

Risk Management 2010/2011 April - June 2010													
Risk Heading	Owner	Description	As at 31/03/2010				Controls	Q1 : June 2010				Direction of Travel	Risk Mitigation this Quarter /Comments
			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	➡	Moderate risk rating due to extent of partnership working already commenced and clear focus on specific wards and resident needs.
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	➡	All arrangements for partnership work are running well. Current issue is to secure a viable exemplar phase.
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 !	➡	CMT Emerging Issue No change to risk since previous month, however need to be aware of the possible implications of the letter from Eric Pickles MP regarding the abolition of Regional Spatial Strategies. This may have an impact upon the timetable for the LDF.
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 !	➡	There are signs of economic recovery in the district. However, public sector financial position is likely to create new risks in the future.
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	➡	Consultant delivered model for obstetric and paediatric services agreed by the PCT and ORHT as being deliverable and additional funding agreed. Implementation plan being developed for immediate action.
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 9	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 Medium 12	A !	Change management policies in place External legal and HR support planned Project management approach applied, incorporating risk identification and mitigation	High 16	R	High Medium 12	A !	➡	CMT Emerging Issue Likelihood of risk has increased due to South Northants partnership working recommendation
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 underestimate 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 !	➡	Monthly Budget Monitoring produces a variance analysis which is reacted on by management. The council regularly updates its MTFs and takes appropriate action to reduce costs.

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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 !	➔	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
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	High Medium 12	A !	➔	Under daily review - cashflow and counterparties
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	Medium 8	A	➔	The level of risk will fall after the next DR test.
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 !	Medium 9	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 !	Medium 9	A	➔	Risk reviewed this quarter - no change. Equalities action plan on track.
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 !	Medium 6	A	➔	Small risk remains that staff may pursue equal pay claims
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 !	Medium 5	A	➔	Gross risk remains high but mitigated by effective planning and training
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 !	Medium 9	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 !	Medium 9	A	➔	risk reviewed 08/07/10 DQ action plan on track.

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Partnership Risks													
PART01 Local Area Agreement	Claire Taylor	The risk is the failure of 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		No change however impact of risk may decline as there will be no funding resulting from LAA2 and the policy priority of the LAA is likely to decline.
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 6	A	a) Partnership governance review implemented b) Management group to support implementation of LSP decisions c) Annual self assessment of performance	Medium 9	A	Medium 6	A		No change. LSP new working arrangements are currently effective. Good progress with delivery plans.
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 !	Medium 9	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 !	Medium 9	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		Partnership well established. However, government funding changes around LAA are raising questions about future resources (see control b).

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 month compared to this month
		Risk rating improved Performance increased (risk rating decreased) Last month compared to this month
		Risk rating worsened Performance declined (risk rating increased) Last month compared to this month