

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	Sep-17		Jun 17	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.</p> <p>Assurances : No legal challenge has been made to any decision by either Council alleging misapplication of the law</p> <p>Risk Commentary :</p> <p style="text-align: right;">Source Date 30/09/2017</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	4	3	12	Sep-17		Jun 17	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</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 Commentary :</p> <p style="text-align: right;">Source Date 30/09/2017</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	Sep-17		Jun 17	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.</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 Commentary :</p> <p style="text-align: right;">Source Date 30/09/2017</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	4	12	Sep-17		Jun 17	09
<p>Current Controls : Managers discuss service changes with customer service to mitigate any negative impact on customer service. Customer communications in local/residents newsletter. Customer complaints process Annual Customer Satisfaction Survey undertaken and post feedback action plan developed. JMT highlight service changes to CS team to ensure web/service team can deliver, project also part of the transformation programme with associated governance. Corporate CS standards in place. Web - Redesign of websites to go live Sept 17 with enhanced online capability. Phase 2 project to be initiated Q3/4 to improve end to end transaction - this includes online forms and payment. On going review of the web</p> <p>Assurances : Project governance, performance management reporting, customer insight reporting.</p> <p>Risk Commentary : Bringing Revs and Bens back in house and the subsequent change of systems to incorporate shared service has led to a back log of work. The transfer of data from one system to another has also caused some anomalies . Both have caused an increase in calls to Customer Service which although we are handling well, have impacted on the speed with which we are able to train all staff on all services for CDC and SNC. This has resulted in a delay to us taking over the calls and the face to face service for Benefits at SNC. As the new systems and ways of working bed down, training will get back on track and this shouldn't be an issue</p> <p style="text-align: right;">Source Date 30/09/2017</p>												

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Council Ref.	Name	Description	Gross Impact	Gross Probability	Gross Risk	Current Impact	Current Probability	Residual Risk	Last updated	Change	Since	Previous rating
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	4	2	08	Jul-17	➡	Jun 17	08
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 Risk Commentary :												
												Source Date 30/09/2017
CDC	S11 CDC Local Plan	Failure to ensure sound local plan is submitted results in inappropriate growth in inappropriate places. This leads to negative (or failure to optimise) economic, social, community and environmental gain. There is also potential negative impact on the council's ability to deliver its strategic objectives and manage its reputation.	5	4	20	3	3	09	Sep-17	➡	Jun 17	09
Current Controls : A Local Development Scheme is in place which details the timeframes and deliverables to underpin the work. Resources are in place to support delivery including QC support Assurances : Consideration by Portfolio Holder, Executive and Full Council. The regulated Stages for plan preparation are set out in the published Local Development Scheme. Risk Commentary : The Local Plan partial review is at Reg 19 stage and last consultation has ended. Will be submitting by end March 2018.												
												Source Date 30/09/2017
CDC	S12 North West Bicester (Eco-town)	Failure to deliver the project results in loss of economic benefit, local dissatisfaction and reputational damage to the council	4	4	16	3	3	09	Sep-17	➡	Jun 17	09
Current Controls : Planning policy development through Local Plan Eco Town Project plan & related partnerships Working with private & public sector partners Programme Board in place Lead Member in place Assurances : Programme Governance Performance Management Risk Commentary :												
												Source Date 30/09/2017
CDC	S13 Bicester town centre development	Failure to deliver the project results in loss of economic benefit, local dissatisfaction and reputational damage to the council	4	3	12	3	3	09	Sep-17	➡	Jun 17	09
Current Controls : Project manager in lead role Project Board Legal agreements in place Joint venture with the developer (underpinned by legal agreements) Monthly performance / projects reports Resources and technical advice provided as part of the developer agreement Assurances : Project Governance Risk Commentary : On going project and under review												
												Source Date 30/09/2017
CDC	S14 Graven Hill	Failure to deliver the project results in severe loss of economic benefit, local dissatisfaction and damage to reputation	4	3	12	3	3	09	Sep-17	➡	Jun 17	09
Current Controls : Project Manager Project Board Companies set up Business Plan and Finance Plan being monitored Assurances : Project Governance Risk Commentary :												
												Source Date 30/09/2017
		Failure to deliver the										

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	S16	Transformation Programme	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	Sep-17		Jun 17	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 Risk Commentary : No change. Risk remains at the same level.													
Source Date 30/09/2017													
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	5	2	10	Sep-17		Jun 17	10
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 Risk Commentary : All of the remaining Phase 1 projects are on site and are due for completion by June 2018. None are self-build which lessens the risk of failure to deliver.													
Source Date 30/09/2017													
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	2	3	06	Sep-17		Jun 17	06
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 Risk Commentary :													
Source Date 30/09/2017													
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	3	2	06	Sep-17		Jun 17	08
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. Risk Commentary : We continue to implement the Asset Management Strategy and resource plan. During this process we are engaging with other teams to ensure overall plans are considered and actioned.													
Source Date 30/09/2017													
		Oxfordshire	The Council fails to: grasp the opportunity for transformation/reform across all agencies to benefit the local area and deliver further										

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Council	Ref.	Name	Description	Gross Impact	Gross Probability	Gross Risk	Current Impact	Current Probability	Residual Risk	Last updated	Change	Since	Previous rating
Shared	S21	Devolution Deal and Unitary Authority (ODD&UA) - Stage 1 Options Appraisal Oxfordshire Devolution Deal and Unitary Authority (ODD&UA)	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	3	15	Jul-17	➡	Jun 17	15

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

Risk Commentary :

Source Date 30/09/2017

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	Failure to ensure that critical services can be maintained in the event of an incident that has a detrimental impact on the organisations ability to operate at normal capacity; failure to have plans in place which support the process (see also C02 ICT)	5	4	20	3	4	12	Jul-17	➡	Jun 17	12
Current Controls : Business continuity strategy in place Services prioritised and recovery plans reflect the requirements of critical services ICT disaster recovery arrangements in place Incident management team identified in Business Continuity Strategy All services undertake annual business impact assessments and update plans 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. Risk Commentary :												
Source Date 30/09/2017												
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-17	➡	Jun 17	06
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 : Risk Commentary :												
Source Date 30/09/2017												
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-17	➡	Mar 17	06
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 key measures with JMT/BPM. Assurances : Audit, data quality checks as part of performance management framework. More regular performance reporting with more time for Strategic Insight & Intelligence team to review data and act as a 'critical friend' Risk Commentary :												
Source Date 30/09/2017												
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-17	➡	Mar 17	12
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 Assurances : No decision has been made by either Council which is inconsistent with the policy framework or legal requirements Risk Commentary :												
Source Date 30/09/2017												
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	Jul-17	➡	Jun 17	05
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 - new whole staff shared approach being launched in the summer. 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												





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council 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. Risk Commentary :													
Source Date 30/09/2017													
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	Jul-17	➡	Jun 17	08
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 Assurances : The established "See It Report It" process has controls and monitoring arrangements for different levels in the organisation for assurance purposes Risk Commentary :													
Source Date 30/09/2017													
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	Sep-17	➡	Jun 17	09
Current Controls : Centralised press office function Members attributed and sign of press releases Communications plans in place for all major projects Members media training Social Media and Acceptable Use Policy in place Assurances : SNC Members communications panel SNC Portfolio Holder for communications CDC lead member for communications Quarterly performance reporting CDC and SNC annual satisfaction survey includes comprehensive communications section Risk Commentary :													
Source Date 30/09/2017													
Shared	C11	Equalities	Failure to comply with equalities legislation results in legal challenge, costs and reputation damage	4	4	16	4	3	12	Jun-17	➡	Mar 17	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. Risk Commentary :													
Source Date 30/09/2017													
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	Sep-17	➡	Jun 17	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. Risk Commentary :													
Source Date 30/09/2017													
CDC	C13	Emergency Planning (EP)	Failure to ensure that the local authority has plans in place to respond appropriately to a civil emergency full filling its duty as a category one responder; this could result in unnecessary hardship; risk to human welfare and the environment; legal and reputational impact.	4	3	12	4	3	12	Sep-17	➡	Jun 17	12
Current Controls : Emergency plan reviewed quarterly and on activation. Dedicated Emergency Planning Officer in post to review, test and exercise plan and to establish,													

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monitor and ensure all elements are covered. Added resilience from cover between shared Public Protection Team as officers with appropriate skill JMT regularly attend CPD training 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. established proactive Thames Valley Local Resilience Forum supports Category One Response for all partners Risk Commentary :													
Source Date 30/09/2017													
Shared	C15	ICT Transformation and Transition	4	4	16	3	3	09	Jul-17	➡	Jun 17	09	
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 													
Current Controls : Formal governance in place with regular reporting to Technical Design Authority and Transformation Joint Working Group. Assurances : Regular updates provided to senior managers and lead members for IT. End of stage gateway reviews. Risk Commentary :													
Source Date 30/09/2017													
Shared	C17	Cyber Security	4	4	16	3	4	12	Jun-17	➡	Mar 17	12	
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.													
Current Controls : 1. Reviewed weekly by security officer. 2. IT Managers work together to ensure risk is minimised. Assurances : 1. The IT service will implement agreed plan to address risk. 2. Needs to be embedded at all levels in the Council. 3. will be reviewed by independent external bodies. Risk Commentary :													
Source Date 30/09/2017													
Shared	C18	Lack of Capacity at Management Level	4	4	16	3	3	09	Sep-17	➡	Jun 17	09	
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.													
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 : Risk Commentary :													
Source Date 30/09/2017													

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 Cherwell District Community Safety Partnership (CSP) & PCC	Failure of the partnership to meet its objectives and therefore support the Council's objectives; failure to align Police and Crime Commissioner (PCC) plan with CSP objectives/local needs; loss of funding and partner engagement.	3	3	09 	2	2	04 	Sep-17		Jun 17	04 
<p>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</p> <p>Assurances : PCC subject to scrutiny by Police and Crime Panel. Cherwell DC chair of CSP sits on Police and Crime Panel and Safer Oxfordshire Partnership</p> <p>Risk Commentary :</p>												
Source Date 30/09/2017												