

Appendix 2 Risk Exceptions - Residual = 16 or higher OR Rating change

Council	Ref.	Name	Description	Gross Impact	Gross Probability	Gross Risk		Current Impact	Current Probability	Residual Risk	Last updated	Change	Since	Previous rating		
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	▲	4	4	16	▲	Sep-16	✖	Jun 16	09	●
<p>Current Controls : BCP Plan Disaster recovery (DR) arrangements (CDC) Recovery site (CDC) Back up of systems Process and standards (compliance regime) Assurances : Formal auditing, IT Health check and benchmarking with best in private and public sector.</p> <p>Risk - Mitigating actions update IT Strategy has been written and is awaiting approval.</p> <p>The council-wide DR/BC is not currently fit for purpose and will be addressed through the IT Transformation programme that has been recommended.</p>																
CDC	S18	Banbury Development	The sites are complex and in multiple ownership. There are conflicting development pressures and challenges with site viability	4	4	16	▲	4	4	16	▲	Sep-16	✖	Jun 16	12	●
<p>Current Controls : Regular meetings of the Project Board Adopted Asset management Strategy and review of Council car park sites Interdependencies map produced showing progress on all major development sites in Banbury Adopted local Plan leading to Completion of Banbury Masterplan and Canalside Supplementary Planning Document (SPD) Soft Market testing of sites to be concluded in February 2016 Assurances : Regular risk monitoring and review discussions by the project board</p>																
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	●	5	2	10	●	Sep-16	✔	Jun 16	12	●
<p>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 Assurances : • Project timeline • Regular meetings of Leaders and Chief Executives • Regular liaison with PwC team and Oxfordshire District Councils</p> <p>Risk - Quarterly Review An update report was considered by executive in Sept 2016 recommending the focus be upon working jointly with the City Council, other Districts Councils and the County Council in Oxfordshire and not to focus upon local government structural reform in Oxfordshire at this stage.</p> <p>Government have made it clear that it will not agree to any devolution deals/structural reform that does not have the agreement of all local stakeholders in the areas.</p>																

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Consequently the risk is reduced for this quarter and will be reviewed regularly.

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	2	06	Sep-16		Jun 16	09
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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.

Assurances : Project governance Local Strategic Partnership (LSP) oversight, Quarterly reporting Annual Report

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	3	2	06	Sep-16		Jun 16	12
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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.

Assurances :