

Strategic Risks

Council	Ref.	Name	Description	Gross Impact	Gross Probability	Gross Risk		Current Impact	Current Probability	Residual Risk		Last updated	Change	Since	Previous	rating
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	●	Dec-16	➡	Sep 16	12	●
<p>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. Assurances : No legal challenge has been made to any decision by either Council alleging misapplication of the law</p>																
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	▲	3	4	12	●	Jan-17	➡	Sep 16	12	●
<p>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 Assurances : Budget and Financial Strategy Committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and Risk Committee, Scrutiny Committees</p>																
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	●	Jan-17	➡	Sep 16	06	●
<p>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 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. Assurances : Budget and Financial Strategy Committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and Risk Committee, Scrutiny Committees</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	●	Jan-17	➡	Sep 16	09	●
<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. Assurances : Project governance, performance management reporting, customer insight reporting.</p>																

Strategic Risks

Council	Ref.	Name	Description	Gross Impact	Gross Probability	Gross Risk		Current Impact	Current Probability	Residual Risk		Last updated	Change	Since	Previous	rating
CDC	S14	Graven Hill	project results in severe loss of economic benefit, local dissatisfaction and damage to reputation	4	3	12	●	3	3	09	●	Dec-16	➡	Sep 16	09	●
Current Controls : Project Manager Project Board Companies set up Business Plan and Finance Plan being monitored Assurances : Project Governance																
Shared	S16	Transformation Programme	Failure to deliver the programme results in failure to: <ul style="list-style-type: none"> • deliver savings • deliver the councils' commercial objectives • reputation damage • improve services and deliver efficiencies 	4	4	16	▲	3	3	09	●	Dec-16	➡	Sep 16	09	●
Current Controls : Current: Programme plan in place Performance Management Member Governance CEO programme sponsor Dedicated programme team Future: All major proposals will be underpinned by business cases Assurances : Annual Audit Quarterly performance management Monthly member oversight																
CDC	S17	Build Development Programme	Failure to deliver the Build! Programme resulting in financial loss, loss of economic benefit, local dissatisfaction and damage to the Council's reputation.	5	3	15	●	4	3	12	●	Jan-17	➡	Jun 16	12	●
Current Controls : • Delivery Manager and Project Board • Legal Agreements in place for land acquisitions and contracts with consultants and contractors • Monthly project/performance reports • Business Plan and Financial Plan monitoring • Professional Construction Management • Effective Communications Management • Catastrophic would be a serious (fatal) health and safety incident which is always possible in a construction project but mitigated by sound Health & Safety procedures and Construction, Design & Management measures. • Financial risks are major given the level of investment but mitigated by budget management and professional construction management • Overall reputational risk is major given the profile of this project locally and nationally but managed by communications and strong project management. Assurances : • Programme Governance • Information Management System (IMS) with the HCA • HCA Programme Audit (annually) • HCA Design and Quality Audit • Considerate constructor scheme • Fortnightly Project Boards; weekly project reviews																
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	▲	3	2	06	●	Dec-16	➡	Sep 16	16	▲
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																
CDC	S19	Asset Management	Failure to maximise the value of council assets through inaction, or wrong action leading to devaluation or wasted value.	4	4	16	▲	4	2	08	●	Jan-17	➡	Sep 16	08	●

Strategic Risks

Council Ref. Name Description Gross Impact Gross Probability Gross Risk Current Impact Current Probability Residual Risk Last updated Change Since Previous rating

Current Controls : In 2015/16 to agree and implement 1) Asset Strategy Resource Plan 2) Operational Offices Plan 3) Car Parks Plan 4) Community Buildings Plan 5) Local Centres Plan
 Future Controls:- In 2016/17 to agree and implement 1) Data and Systems Plan 2) Operational Depot Plan 3) Leisure Buildings Plan 4) Commercial Investment Plan
 Assurances : At the current time an Accommodation Asset Strategy Board provides a forum for debate and discussion about property matters. The Board comprises the Lead Members for Finance and Estates/Economy. The officer support is made up of representatives of Estates, Regeneration, Housing, Finance, and Bicester. The role and responsibilities of the Board will be clarified having regard to the actions and priorities arising out of the Asset Strategy.

Shared	S20	Dry Recycling Contract	<p>Failure to renegotiate/extend Dry Recycling Contract due February 2015. Current suppliers, UPM were asked to extend Contract for a further three years but are trying to get out of an extension due to financial losses.</p> <p>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.</p>	4	4	16		4	3	12		Jan-17		Jun 16	12	
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Current Controls : Legal, Procurement & financial advice
 Assurances :

Shared	S21	Oxfordshire Devolution Deal and Unitary Authority (ODD&UA) - Stage 1 Options Appraisal Oxfordshire Devolution Deal and Unitary	<p>The Council fails to: grasp the opportunity for transformation/reform across all agencies to benefit the local area and deliver further efficiencies</p> <ul style="list-style-type: none"> ensure all stakeholders (internal and external) are engaged and understand options as they emerge obtain and provide all relevant data to support options appraisal <p>resulting in long term</p>	5	3	15		5	3	15		Dec-16		Sep 16	10	
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		Authority (ODD&UA)	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.												

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










Corporate Risks

Council	Ref.	Name	Description	Gross Impact	Gross Probability	Gross Risk		Current Impact	Current Probability	Residual Risk		Last updated	Change	Since	Previous	rating
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 is service failure and reputational damage	5	4	20	▲	3	4	12	●	Dec-16	➡	Sep 16	12	●
<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>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	▲	4	4	16	▲	Dec-16	➡	Sep 16	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>Assurances : Formal auditing, IT Health check and benchmarking with best in private and public sector.</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	▲	3	2	06	●	Dec-16	➡	Sep 16	06	●
<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>Assurances :</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	●	Dec-16	➡	Sep 16	06	●
<p>Current Controls : Audit and data quality health checks Annual target setting process Annual PMF review Data quality policies in place Quarterly performance reporting Monthly tracking of</p>																

Corporate Risks

Council	Ref.	Name	Description	Gross Impact	Gross Probability	Gross Risk		Current Impact	Current Probability	Residual Risk		Last updated	Change	Since	Previous	rating
Shared	C11	Equalities	equalities legislation results in legal challenge, costs and reputation damage	4	4	16	▲	4	3	12	●	Dec-16	➡	Sep 16	12	●
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 Discrimination Complaints Monitoring. Assurances : Annual update to Cabinet and Executive. Quarterly performance reporting. EIA rolling programme and action plan. Virtual steering group to co-ordinate work.																
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	●	Dec-16	➡	Sep 16	10	●
Current Controls : Both Councils have shared policies, procedures, and arrangements in place to mitigate the risks of accidents to staff, members of the public and contractors that may be affected by the Councils actions Assurances : BS OHSAS 18001 Occupational Health and Safety Standard, and ISO 14001 Environmental Standard.																
CDC	C13	Emergency Planning (EP)	That plans are not in place to ensure the Council responds effectively in the event of a civil emergency and local residents are not supported. This could result in casualties, unnecessary hardship, impact on the local environment, costs and reputation.	4	3	12	●	4	2	08	●	Dec-16	➡	Sep 16	08	●
Current Controls : Emergency plan reviewed quarterly and on activation. Team established to monitor and ensure all elements are covered. Added resilience from cover between CDC and SNC Assurances : Oxfordshire County Council (OCC) EP Division have accepted our EP as being sufficient and suitable. OCC have also led on desk top studies of implementation.																
Shared	C15	ICT Transformation and Transition	Failure to deliver the IT transition project programme results in failure to: <ul style="list-style-type: none"> • deliver savings through IT harmonisation • deliver the councils' wider strategic and commercial objectives • reputation damage • improve services and deliver efficiencies • deliver the channel shift programme and enhance customer access • Manage business continuity 	4	4	16	▲	3	3	09	●	Dec-16	➡	Sep 16	09	●
Current Controls : Current: Project plan in place Performance Management Member Governance Director as sponsor Dedicated project team and additional resource Future: New IT strategy and work plan to be developed Assurances : Audit Quarterly performance management Monthly member oversight																

Corporate Risks

Council	Ref.	Name	Description	Gross Impact	Gross Probability	Gross Risk		Current Impact	Current Probability	Residual Risk	Last updated	Change	Since	Previous	rating
Shared	C16	Inability to download new voter registrations	Cabinet Office are moving their online system to a more powerful and robust server. When the initial setup of this system took place in June 2014, connectivity tests passed ok in the dry runs. However when went live connectivity was lost and took 5 days to re-instate.	4	3	12		3	3	09	Dec-16		Sep 16	09	
Current Controls : Testing of connectivity has taken place and been successful. Feedback to Cabinet Office has been given. Larger server at Cabinet Office so repeat of 2014 is unlikely. Assurances : Third party assurances from Cabinet Office															
Shared	C17	Cyber Security	If cyber security is not managed appropriately across both councils then there is a risk to data security and breaches can result in six-figure sum fines, considerable disruption and the obvious loss of reputation.	4	4	16		4	3	12	Dec-16		Sep 16	12	
Current Controls : Patching policy implemented Network security in place User education (planning stage) Assurances : The IT service will be reviewing processes and approach as part of the IT strategy and Transformation programme. Needs to be embedded at all levels in the Council.															
Shared	C18	Lack of Capacity at Management Level	Delays to completing the management restructure, including filling the role of Commercial Director, may lead to missed opportunities and delays in commercialising Council Services, could reduce income potential and reduce resilience, could create instability in transformational strategic leadership and could lead to the delay of delivery of other Council strategic priorities.	4	4	16		3	3	09	Dec-16		>>		
Current Controls : Interim and act up arrangements in place to cover the role of Commercial director to ensure the Council's commercial delivery programme continues according to schedule, with appropriate backfilling of roles to ensure no loss of essential service within council functions. All other management positions are currently filled and delivering towards strategic priorities. Scrutiny of performance remains in place and resilience of management team tested regularly Assurances :															

Partnership Risks

Council	Ref.	Name	Description	Gross Impact	Gross Probability	Gross Risk		Current Impact	Current Probability	Residual Risk		Last updated	Change	Since	Previous	rating
CDC	P01	Police and Crime Commissioner (PCC) - Thames Valley	The Council fails to engage/influence the PCC/PCP Doesn't add value to partnership work of the council PCC commissions projects that don't align with strategic objectives of the council. Loss/reduction of funding to Community Safety. Becomes isolated from PCC leading to failure to achieve corporate objectives and loss of reputation	3	3	09		3	3	09		Dec-16		Sep 16	04	
Current Controls : Effective local Community Safety Partnership meetings Elected member representation at Police and Crime Panels (PCP) Elected Member representation at Oxfordshire Board (OSCP) arrangements. Elected Member representation at CSP Alignment with PCC Policing Plan Elected membership in accordance with agreed PCP Steering Group Policy Assurances : PCC subject to scrutiny by PCP. CDC chair of CSP sits on PCP.																
Shared	P04	South Midlands LEP (SEMLEP)	The partnership doesn't add value to the work of the councils, undertakes projects that don't align with strategic objectives or the council is unable to influence the partnership's agenda.	4	4	16		2	2	04		Jan-17		Sep 16	09	
Current Controls : Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Cabinet Member /Leadership Involvement Assurances : Reporting to Planning Policy and Regeneration Strategy Committee.																
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		2	2	04		Jan-17		Sep 16	09	
Current Controls : Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement Assurances : Portfolio briefing Growth Board Regular liaison meetings with OLEP Revised SEP agreed by Executive following substantive input from CDC.																
CDC	P07	Safeguarding in Partnership with OCC (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		Dec-16		Sep 16	09	

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

Partnership Risks

Council	Ref.	Name	Description	Gross Impact	Gross Probability	Gross Risk		Current Impact	Current Probability	Residual Risk	Last updated	Change	Since	Previous rating	
to the delivery of the Health & Wellbeing Board action plan															
Assurances : Spending in localities is determined by the Board. There is limited opportunity for Districts to directly influence.															