

CORPORATE RISKS

Risk Heading	Owner	Description	From 1/4/12				Controls	Q2					Comments
			Gross Risk	Gross RAG	Net Risk	Net Rag		Gross risk	Gross Rag	Net risk	Net Rag	change	
RC 01 Business Continuity Joint	Jo Pitman	Loss of ICT/Access to Facilities/Loss of Staff/Resources or other continuity event leads to: <ul style="list-style-type: none"> • Failure of councils to deliver services • Failure of councils to recover services within a reasonable time limit • Failure of councils to recover services within a reasonable time limit • Failure of councils to recover services • Loss of income or increased costs • Negative impact on customers • Danger to staff/employees 	High 20	R	Medium 9	A	<ul style="list-style-type: none"> • RC01a : Business continuity strategy in place • RC01b : All services prioritised and recover plans reflect the requirements of critical services • RC01c : ICT disaster recovery arrangements in place • RC01d : JMT lead identified • RC01e : Incident management team identified • RC01f : All services undertake annual business impact assessments and continuity plans during Q3 	High 20	R	Medium 9	A	→	Risk of business continuity issues remain constant apart from in the event of an actual incident occurring the gross risk will be constant and the controls mitigate this to moderate and possible with a score of 9 which will remain throughout the year
RC 02 Member Decision Making Joint	Kevin Lane	The making of unlawful and/or ineffective decisions by Members due to lack of necessary information and/or support	High 16	R	Medium 8	A	<ul style="list-style-type: none"> • RC02a : Professionally qualified/experienced officers at all Member decision taking meetings • RC02b : Council Constitutions • RC02c :Member Development Programmes • RC02d : Legislative requirements • RC02e : Call in processes 	High 16	R	Medium 8	A	→	Likelihood of risk occurring has increased in the short term with the recent unexpected introduction of new Regulations concerning Executive decision taking. This legislation is in part unclear, and introduces extra procedural steps, and while advice about them has been distributed to JMT there must be a greater risk of a decision being taken which is not in compliance with the legislation pending further guidance that is anticipated from CLG. However while the risk of a decision being taken which is not in compliance with the new legislation is reasonably high, the likelihood of a legal challenge being made, let alone successful, is low and therefore the scores remain.
RC 04 Joint Working Joint	Jo Pitman	Failure to implement and manage joint working - resulting in: <ul style="list-style-type: none"> • Reduced performance • Failure to realise savings / benefits Negative impact on reputation	High 20	R	High medium 12	A!	RC04a: Leading members and JMT committed to partnership working and reducing costs wherever possible RC04b: Programme management approach ensures regular review, monitoring and delivery RC04c:No of business cases progressing well RC04d:Initial discussion taking place with other potential partners RC04e:Financial imperative to deliver savings built into the budget RC04f: Implementation and operation of Joint Arrangements Steering Group (JASG) between Cherwell District Council and South Northamptonshire Council RC04g: Implementation and operation of Joint Arrangements Steering Group (JASG) between between Cherwell District Council and South Northamptonshire Council and Stratford District Council	High 20	R	High medium 12	A!	→	As the number of shared services are progressing across the two councils, the impact of different terms and conditions of employment, and specifically pay differentials is becoming an increasing concern to employees and their trade union. Consequently it is beginning to represent a risk to both councils in relation to employee morale and productivity, and ultimately employee relations. It is not a legal risk. Consideration is being given as to the best solution to address this going forward.

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RC05 Communications Joint	Jo Pitman	Failure to proactively manage internal and external communications leads to: service changes not being effectively managed organisational changes not being effectively implemented service failure increased complaints reduced performance reduced service take-up	High 16	R	Medium 6	A	RC05a : Centralised press office function RC05b : Members attributed & sign of press releases RC05c : Comms strategy in place RC05d : Members media training RC05e : Social Media Policy RC05f : Specific comms plans in place for major projects	High 16	R	Medium 6	A	→	The corporate communications teams for both councils are still separate. The level of resources within the SNC team are currently insufficient to deliver the level of service that is required and this is being considered as part of the budget setting The time taken to secure sign off of draft media statements continues to be a problem for the Communications Teams at both councils which in turn has a negative impact upon the councils' ability to be as proactive in all areas of media activity as we would wish to be.
RC06 Equalities Joint	Jo Pitman	Failure to comply with equalities legislation leads to: legal challenge customer complaints lack of access to council services this could result in negative impact on community and/or service users, reputational damage or legal costs	High medium 12		Medium 9	A	RC06a: Rolling programme of equality assessments RC06b: Equality policy and corporate plan in place RC06c: Equalities requirements to be identified in service plans RC06d: Equalities training available for staff and Members RC06e: Equalities awareness programme at CDC	High medium 12		Medium 9	A	→	The process and procedures are in place to mitigate against the risk of an equalities issue. Training for equalities is being conducted and all staff should be aware of equalities legislation. This is not a risk where we would anticipate any change unless we were to had an equalities issue.
RC07 ICT Insource Joint	Gareth Jones	Failure of ICT services resulting from the insource project any outstanding issues in terms of the forward plan(ie the process of embedding the new service) This could result in loss of critical systems, reduced capacity and impact on existing systems this risk will be retained throughout the period of harmonisation and implementation until the new shared service becomes business as usual	High 16	R	Medium 9	A	RC07a: All business systems have been transferred and are controlled by the shared team RC07b: knowledge transfer RC07c: Documentation of processes RC07d: Contracts novated (ie systemised by third parties are now "owned" by the shared team	High 16	R	Medium 9	A	→	controls in place - no change
RC08 Health and Safety Joint	Dave Bennet	Failure to comply with health and safety legislation leads to: injury, sickness absence and litigation against the council	High 20	R	High medium 15	A!	RC08a: Both councils have policies, procedures and arrangements in place to mitigate the risk of accidents to staff, members of the public and contractors that may be affected by the council's actions	High 16	R	Medium 9	A	→	The HSE have undertaken a review of SNC and are due to report findings late October
RC09 Emergency Planning joint	Dan Rowlson	The emergency plan is a document that formulates the council's responses to major incidents around the district and across its boundaries	High medium 12	A!	High medium 12	A!	RC09a: Emergency plan reviewed quarterly and on activation - currently being reviewed to integrate joint working arrangements	High medium 12	A!	High medium 12	A!	→	No changes currently. Updates recently received from Oxfordshire County Council for their Emergency Plan

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RC11 Capital investment and asset management Joint	Karen Curtin	Poor investment and asset management results in the councils not maximising financial returns or losing income	High 20	R	High medium 12	A!	RC11a: Treasury management policies in place RC11b: Investment strategies in place RC11c: Regular financial and performance monitoring in place RC11d Independent third party advisors in place and different one used at each council RC11e: Regular bulletins and advice from advisors RC11f: Fund managers in place at CDC RC11g: Property portfolio income monitored through financial management RC11h: Experienced professionally qualified staff employed at both councils	High 20	R	High medium 12	A!	→	Working in accordance with investment and treasury strategy. No issues of non compliance or breaches year to date.
RC12 ICT systems failure Joint	Gareth Jones	Failure of It services including telephone 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)	High 16	R	Medium 9	A	RC12a: BCP plan RC12b: Disaster recovery arrangements RC12c: Recovery site RC12d: Back up of systems RC12e: Process and standards (compliance regime)	High 16	R	Medium 9	A	→	controls in place - no change

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RC13 Corporate fraud	Karen Curtin	Lack of corporate governance and control along with the current economic climate leads to an increase in fraudulent activity faced by the council	High 16	R	Medium 8	A	RC13a:Professionally qualified finance staff RC13b:Communication of anti fraud messages RC13c: Dedicated fraud teams at CDC and SNC RC13d:Anti fraud trained staff at both authorities RC13e:Specific corporate fraud resource within the finance project team at SNC RC13f:Fraud risk assessments carried out periodically RC13g:Audit committee at SNC RC13h:Accounts Audit and Risk committee at CDC RC13i:Benefit fraud campaigns advertised RC13j:Benefit fraud identification and convictions communicated to the local press RC13k:internal controls processes and procedures segregation of duties, checking of information etc) RC13l:periodic checking of data single persons discounts, Audit commission data matching) RC13m:Membership of National Anti Fraud Network	High 16	R	Medium 8	A	→	Corporate Fraud Manager is continuing to raise awareness and internal control environment considers the potential areas of risk as part of the annual work programme and reports through to AARC an Audit committee.
RC14 Managing data and information Joint	Jo Pitman	Lack of effective data quality and information governance results in: poor quality information underpinning decision making Lack of understanding regarding performance issues poor quality corporate governance Lack of transparency/accountability to both the members and the public This could result in: Legal challenge Reputational damage Increased costs, waste or reduced performance	High 16	R	Medium 9	A	RC14a: Audit and data quality health checks RC14b: Annual target setting process RC14c: Annual PMF review RC14d:Data Quality policies in place	High 16	R	Medium 9	A	→	The processes are in place to ensure that data is effectively managed. We are currently reviewing the PMF and will have an audit team consider the PMF over the coming months. No issues are anticipated and no change to the status of this risk is required.