

CDC and Shared Risk Report

Council	Ref.	Name	Description	Inherent Impact	Inherent Probability	Gross Risk	Current Impact	Current Probability	Residual Risk	Last updated	Change	Since		
Shared	C01	Business Continuity	Plans are not in place and assumptions are made about the Disaster Recovery (DR) arrangements in the event of a Business Critical (BC) incident, leading to failure to ensure services can be delivered in the event of a issue resulting in service failure and reputational damage	5	4	20	▲	3	4	12	●	Jun-16	➔	Mar 16
<p>Current Controls : Business continuity strategy in place All services prioritised and recover plans reflect the requirements of critical services ICT disaster recovery arrangements in place Joint Management Team lead identified Incident management team identified All services undertake annual business impact assessments</p> <p>Mitigating Actions : As part of the review of the Public Protection service a need to provide a dedicated resource to improve business continuity was identified; a new Emergency Planning Officer is now in post and will start to review and improve business continuity arrangements; the new ICT service will also include a Disaster recovery arrangements to support business continuity.</p> <p>Assurances : There is a systematic project in place focusing on critical services to ensure that absolute requirements can be met; planned testing to be arranged. Audit and business continuity plan refresh Quarter 4</p>														
CDC	C02	CDC - ICT Loss of Systems	Failure of ICT services including telephones and remote access. Leading to a negative impact on customers, loss of business continuity and cost to the council (in terms of resources and reputation.)	4	4	16	▲	3	3	09	●	Jun-16	➔	Mar 16
<p>Current Controls : BCP Plan Disaster recovery (DR) arrangements (CDC) Recovery site (CDC) Back up of systems Process and standards (compliance regime)</p> <p>Mitigating Actions :</p> <p>Assurances : Formal auditing, ICT Health check and benchmarking with best in private and public sector.</p> <p>Risk - Quarterly Review Risk remains unchanged</p>														
Shared	C04	Corporate Fraud	Lack of corporate governance and control results in fraud from either within or outside the councils heightened by the transfer of staff to the Single Fraud Investigation Service (SFIS) from February 2015.	4	4	16	▲	4	3	12	●	Jun-16	➔	Mar 16
<p>Current Controls : Professionally qualified finance staff. Communication of anti-fraud messages. Specific corporate fraud resource within the Councils. Fraud risk assessments carried out periodically. Audit Committee at SNC. Accounts, Audit and Risk Committee at CDC Benefit fraud campaigns advertised. Benefit fraud identification and convictions communicated to the local press. Internal controls processes and procedures (segregation of duties, checking of information etc.) Periodic checking of data (single person discounts, Audit Commission data matching etc.) Membership of National Anti Fraud Network. Role of S151 and monitoring officers. Fraud detection & prevention corporate policies in place such as Whistle Blowing and Anti-fraud & Corruption Policy. Standard agenda items on Accounts, Audit and Risk Committee and Audit Committee. Use of internal and external audit as part of planned programme and on an ad-hoc basis as required.</p> <p>Mitigating Actions :</p> <p>Assurances :</p> <p>Risk - Quarterly Review No change in the risk of corporate fraud.</p>														
Shared	C05	Managing Data and Information	Poor data quality or lack of relevant information results in poor decision making	4	4	16	▲	2	3	06	●	Jun-16	✔	Mar 16
<p>Current Controls : Audit and data quality health checks Annual target setting process Annual PMF review Data quality policies in place</p> <p>Mitigating Actions :</p> <p>Assurances : Audit, data quality checks as part of performance management framework. More regular performance reporting with more time for Performance and Insight team to review data and act as a 'critical friend'</p> <p>Risk - Quarterly Review As data management is predominantly an internal issue, there is unlikely to be any major financial or customer facing impacts. Recent updates to Performance Matters and performance reporting will begin to allow more visibility of data, bringing any quality issues into focus more swiftly.</p>														
Shared	C06	Member Decision Making	That members do not have access to information and support to make effective decisions	4	4	16	▲	4	3	12	●	Jun-16	➔	Mar 16

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<p>Current Controls : Attendance of professionally qualified and experienced officers at all Member decision taking meetings. Business Planning meetings at Executive and Cabinet. Council Constitutions. Member Development Programmes. Legislative requirements. Call in processes. Sign off of Council/Executive/Cabinet/Committee reports by JMT member</p> <p>Mitigating Actions :</p> <p>Assurances : No decision has been made by either Council which is inconsistent with the policy framework or legal requirements</p> <p>Risk - Quarterly Review</p> <p>Members continue to be provided with the necessary information to take informed decisions</p>												
Shared	C08	Safeguarding Children	Failure to follow our policies and procedures in relation to safeguarding children or raising concerns about children and young people welfare	5	4	20 ▲	5	1	05 ★	Jun-16	➔	Mar 16
<p>Current Controls : Safeguarding lead in place and clear lines of responsibility established. Safeguarding Policy and procedures in place Information on the intranet on how to escalate a concern Staff training - at SNC this is being rolled out using new NCC e-training module. Safer recruitment practices and DBS checks for staff with direct contact Action plan developed by CSE Prevention group as part of the Community Safety Partnership Local Safeguarding Children's Board Northamptonshire (LSCBN) pathways and thresholds Data sharing agreement with other Partners Attendance at Children and Young People Partnership Board (CYPPB) Annual Section 11 return complied for each council</p> <p>Mitigating Actions :</p> <p>Assurances : Safeguarding champions to promote the welfare of children and be a point of contact for cascading information. Annual Audit of activity JMT and LSP also have specific actions and/or meeting times JATAC (Joint Agency Tactical and Co-Ordination Meeting) at CDC where issues of CSE are currently discussed with partner agencies.</p> <p>Risk - Quarterly Review</p> <p>The inherent risk remains and we have undertaken all mitigation possible.</p>												
Shared	C09	Safeguarding	Failure to:- identify safeguarding concerns and issues; use agreed protocols for escalating safeguarding concerns; use diverse community intelligence to best effect internally and externally.	4	4	16 ▲	4	2	08 ●	Jun-16	➔	Mar 16
<p>Current Controls : Engagement with Joint Agency Tasking and Co-ordinating Group (JATAC) and relevant Oxfordshire County Council (OCC) safeguarding sub group. Engagement at an operational and tactical level with relevant external agencies and networks</p> <p>Mitigating Actions :</p> <p>Assurances : The established "See It Report It" process has controls and monitoring arrangements for different levels in the organisation for assurance purposes</p> <p>Risk - Quarterly Review</p> <p>No further mitigation possible</p>												
Shared	C10	Communications	Failures to manage internal and external communications results in reputational damage to the council or reduced performance/staff morale	4	4	16 ▲	3	3	09 ●	Jun-16	➔	Mar 16
<p>Current Controls : Centralised press office function Members attributed and sign of press releases Communications strategy in place Members media training Social Media Policy Specific communications plans in place for major projects</p> <p>Mitigating Actions :</p> <p>Assurances : SNC Members communications panel SNC Portfolio Holder for communications CDC member lead for communications Quarterly performance reporting CDC annual satisfaction survey includes comprehensive communications section</p>												
Shared	C11	Equalities	Failure to comply with equalities legislation results in legal challenge, costs and reputation damage	4	4	16 ▲	4	3	12 ●	Jun-16	➔	Mar 16
<p>Current Controls : Rolling programme of equality assessments Equality policy and corporate plan in place Equalities requirements to be identified in service plans Equalities training available for staff and members Equalities awareness programme "Knowing our Communities" at both CDC and SNC</p> <p>Mitigating Actions : 16/17 Actions Plans and rolling EIA plan submitted and signed off by Executive and Cabinet.</p> <p>Assurances : Annual update to Cabinet and Executive. Quarterly performance reporting. EIA rolling programme and action plan. Virtual steering group to co-ordinate work.</p> <p>Risk - Quarterly Review</p> <p>Risk reviewed - Mitigating actions are still relevant and in place.</p>												
Shared	C12	Health and safety	Failure to comply with health and safety legislation leads to injury, sickness, absence and litigation against the council	5	4	20 ▲	5	2	10 ●	Jun-16	➔	May 16

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Shared	P04	(SEMLEP)	strategic objectives or the council is unable to influence the partnership's agenda.	4	4	16	▲	3	3	09	●	Jun-16	↕	Mar 16
Current Controls : Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement														
Mitigating Actions :														
Assurances :														
CDC	P05	Oxfordshire LEP	The partnership doesn't add value to the work of the council, undertakes projects that don't align with strategic objectives or the council is unable to influence the partnership's agenda.	4	4	16	▲	3	3	09	●	Jun-16	↕	Mar 16
Current Controls : Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement														
Mitigating Actions :														
Assurances : Portfolio briefing Growth Board Regular liaison meetings with OLEP														
CDC	P07	Health and Wellbeing Partnership (CDC)	Failure of the new partnership arrangements results in Cherwell District Council not being able to meet its safe and healthy objectives.	3	4	12	●	3	3	09	●	Jun-16	➡	Mar 16
Current Controls : Engagement with County Council structures Oxfordshire has a clear structure and acknowledges the need for the District Council's direct contribution. Financial constraints to the delivery of the Health & Wellbeing Board action plan														
Mitigating Actions :														
Assurances : Spending in localities is determined by the Board. There is limited opportunity for Districts to directly influence.														
Risk - Quarterly Review														
Action plan in place to secure partner contributions. No further mitigation possible														
Shared	S01	Policy and legislative change	The councils fail to adequately respond to the implications of changing national policy resulting in loss of opportunity, reputational damage or legal challenge	5	4	20	▲	4	3	12	●	Jun-16	➡	Mar 16
Current Controls : JMT forward plan, Executive and Cabinet Forward plans, Scrutiny Committees. Business and Service Planning. Business Planning meetings to brief Executive and Cabinet. Highly professional, competent, qualified staff Good networks established locally, regionally and nationally National guidance interpreting legislation available and used regularly Members aware and are briefed regularly including lead members/portfolio holders in one to one's with JMT members. JMT undertake policy oversight role. Quarterly Health & Safety reporting.														
Mitigating Actions :														
Assurances : No legal challenge has been made to any decision by either Council alleging misapplication of the law														
Risk - Quarterly Review														
Member decision making continues to be sound. The impact of Brexit on key policy areas such as the devolution agenda will be a key matter to take into account from Q2 onwards														
Shared	S02	Financial resilience	The impact of external financial shocks, new policy and increased service demand reduces the councils medium and long term financial viability	4	4	16	▲	4	3	12	●	Jun-16	➡	Mar 16
Current Controls : Highly professional, competent, qualified staff Good networks established locally, regionally and nationally National guidance interpreting legislation available and used regularly Members aware and are briefed regularly Participate in Northamptonshire Finance Officers and Oxfordshire Treasurers' Association's work streams Programme management approach being taken														
Mitigating Actions :														
Assurances : Budget and Financial Strategy Committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and Risk Committee, Scrutiny Committees														
Risk - Quarterly Review														
Implications of Brexit will be fully considered in the next quarterly review.														
Shared	S03	Capital investment	Poor investment and asset management results in the councils not maximising financial return or losing income.	4	3	12	●	3	2	06	●	Jun-16	➡	Mar 16
Current Controls : Treasury management policies in place Investment strategies in place Regular financial and performance monitoring in place Independent third party advisers in place and different ones used at each Council Regular bulletins and advice received from advisers Fund managers in place Property portfolio income monitored through financial management														

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<p>arrangements on a regular basis Experienced professionally qualified staff employed at both Councils. Asset Management review and conclusions expected to be reported at both Councils by the end of the year.</p> <p>Mitigating Actions :</p> <p>Assurances : Budget and Financial Strategy Committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and Risk Committee, Scrutiny Committees</p> <p>Risk - Quarterly Review</p> <p>Implications of Brexit will be fully considered in the next quarterly review.</p>												
Shared	S07	Customer Service Improvement (including channel shift)	Failure to increase internet usage or self service and improve customer service processes results in higher costs and decreased customer satisfaction	3	4	12	3	3	09	Jun-16	→	May 16
<p>Current Controls : CDC – customer service standards in place (e.g. voicemail) Web – both councils redesign undertaken and on-going development is undertaken – this includes online forms and payment Managers discuss service changes with customer services to mitigate any negative impact on customer service On-going review of the web (SNC you said we did page – noting actions taken from customer feedback) Customer communications in local / residents newsletters Customer complaints process JMT highlight service changes to customer service teams to ensure web/service team can deliver, project also part of the transformation programme with associated governance. Results of CDC Customer Satisfaction Survey presented to Executive October 2015 and was well received. The Key Services to be Maintained summary instrumental in Business and Service Planning processes. A similar Survey is being prepared for SNC and will go live June/July 2016.</p> <p>Mitigating Actions :</p> <p>Assurances : Project governance, performance management reporting, customer insight reporting.</p> <p>Risk - Quarterly Review</p> <p>No change to risk scores or controls at this time. Progress made during the Q1 includes:-</p> <p>New joint structure went live on 1 April 2016 - all vacancies have been filled and staff now in post.</p> <p>ICT - Shared Lagan (CRM) system went live in March 2016 enabling joint team to begin standardisation in their use of the system.</p> <p>Customer Service Officers are currently testing Citrix, which will allow advisors access to all systems and applications no matter their location. Planned roll out for the joint team is scheduled for mid-August 2016.</p> <p>Mitel review and mapping of current call flow structure in progress with the aim to simplify the process, reduce length of messages whilst managing call volumes and flow.</p> <p>The new website scoping project is currently underway and key members of the customer services team are part of the design and specification, so ensuring future processes and procedures are customer focused, easy to access and customer friendly.</p> <p>A new harmonised Customer Services staffing rota has been introduced and implemented and training of CDC based staff on all SNC Customer Service processes on a rolling basis has commenced.</p> <p>Processes mapping of the revenues and benefits interface with customers is currently underway to both identify and highlight first point of contact that can be managed by the customer services team thus allowing the officer within Revenues and Benefits to deal with the complicated and specialist customer enquiries.</p> <p>A review of the use of the Atrium at The Forum is currently underway and will include customer feedback. One aspect the review is focusing on is improving sign posting and the promotion and encouragement of the self service functions.</p>												
CDC	S10	Deprivation and Health Inequalities (Brighter Futures in Banbury)	Failure to deliver the Brighter Futures in Banbury programme results in long term health and deprivation objectives not being met	4	3	12	3	3	09	Jun-16	→	Mar 16
<p>Current Controls : Long term commitment to support local people and communities as many issues can only be addressed on this basis. Multi agency actions with clear and common objectives. Additional funding from Government grants to supplement current resources. Local Strategic Partnership focus on Brighter Futures in Banbury programme. Contingency fund made available in CDC budget. Programme co-ordination role in place. Quarterly performance management in place.</p> <p>Mitigating Actions :</p> <p>Assurances : Project governance Local Strategic Partnership (LSP) oversight, Quarterly reporting Annual Report</p>												

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Shared	S20	Dry Recycling Contract	Failure to legally enforce contract extension option or renegotiate contract could lead to the need for short term arrangements or re-tender of the contract. Commodity prices are falling - with reduced oil prices plastic recycling prices will fall. Paper prices already fallen due to falling newspaper. Financial risk of reduced income. Service risk if outlet for recycling not secured.	4	4	16	▲	4	3	12	●	Jun-16	➔	May 16
Current Controls : Legal, Procurement & financial advice Mitigating Actions : Assurances : Risk - Quarterly Review Risk reviewed & remains unchanged - working relationship with UPM is currently good but this can rapidly change. Contract expires in February 2018.														
Shared	S21	Oxfordshire Devolution Deal and Unitary Authority (ODD&UA) - Stage 1 Options Appraisal Oxfordshire Devolution Deal and Unitary Authority (ODD&UA)	The Council fails to: grasp the opportunity for transformation/reform across all agencies to benefit the local area and deliver further efficiencies • ensure all stakeholders (internal and external) are engaged and understand options as they emerge • obtain and provide all relevant data to support options appraisal resulting in long term negative impact upon better outcomes for our area including quality of life for local residents, economic growth, financial sustainability and on the council's reputation itself.	5	3	15	●	4	3	12	●	Jun-16	?	May 16
Current Controls : • PwC appointed as independent consultants on behalf of all Oxfordshire Districts, plus West Oxfordshire and South Northamptonshire Councils. Lead Officer /S151 sign off of data. • Member with lead responsibility = Leader • Officer with lead responsibility = Head of Transformation • Regular meeting of Oxfordshire District Leaders and Chief Executives • District Councils Communications Group established • Communications and Information Sharing Protocol in place between the partners and county council • SNC Leader engaged as a key stakeholder • SNC has created a new portfolio for a member of Cabinet to be responsible for Devolution, Transformation and Change. • Phase 2 of the management review has been put on hold to minimise organisational disruption through change Mitigating Actions : Assurances : • Project timeline • Regular meetings of Leaders and Chief Executives • Regular liaison with PwC team and Oxfordshire District Councils Risk - Quarterly Review A dedicated lead officer working on this project to ensure stage 1 timeline is met (end June/July). Initial letter issued to all stakeholders inviting engagement in the debate. Leader has distributed a video outlining his vision.														

Legend for Appendices

The following legend applies to all the following appendices:

Colour	Symbol	Meaning
Red		Requires active management High impact / High likelihood Risk requires active management to manage down and maintain the exposure at an acceptable level. Escalate upwards.
Amber		Contingency Plans A robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile. Escalate upwards.
Green		Good Housekeeping May require some risk mitigation to reduce the likelihood if this can be done cost effectively, but good housekeeping to ensure that the impact remains low should be adequate. Re-assess frequently to ensure conditions remain the same.
Grey		Not updated
		Risk has reduced since previous review
		Risk has increased since previous review
		Direction of Travel is not applicable as risk is new (should only be applicable in the quarter one report)