town | John Hoad | The risks are that national and local policy support and resources will be inadequate to support the development of the NW Bicester Eco-Town. As a result the Council may fail to fully exploit the Eco-Town as an opportunity to develop a centre of excellence in terms of sustainable living. | High 16 | R | Medium 8 | A | a) Planning policy development through Local Development Framework. b) Eco Bicester Town Project plan and related partnership working with private and public sector partners c) Dedicated Project Team | High 16 | R | Medium 8 | A | ⇒ | Government intent is to review national planning policy framework, including Eco-town's PPS supplement. Local policy development in LDF Core Strategy and 'Eco-Bicester' - one shared vision is needed to ensure direction for the project |
| STRAT03 Local Development Framework | Philip Clarke | The risks are that the Local Development Framework is not prepared adequately, in time, or is found unsound at public examination. Such outcomes would result in further risks arising from speculative planning applications, undesirable major developments and / or expense for the Council in contesting planning appeals. An unsound plan would mean that the Council would have to repeat 2 to 3 years work at high cost. | High 20 | R | High Medium 15 | A ! | This risk will be managed through close dialogue with GOSE and other local authorities. Interim advice from the SoS is anticipated during July and Councillors will be advised when more is known. | High 20 | R | High Medium 15 | A ! | ⇒ | |
| STRAT04 Economic & Social Changes | John Hoad | The risk is that the Council does not identify and respond to general economic and social changes and as a result would not fulfil its role as a community leader and a provider of top quality services driven by a clear understanding of community and individual needs. | High 16 | R | High Medium 12 | A ! | Control measures remain the same a) Service and financial planning process b) Sustainable Community Strategy c) Economic Development Strategy and related partnership activities | High 16 | R | High Medium 12 | A ! | ⇒ | Note: review of Economic Development Strategy via LSP in progress. Final strategy to be published May 2011. Strategy indicates response to changing economic conditions. Public sector spending restraint will impact on ability of CDC / partners to respond to local issues. |
| STRAT05 Horton Hospital | Ian Davies | The risks to maintaining the Horton Hospital as a facility that meets community aspirations for local health provision are the deliverability and affordability of a revised consultant delivered service model for paediatrics and obstetrics. Failure of either will jeopardise current service provision and could result in a service reduction from the Horton. | High 16 | R | Medium 9 | A | a) Support to the PCT in challenging ORHT proposals b) Providing evidence of deliverability of consultant delivered services elsewhere c) Gaining consensus locally that this is important | High 16 | R | Medium 9 | A | ⇒ | |
| STRAT06 The Natural Environment | Ed Potter | The risk is that the Council does not take the necessary actions to meet its obligation, as set by National Government, to ensure its own operations and that of its District's residents and businesses reduce their carbon footprints. | High Medium 15 | A ! | Medium 9 | A | a) Environmental Strategy for a changing climate b) Responsibility for delivery plans for the Environmental Strategy clear c) Relevant delivery groups | High Medium 15 | A ! | Medium 09 | A | ⇒ | |
| STRAT07 Managing Change | Anne-Marie Scott | The risk is that the Council does not adequately manage the impact of major change programmes on organisational performance and individual morale. | High 16 | R | High 16 | R | Change management policies in place External legal and HR support planned Project management approach applied, incorporating risk identification and mitigation | High 16 | R | Medium 9 | A | ⇒ | |
| STRAT08 Financial Resources | Karen Curtin | The risk is that in an uncertain economic and financial climate the Council will not have the resources to deliver its corporate priorities. Poor economic conditions also tend to produce increased demand on services. As the Council's income from capital reduces our dependency on interest to support revenue expenditure must also reduce and capital assets will need to be rebuilt to fund future infrastructure investments. Failure to do either will result in budgetary shortfall, service reductions, above inflation increases to council tax and lack of capital to fund future community schemes. | High 16 | R | High Medium 12 | A ! | Whilst we don't under estimate the challenges presented as a result of the economic downturn, the council's financial position remains strong ensuring we are able to continue to meet our priorities in the future. Our rolling programme of VFM reviews has generated cost reductions of £3.7m over the last 3 years, proving our ability to deliver identified savings in full over extended periods of time. Support costs and frontline services alike have been subject to VFM reviews. We have reduced support costs by £1m over the last 3 years, a reduction of 18% in real terms. a) Budget 2010/11 b) Medium financial strategy and sensitivity analysis c) Workforce planning d) Dashboard – budget monitoring | High 16 | R | High Medium 12 | A ! | ⇒ | Continue to monitor regularly. New MTFS being prepared for May Executive will consider this further |

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| STRAT09 Shared management with South Northants District Council Resources | Ian Davies | The risk that the shared management arrangements fail to be effectively managed and implemented and will adversely impact upon the Council's financial position and ability to balance its budget with further cutting service budgets. Other potential adverse affects include: • Loss of key staff and declining morale • Loss of organisational reputation • Legal challenge • Decline in organisational performance • Failure of ICT system to be effectively integrated for shared management There is a comprehensive list of risks established in the development of the shared management business case and these are detailed in Appendix 6 of the business case and contain details of risk, controls and mitigations. | | | | | RS09a Joint Arrangement Steering Group and terms of reference in line with S113 agreement • RS09b Steering group supported with professional legal and HR advice • RS09c Steering group includes senior elected members and managers from both organisations • RS09d Steering Group will provide regular reports and keep risk under review. • RS09e Professional recruitment consultants appointed • RS09f Communications briefings in place • RS09g Business case developed and agreed • RS09h ICT work programme in place | High Medium 16 | | Medium 6 | | New risk added First Report | |
| Corporate Risks | | | | | | | | | | | | | |
| CORP01 Health & Safety | David Marriott | The risk is that a failure to comply with health and safety and welfare legislation and policies could lead to injuries and death, high sickness absence and claims and litigation against the Council. | High 20 | R | High Medium 10 | A ! | a) Wide range of Health & Safety policies and procedures in place as set out on the Council's intranet b) Training is given to all relevant staff undertaking manual work c) Relevant safe working practice notes are issued as part of standard induction procedures | High 20 | R | High Medium 10 | A ! | ➡ | |
| CORP02 Capital Investments | Karen Curtin | The risk is to the Council's ability to fund its activities because of a reduction in investment income or income from other capital assets such as buildings. | High 16 | R | High Medium 12 | A ! | a) Utilisation of treasury management advisors to assist with investing in strong rated institutions. b) We adhere to an annual investment strategy that complies with CIPFA code c) All rental income from buildings is monitored monthly and managed by the Head of Estates to minimise the number of "empty" properties. In this economic climate we will review our occupancy rates. d) Budget 2010/11 e) Medium term financial strategy f) Asset Management Strategy g) Dashboard – budget monitoring h) Annual Treasury Management Strategy i) Counterparty Lists | High 16 | R | Medium 9 | | ↗ | Use of investment income remains under review and will be considered in MTFS refresh in May 2011. |
| CORP03 ICT Systems | Pat Simpson | 1) ICT unable to provide Disaster Recovery Services as required by the Business Continuity Plan. 2) Loss of ICT systems that would have a significant negative impact on service delivery and cause exceptional costs to the Council. | High 20 | R | Medium 8 | A | 1a) Disaster Recovery Plan to be tested by system administrators on a 6 monthly schedule. 2a) Architectural approach of systems and implementation of key projects is quality assured by external auditors; 2b) Annual compliance with ISO 27001 through annual testing of operation procedures by external auditors | High 20 | R | Low 4 | | ↗ | A successful test invocation at the request of Elections was carried out this month. A full test is planned for after the work at Thorpe Lane is complete |
| CORP04 Equalities Legislation | Claire Taylor | The risk is the Council may be open to litigation and loss of reputation if it is not compliant with equalities legislation. | High Medium 15 | A ! | High Medium 12 | A | a) Equalities scheme b) Mandatory Equalities Training c) Equalities performance monitored through d) PMF e) IDEA Peer assessment planned for 2010 f) Equalities steering group and communications plan | High Medium 15 | A ! | High Medium 12 | A | ➡ | Risk associated with EIAs still increased. Review of EIAs taken place as part of service planning. |
| CORP05 Job Evaluation | Anne-Marie Scott | The risk is the impact of a significant number of appeals arising from the Job Evaluation scheme on the resources of the Council and Human Resources in particular. Also there is a risk that Job Evaluation may encourage staff to pursue equal pay claims due to greater awareness. | High Medium 12 | A ! | Medium 6 | A | 1) Consultation with employee representatives 2) Equal pay audit 3) Job Evaluation project 4) Removal of Company Car Scheme | High Medium 12 | A ! | Low 4 | | ↗ | |

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| CORP06 Civil Emergency | Paul Marston-Weston | Civil Emergency | High Medium 15 | A ! | Medium 5 | A ! | As a Category 1 Responder under the Civil Contingencies Act 2004, the Council has a duty to prepare and maintain an Emergency Plan which is updated on a regular basis. Furthermore, the plan has an annual testing and exercising schedule. Table top exercises are carried out annually to test the robustness of the plan and for plan familiarisation. Training is also provided as necessary to relevant staff to enable them to undertake effectively their emergency planning duties/role. | High Medium 15 | A ! | High Medium 10 | A ! | ➡ | |
| CORP07 Data Quality | Claire Taylor | The risk is that unreliable data sources are used to support decision and policy making putting the Council at risk of making poor decisions. Decisions are made on the basis of information about the population and the nature of the district. If data is out of date, incomplete or inaccurate, those decisions may turn out to be inappropriate. | High Medium 12 | A ! | High Medium 12 | A | a) Single trusted data source available for all decision makers to access b) Use external trusted and reliable data source as the basis for our own information c) Internal audit programme for performance indicators d) Initiate a series of data quality health checks | High Medium 12 | A ! | High Medium 12 | A ! | ➡ | |
| Partnership Risks | | | | | | | | | | | | | |
| PART01 Local Area Agreement | Claire Taylor | The risk is the failure to deliver the Council's elements of the Local Area Agreement having a negative impact on service delivery to the public, the Council's reputation with other local authorities and this being reflected in national inspection regimes. | High Medium 12 | A ! | Medium 9 | A | a) PMF b) High level of District engagement in LAA2 negotiation c) CDC coordination of all Oxon districts LAA performance management arrangements. d) LSP management group to monitor performance | High Medium 12 | A ! | Medium 9 | A | ➡ | LAA will cease to exist at year end. Risk will be removed from the register. |
| PART02 Local Strategic Partnership | Claire Taylor | The risk is the failure of the Local Strategic Partnership to deliver its objectives having a negative impact on service delivery to the public, the Council's reputation with other local agencies and this being reflected in national inspection regimes. | Medium 9 | A | Medium 9 | A | a) Partnership governance review implemented b) Management group to support implementation of LSP decisions c) Annual self assessment of performance | Medium 9 | A | High Medium 12 | A ! | ➡ | LSP retains watching brief on policy changes. Commitment to partnership has been reiterated. |
| PART03 Community Safety Partnership | Chris Rothwell | Failure of the Community Safety Partnership to deliver a continuous reduction in crime and the fear of crime. | High Medium 12 | A ! | High Medium 12 | A | The four Action Groups produce annual action plans to deliver the priorities of the partnership. This is monitored bi-monthly by the partnership's performance management team (CDC head of service and TVP local commander) which reports into the quarterly strategic partnership meetings. | High Medium 12 | A ! | High Medium 12 | A | ➡ | |
| PART04 Spatial Planning & Infrastructure Partnership | John Hoad | The risk is the failure of the Spatial Planning and Infrastructure Partnership to establish itself as an effective body locally and in relations with National Government. The consequences are reduced funding for the local area and failure to fully exploit development and infrastructure provision opportunities. | High Medium 12 | A ! | Medium 8 | A | Control Measures remain the same. a) Partnership Work Programme / Forward Plan b) Resource provision for Partnership work (use of LAA Reward Grant) | High Medium 12 | A ! | Medium 8 | A | ➡ | SPIP role/work plan currently under review in light of new partnership, environment and emergence of Local Enterprise Partnerships. This may eventually necessitate revision of this risk. |

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| Indicated by:- | How the risk should be managed |
| High | Requires Active Management High impact / High Probability: this risk requires active management to manage down and maintain the exposure at an acceptable level. Escalate upwards. |
| High Medium | Contingency Plans Required A robust contingency plan is required, together with early warning mechanisms to detect any deviation from the profile. Escalate upwards. |
| Medium | Monitoring Required This risk may require some additional risk mitigation to reduce the likelihood (if it can be done cost effectively), but good housekeeping to ensure that the impact remains low should be adequate. Monitor to identify any change in the risk. |
| Low | Review Periodically This risk is unlikely to require further mitigating actions, but the status should be reviewed quarterly to ensure that conditions have not changed. |
| ➡ | Risk rating stayed the same Last quarter compared to this |
| ↗ | Risk rating improved Performance increased (risk rating decreased) Last quarter compared to this |
| ↘ | Risk rating worsened Performance declined (risk rating increased) Last quarter compared to this |