Council				Tools a second	Tools a season	oort		C	C	Daniel - I		1		
	Ref.	Name	Description		Inherent Probability	Gross Risk		Current Impact	Probability	Residual Risk		Last updated	Change	Since
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			20	<u></u>	3		4 1	2 0		→	Mar 1
		•	strategy in place All services prioritised and recover plad I Incident management team identified All services und		•				CT disaster re	ecovery arı	ange	ements in p	olace	
now in p	post ar nces : 1	nd will start to review and There is a systematic pro	ew of the Public Protection service a need to provide a c d improve business continuity arrangements; the new I ject in place focusing on critical services to ensure that	CT service	will also inclu	de a Disas	ter	ecovery a	, arrangement:	s to suppoi	t bus	siness cont	inuity.	
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		A	3		3 0	9 0	Jun-16	→	Mar 1
			ecovery (DR) arrangements (CDC) Recovery site (CDC)	Back up o	f systems Prod	cess and s	tand	ards (con	npliance regir	ne)				
Mitigatiı Assurar			Ith check and benchmarking with best in private and pu	ıhlic sector	r									
		erly Review	en eneck and benefitting that best in private and pe	Bile Sector	•									
Risk rer	mains ເ	unchanged												
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	A	4		3 1	2 0	Jun-16	•	Mar 1
			ied finance staff. Communication of anti-fraud message											
periodic	ntérna	l controls processes and ship of National Anti Frau	Accounts, Audit and Risk Committee at CDC Benefit fram procedures (segregation of duties, checking of informated d Network. Role of S151 and monitoring officers. Fraud ms on Accounts, Audit and Risk Committee and Audit C	tion etc.) F I detection	Periodic checki & prevention	ng of data corporate	(sir poli	igle perso cies in pla	n discounts, ce such as W	Audit Com histle Blov	missi ving a	ion data m and Anti-fr	atching aud &	
etc.) Me Corrupt basis as	requir	red.												
etc.) Me Corrupt basis as Mitigati	requir ng Acti	red.												
etc.) Me Corrupt basis as Mitigati Assurar	requir ng Acti nces :	red.												
etc.) Me Corrupt basis as Mitigati Assurar Risk - (requir ng Acti nces : Quarte nge in t	red. ions : erly Review the risk of corporate frau	d.											
etc.) Me Corrupt basis as Mitigati Assurar Risk - (No char	requir ng Acti nces : Quarte nge in t	red. ions : erly Review the risk of corporate frau	d. Poor data quality or lack of relevant information results in poor decision making	4	4	16	<u> </u>	2		3 0	6 0	Jun-16	t	Mar 1
etc.) Me Corrupt basis as Mitigation Assurar Risk - (No char Shared	requiring Acting	red. ons: crly Review the risk of corporate frau Managing Data and Information ols: Audit and data quali	Poor data quality or lack of relevant information	4 PMF review	4 v Data quality		_			3 0	5 0	Jun-16	t	Mar 1
etc.) Me Corrupt basis as Mitigatii Assurar Risk - (No char Shared Current Mitigatii Assurar	required requirements of the control	red. ions: erly Review the risk of corporate frau Managing Data and Information ols: Audit and data quali ions: Audit, data quality checks	Poor data quality or lack of relevant information results in poor decision making			policies in	plac	ce						
etc.) Me Corrupt basis as Mitigatii Assurar Risk - (No char Shared Current Mitigatii Assurar as a 'cri Risk - (requiring Actions and Actions and Actions and Actions are in the Control Actions are incessarily and Actions are incessarily and Actions are incessarily are i	red. ions: erly Review the risk of corporate frau Managing Data and Information ols: Audit and data quali ions: Audit, data quality checks iend' erly Review	Poor data quality or lack of relevant information results in poor decision making ity health checks Annual target setting process Annual I	e regular p	erformance re	policies in	place	ce nore time	for Performa	nce and In	sight	t team to re	eview dat	a and act
etc.) Me Corrupt basis as Mitigatii Assurar Risk - (No char Shared Current Mitigatii Assurar as a 'cri Risk - (As data	grequing Actionces: Quarte ange in to CO5 Control Co	red. cons: con	Poor data quality or lack of relevant information results in poor decision making ity health checks Annual target setting process Annual for as part of performance management framework. More	e regular p	erformance re	policies in	place	ce nore time	for Performa	nce and In	sight	t team to re	eview dat	a and act

			CDC and SI	nared	Disk Par	ort						
Council	Ref.	Name	Description	Inherent	Inherent	Gross		Current	Residual	Last	Change	Since
Current	Contro	ols : Attendance of profe	essionally qualified and experienced officers at all Members			Risk		Probability	Risk	updated		
			Programmes. Legislative requirements. Call in processes.								ouricii	
Mitigatir		•			o. Godd., <u>2</u> /10					<u>. </u>		
Assuran	ces : N	No decision has been ma	ade by either Council which is inconsistent with the police	y framewo	ork or legal red	uirements						
		erly Review		•								
Member	s conti	inue to be provided with	the necessary information to take informed decisions									
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	★ Jun-1	6	Mar 16
			in place and clear lines of responsibility established. Safe									
CSE Pre	ventio	n group as part of the C	being rolled out using new NCC e-training module. Safer community Safety Partnership Local Safeguarding Childre and Young People Partnership Board (CYPPB) Annual Se	en's Board	Northampton	shire (LSCE	3N) pathway					
Mitigatir	_											
meeting	times	JATAC (Joint Agency Ta	s to promote the welfare of children and be a point of cor actical and Co-Ordination Meeting) at CDC where issues						nd LSP als	o have speci	fic actions	and/or
		erly Review										
The inhe	erent r	isk remains and we have	e undertaken all mitigation possible.	İ								
Shared	C09	Safeguarding	Failure to:- identify safeguarding concerns and issues; use agreed protocols for escalating safeguarding	4	4	16	A	4 2	. 08	Jun-1	6	Mar 16
		-	concerns; use diverse community intelligence to best effect internally and externally.									
			oint Agency Tasking and Co-ordinating Group (JATAC) a	nd relevar	nt Oxfordshire	County Co	uncil (OCC)	safeguarding su	ub group. E	Engagement	at an	
			vant external agencies and networks									
Mitigatir	_		Danaut It!! nuasasa has santuals and manitaring arrengement	anta far d	lifforont lovels	in the ever	nication for					
		rly Review	Report It" process has controls and monitoring arrangem	ients for d	iliterent levels	in the orga	inisation for	assurance purp	ooses			
	-	igation possible										
		Communications	Failures to manage internal and external communications results in reputational damage to	4	4	16	<u> </u>	3 3	09	Jun-1	6 →	Mar 16
_		l <u>-</u>	the council or reduced performance/staff morale	_								
Current	Contro	ols: Centralised press of	ffice function Members attributed and sign of press relea	ases Comn	nunications str	rategy in pl	ace Member	rs media trainin	g Social M	edia Policy S	pecific	
		ns plans in place for maj	jor projects									
	ces : S		cations panel SNC Portfolio Holder for communications Cons section	DC memb	er lead for cor	nmunicatio	ns Quarterly	performance r	eporting C	DC annual s	atisfaction	survey
		Equalities	Failure to comply with equalities legislation results in legal challenge, costs and reputation damage	4		16	_	4 3		-	-	Mar 16
			of equality assessments Equality policy and corporate p			equirement	s to be ident	tified in service	plans Equa	alities trainin	g available	9
		•	reness programme "Knowing our Communities" at both (
			ns and rolling EIA plan submitted and signed off by Exec			ction alas	\/irtual ata - :	ring grown to	ordinata	work		
		Annual update to Cabine e rly Review	et and Executive. Quarterly performance reporting. EIA r	oning prog	grainme and a	ction plan.	virtuai steel	ring group to co	o-ordinate	work.		
	-	-	still relevant and in place.									
		Health and safety	Failure to comply with health and safety legislation leads to injury, sickness, absence and litigation	5	1	20	<u> </u>	5 2	10	Jun-1	6	May 16
Silared	C12	nealul alla safety	against the council	5	4	20		2	. 10	Juli-1	7	May 10

ffected by itigating ssurance isk - Quarternal aur contin	Contropy the particles : Buarte auditonued c	ls : Both Councils have s Councils actions ons : S OHSAS 18001 Occupat rly Review rs visited CDC on 13 and	Description Shared policies, procedures, and arrangements in place tional Health and Safety Standard, and ISO 14001 En d 14 July 2016 and confirmed our continued certificat	Impact ce to mitiga	Inherent Probability Ite the risks o		Im	rrent Curr pact Prob , members	ability R	Residual Risk	Last update tractors th		Since
ffected by itigating ssurance isk - Quarternal aur contin	oy the g Action	Councils actions ons: S OHSAS 18001 Occupate rly Review rs visited CDC on 13 and	tional Health and Safety Standard, and ISO 14001 End		ite the risks o	of acciden	ts to staff	, members (of the publi	c and con	tractors th	at may be	
ssurance isk - Qu xternal a ur contir	es : B uarte audito nued c	S OHSAS 18001 Occupaterly Review rs visited CDC on 13 and	d 14 July 2016 and confirmed our continued certificat	nvironmenta						c and con		,	
isk - Qu xternal a ur contir	uarte audito nued o	r ly Review rs visited CDC on 13 and	d 14 July 2016 and confirmed our continued certificat		al Standard.								
ur contir	nued o												
DC (C13		going work we are doing there is no change to the risl						18001 the	health an	d safety st	andard. As	a result of
DC (C13		That plans are not in place to ensure the Council										
DC I	C13	Emergency	responds effectively in the event of a civil emergence	,									
		Planning (EP)	and local residents are not supported. This could	4	4	3	12 🔵	4	2	08	🔵 Jun-	16	Mar 1
		i lailling (El)	result in casualties, unnecessary hardship, impact o	n									
			the local environment, costs and reputation.							C	1 1	CDC	
urrent C NC	ontro	is : Emergency plan revi	ewed quarterly and on activation. Team established t	o monitor a	and ensure ai	ii eiement	s are cove	erea. Aaaea	resilience	rrom cove	r between	CDC and	
itigating	ιΛctic	ne :											
			cil (OCC) EP Division have accepted our EP as being s	ufficient an	id suitable. O	CC have a	also led or	desk ton s	tudies of in	nnlementa	tion		
		rly Review	in (Occ) in Division have accepted our in as being s	arricierie ari	ia saitabiei o	CC Have t	1150 100 01	. desir top s	tadies of in	пристистис			
			separated to reflect the different relationships and sup	port that e	each eniovs fr	rom the C	ounty Cou	ıncils in eac	h area. Thi	s means t	hat a new	sinale risk	has been
			arity of support and arrangements with Oxfordshire Co				,						
			Failure to deliver the IT transition project programm										
			results in failure to:										
			 deliver savings through IT harmonisation 										
			• deliver the councils' wider strategic and commerciate	al									
harod (C1 E	ICT Transformation	objectives		1	4	16	3	3	09	Jun-	16	May 1
iaieu	C13	and Transition	- reputation damage		T	7	10 _	3	3	09	Juli-	10	Indy 1
			 improve services and deliver efficiencies 										
			• deliver the channel shift programme and enhance										
			customer access										
		la . Commanto Bradant alam	Manage business continuity	 		- D - d:+-	d	<u> </u>	44:4:4:4		Lucia Nacci	IT streets so	
			n in place Performance Management Member Governa	ance Directi	or as sponsor	Dedicate	a project	team and a	aditional re	source Fu	ture: New	11 Strategy	•
		to be developed											
itigating	,		aca managamant Manthly mambay ayawight										
Surance	es : A	udit Quarterly periorilar	nce management Monthly member oversight										
			The Council fails to engage/influence the PCC/ PCP										
			Doesn't add value to partnership work of the counci	.									
		Police and Crime	PCC commissions projects that don't align with	'									
DC I		Commissioner	strategic objectives of the council.	-	3	3	09 🔵	2	2	04	🛊 Jun-	16	Mar 1
JC	PUI	(PCC) - Thames	Loss/reduction of funding to Community Safety.	-	3	3	09	2	2	04	Juli-	10	I I I
		Valley	Becomes isolated from PCC leading to failure to										
		-	achieve corporate objectives and loss of reputation										
urrent C	ontro	ls : Effective local Comm	nunity Safety Partnership meetings Elected member re	enresentati	on at Police a	and Crime	Panels (F	PCP) Flected	Member re	enresenta	tion at Ox	ordshire	1
			lember representation at CSP Alignment with PCC Pol									or asime	
itigating											-р :,		
			PCP. CDC chair of CSP sits on PCP.										
		rly Review											
		ommissioner has been re	e-elected										
		trategic format											
			The partnership doesn't add value to the work of the	9									

	Ref.	Name	Description		Inherent Probability	Gross Risk		Current	Current Probability	Residual Risk	Las	t dated	Change	Since
Shared	P04	(SEMLEP)	strategic objectives or the council is unable to influence the partnership's agenda.	4			5			3 09		un-16	v	Mar 1
Current	Contro	ols : Partnership Work Pr	ogramme / Forward Plan, Resource provision for Partn	ership wor	ا k, Senior mar	nagement	and	Member Ir	volvement					
Mitigatii			- J		.,									
Assuran	ices :													
		Ī												
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	4	. 2	16	5	3		3 09	<u> </u>	un-16	٠	Mar 1
Current	Contro	ls · Partnershin Work Pr	influence the partnership's agenda. ogramme / Forward Plan, Resource provision for Partn	erchin wor	 k=Senior mar	nagement	and	 Mamhar Ir	volvement					
Mitigatii		•	ografilitie / Forward Flatt, Nesource provision for Farth	ership wor	k, Sellioi Illai	lagement	anu	Member 11	ivoivement					
_	_		Board Regular liaison meetings with OLEP											
			<u> </u>											
CDC	P07	Health and Wellbeing	Failure of the new partnership arrangements results in Cherwell District Council not being able to meet its safe and healthy objectives.	3	2	4 12	2	3		3 09) Ji	un-16	→	Mar 1
C	C	Partnership (CDC)	, ,			6 .		District C		 				
		of the Health & Wellbein of the Health st	ounty Council structures Oxfordshire has a clear struct	are and ac	knowledges tr	те пееа то	r tne	District C	ouncii s airec	t contribution	on. Finar	nciai co	onstraints	,
Mitigatii	-		ig board action plan											
_	_		etermined by the Board. There is limited opportunity for	or Districts	to directly in	fluence.								
		erly Review												
Action p	olan in	place to secure partner	contributions. No further mitigation possible											
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	2	4 20) <u> </u>	4		3 12) Ji	un-16	→	Mar 1
urrent	Contro	l ols:IMT forward plan E	xecutive and Cabinet Forward plans, Scrutiny Committ	⊣ ees Busina	ss and Service	re Plannin	⊓ n Bi	ısiness Pla	nning meetir	as to brief	= =xecutiv	e and	Cahinet	
Highly p	orofess	ional, competent, qualifi	ed staff Good networks established locally, regionally a ng lead members/portfolio holders in one to one's with	nd nationa	lly National g	uidance in	terp	reting legis	slation availa	ole and use	d regula	rly Mer	mbers	
M:+: ~ ~ +:	ng Acti													
	N	No legal challenge has be	en made to any decision by either Council alleging mis	application	of the law									
Assuran														
Assuran Risk - (Quarte	erly Review	ha account The impose of Durant and Law malian arrays are				- 1.					waras		
Assuran Risk - (Quarte		be sound. The impact of Brexit on key policy areas suc	h as the de	evolution ager	nda will be	a k	ey matter	to take into a	ccount fron	1 Q2 0111	1		
Assuran Risk - (Member	Quarte r decisi	on making continues to	The impact of external financial shocks, new policy and increased service demand reduces the councils	h as the de	evolution ager		a k	ey matter				un-16	→	Mar 1
Assuran Risk - (Member Shared Current regularl	S02 Control Y Mem	Financial resilience ols : Highly professional, bers aware and are brief	The impact of external financial shocks, new policy	ocally, reg	ionally and na	1 16	ā 🛕	4 nal guidano	ce interpretin	3 12 g legislatior) Ju	un-16 ole and	used	Mar
Assuran Risk - (Member Shared Current regularlapproace	S02 Control Mem	Financial resilience Signature of the state	The impact of external financial shocks, new policy and increased service demand reduces the councils medium and long term financial viability competent, qualified staff Good networks established	ocally, reg	ionally and na	1 16	ā 🛕	4 nal guidano	ce interpretin	3 12 g legislatior) Ju	un-16 ole and	used	Mar :
Assuran Risk - (Member Shared Current regularl approac Mitigatii	S02 Control y Mem ch bein ng Acti	Financial resilience Signature of the state	The impact of external financial shocks, new policy and increased service demand reduces the councils medium and long term financial viability competent, qualified staff Good networks established red regularly Participate in Northamptonshire Finance C	ocally, reg officers and	ionally and na Oxfordshire	4 16 ationally N Treasurers	ation	4 nal guidano sociation's	ce interpretin work stream	3 12 g legislation s Programn	Jı ı availab ne mana	un-16 ble and agemer	used nt	
Assuran Risk - (Member Chared Current regularl approac Mitigatin Assuran	S02 Control y Mem ch bein ng Acti	Financial resilience ols: Highly professional, bers aware and are brief g taken ons: Budget and Financial Stra	The impact of external financial shocks, new policy and increased service demand reduces the councils medium and long term financial viability competent, qualified staff Good networks established	ocally, reg officers and	ionally and na Oxfordshire	4 16 ationally N Treasurers	ation	4 nal guidano sociation's	ce interpretin work stream	3 12 g legislation s Programn	Jı ı availab ne mana	un-16 ble and agemer	used nt	
Assuran Risk - (Member Shared Current regularl approac Mitigatir Assuran Risk - (SO2 Control Mem Ch bein ng Acti nces : E Quarte	Financial resilience ols: Highly professional, bers aware and are brief g taken ons: Budget and Financial Stra	The impact of external financial shocks, new policy and increased service demand reduces the councils medium and long term financial viability competent, qualified staff Good networks established red regularly Participate in Northamptonshire Finance C	ocally, reg officers and	ionally and na Oxfordshire	4 16 ationally N Treasurers	ation	4 nal guidano sociation's	ce interpretin work stream	3 12 g legislation s Programn	Jı ı availab ne mana	un-16 ble and agemer	used nt	

				DC and S	hared	Risk Re	port						
Council	Ref.	Name	Description			Inherent Probability	Gross Risk	Current Impact	Current Probability	Residual Risk	Last updated	Change	Since
arranger the end			enced professionally qualified staff em	nployed at both C		•	nent revie			to be report	ed at both (Councils by	,
Mitigatin													
			tegy Committee (SNC) Budget Plannin	ng Committee (Cl	DC) Execu	ıtive, Cabinet,	Audit Com	nmittee and A	ccounts, Audi	t and Risk Co	ommittee, S	crutiny Co	nmittees
		rly Review											
implicati			dered in the next quarterly review.										
Shared	S07	Customer Service Improvement (including channel shift)	Failure to increase internet usage or improve customer service processes costs and decreased customer satisfa	results in higher	3	3	1 12		3	3 09	Jun-10	5	May 16
October vill go li Mitigatin	2015 a ve Jun ng Actio	and was well received. The e/July 2016. ons :	roject also part of the transformation ne Key Services to be Maintained sum	mary instrument	al in Busir								
		, , , , , , , , , , , , , , , , , , , ,	rmance management reporting, custo	mer insight repo	rting.								
		rly Review isk scores or controls at i	this time. Progress made during the Q)1 includes:-									
	_		,	-									
New join	nt struc	ture went live on 1 April	2016 - all vacancies have been filled	and staff now in	post.								
ICT - Sh	ared L	agan (CRM) system went	t live in March 2016 enabling joint tea	m to begin stand	lardisation	in their use o	of the syste	em.					
Custome August 2		ice Officers are currently	testing Citrix, which will allow advisor	rs access to all sy	ystems an	d applications	no matter	their location	n. Planned roll	out for the j	joint team is	scheduled	l for mid-
Mitel rev	/iew ar	nd mapping of current cal	II flow structure in progress with the a	im to simplify the	e process,	reduce length	n of messa	ges whilst ma	naging call vo	olumes and fl	low.		
		te scoping project is curr sed, easy to access and c	rently underway and key members of toustomer friendly.	the customer ser	vices tear	n are part of t	he design	and specifica	ion, so ensuri	ng future pro	ocesses and	procedure	s are
A new h	armoni	ised Customer Services s	staffing rota has been introduced and i	implemented and	training (of CDC based	staff on all	LSNC Custom	er Service pro	ocesses on a	rolling basis	has comn	nenced.

A new harmonised Customer Services staffing rota has been introduced and implemented and training of CDC based staff on all SNC Customer Service processes on a rolling basis has commenced.

Processes mapping of the revenues and benefits interface with customers is currently underway to both identify and highlight first point of contact that can be managed by the customer services team thus allowing the officer within Revenues and Benefits to deal with the complicated and specialist customer enquiries.

A review of the use of the Atrium at The Forum is currently underway and will include customer feedback. One aspect the review is focusing on is improving sign posting and the promotion and encouragement of the self service functions.

Deprivation and Failure to deliver the Brighter Futures in Banbury														
CDC S10 Health Inequalities (Brighter Futures in Banbury) Health Inequalities programme results in long term health and deprivation objectives not being met	CDC	S10 Health Inequalities (Brighter Futures in	Failure to deliver the Brighter Futures in Banbury programme results in long term health and deprivation objectives not being met	4	3	12	•	3	3	09	0	Jun-16	→	Mar 1

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.

Mitigating Actions:

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

CDC S1 Current Contagport Mitigating Acassurances: CDC S1: CDC S1:	1 CDC Local Plan trols : A Local Development ctions : : Full Council North West Bicester (Eco-	as of future focus. No further mitigation possible 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. ent Scheme is in place which details the timeframes and of the failure to deliver the project results in loss of	5		4 20 An the work Re	3		3 09 upport deliver	1		Mar 1
CDC S1 Current Contagport Mitigating Acassurances: CDC S1: CDC S1:	CDC Local Plan trols : A Local Development Council North West Bicester (Eco-	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. ent Scheme is in place which details the timeframes and of the council of the							1		Mar
Current Cont support Mitigating Ad Assurances :	trols : A Local Development ctions : : Full Council North West Bicester (Eco-	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. ent Scheme is in place which details the timeframes and of the council of the co							1		Mar
support Mitigating Ac Assurances: CDC S1 Current Cont	North West Bicester (Eco-	·	deliverabl	es to underpi	n the work Re	sources are	in place to s	upport delive	ry including		
Mitigating Adassurances : CDC S1 Current Cont	North West Bicester (Eco-	Failure to deliver the project results in loss of								QC	
Assurances : CDC S1 Current Cont	North West Bicester (Eco-	Failure to deliver the project results in loss of									
CDC S1 Current Cont	North West 2 Bicester (Eco-	Failure to deliver the project results in loss of									
Current Cont	2 Bicester (Eco-	Failure to deliver the project results in loss of									
	town)	economic benefit, local dissatisfaction and reputational damage to the council	4		4 16	3	3	3 09	Jun-16	→	May
		velopment through Local Plan Eco Town Project plan & re	lated part	nerships Wor	king with priv	ate & publi	c sector partn	ers Programn	ne Board in	place	
ead Membe	•										
	ctions : test										
Assurances :	: Programme Governance	Performance Management									
		Calling to deliver the mariest results in less of									
CDC S1	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	3 09	Jun-16	→	May
	trols : Project manager in ources and technical advic	n lead role Project Board Legal agreements in place Joint ce provided as part of the developer agreement	venture w	ith the devel	oper (underpi	nned by leg	gal agreement	ts) Monthly pe	erformance /	projects	
	: Project Governance										
		Failure to deliver the project results in severe loss of									
	4 Graven Hill	economic benefit, local dissatisfaction and damage to reputation	4		3 12) 3	3	3 09	Jun-16	→	May
		roject Board Companies set up Business Plan and Finance	e Plan beii	ng monitored							
Mitigating Ac Assurances :	ctions : : Project Governance										
		Failure to retain Horton convices locally results in less									
CDC S1	5 Horton Hospital	Failure to retain Horton services locally results in loss of local services and less access to health care for local people	4		4 16	4	1	4 16	Jun-16	*x	Mar
Gaining cons	sensus locally that this is	HT and emerging GP commissioning structure to maintain important Ensuring local councillors are briefed and enga on to hold service commissioners and providers to accoun	aged to pla	ay a commun	ity leadership	role Contin	nuing to suppo	ort a local stal			
litigating Ac	ctions :										
	: LSP oversight and annua	al report to Executive									
	terly Review		4.1	1.1.1.1.						6 6.	
		me has prompted a review of health and social care servi- vices, services closer to home, more patients at the Horto									nese

C			CDC and	<u> </u>	KISK IXC	рогі								
Council	Ref.	Name	Description	Inherent Impact	Inherent Probability	Gross Risk		Current Impact		Residual Risk		Last updated	Change	Sinc
Shared	S16	Transformation Programme	 deliver savings deliver the councils' commercial objectives reputation damage improve services and deliver efficiencies 	4			A	3		3 09	9	Jun-16	+	Ma
be unde	rpinne	ed by business cases	e plan in place Performance Management Member G	Governance CE	O programme	e sponsor [Dedic	ated prog	gramme team	r Future: Al	II ma	jor propos	sals will	'
Mitigatir Assuran			erformance management Monthly member oversigh	nt										
CDC	S17	Build Development Programme	Failure to deliver the Build! Programme resulting financial loss, loss of economic benefit, local dissatisfaction and damage to the Council's reputation.	in 5	3	3 15		4		3 12	2	Jun-16	+	M
reports safety ir major g	 Busincident iven th 	ness Plan and Financial P t which is always possible ne level of investment bu	and Project Board • Legal Agreements in place for I lan monitoring • Professional Construction Manager in a construction project but mitigated by sound F t mitigated by budget management and profession communications and strong project management.	ment • Effectiv Health & Safety	re Communica procedures	ations Mana and Constr	agem uctio	nent • Cat n, Desigr	tastrophic wo n & Managem	uld be a se ent measur	erious res. •	s (fatal) he • Financial	ealth and Frisks are	
Fortnigh Risk - C	ces : • itly Pro Quarte	 Programme Governance pject Boards; weekly projectly Review 	• Information Management System (IMS) with the ect reviews ed an amendment to the BUILD! scheme relating to			`				•				
			was also agreed to switch some affordable rent pr The sites are complex and in multiple ownership.	roperties to sha		ip. The pro	gran				iipicc	e the run		iche w
	310	Development	There are conflicting development pressures and	4		16		4	. ;	3 12	2 0	Jun-16	→	Ma
Current major d	Contro	ment sites in Banbury Ac	There are conflicting development pressures and challenges with site viability the Project Board Adopted Asset management Stratopted local Plan leading to Completion of Banbury	ategy and revi		car park s	ites I		ndencies map	produced	show	 wing progi	ress on al	
Current major d be conc Mitigatir	Contro evelop luded i ng Acti	ols : Regular meetings of oment sites in Banbury Ad in February 2016 ions :	challenges with site viability the Project Board Adopted Asset management Stra	ategy and revi		car park s	ites I		ndencies map	produced	show	 wing progi	ress on al	
Current major d be conc Mitigatir	Contro evelop luded i ng Acti ces : F	ols: Regular meetings of ols: Regular meetings of oment sites in Banbury Ad in February 2016 ions: Regular risk monitoring a	challenges with site viability the Project Board Adopted Asset management Stra dopted local Plan leading to Completion of Banbury	ategy and revi		car park s Supplement	ites I		ndencies map Document (SI	produced	shov	 wing progi	ress on al f sites to	II
Current major d be concommend Mitigatir Assuran CDC	Contro evelop luded i ng Acti ces : F	ols: Regular meetings of oment sites in Banbury Adin February 2016 ions: Regular risk monitoring a Asset Management ols: In 2015/16 to agree	challenges with site viability the Project Board Adopted Asset management Stratopted local Plan leading to Completion of Banbury and review discussions by the project board Failure to maximise the value of council assets through inaction, or wrong action leading to devaluation or wasted value. and implement 1) Asset Strategy Resource Plan 2)	ategy and revi Masterplan an 4	d Canalside S	car park s Supplement 4 16) Car Parks	ites I tary I	Planning I 4 4) Comr	ndencies map Document (SI	produced PD) Soft Ma	show arket	wing progi t testing o Jun-16	ress on al	
Current major d be concomitigating Assurant CDC Current Future C Mitigating Assurant Estates/to the a	Control ag Acti ces : F S19 Control ag Acti ces : A Econo ctions	Asset Management ols: In 2015/16 to agree ls:- In 2016/17 to agree ls:- In 2016/17 to agree los: At the current time an Ac my. The officer support is and priorities arising out	challenges with site viability the Project Board Adopted Asset management Stratopted local Plan leading to Completion of Banbury and review discussions by the project board Failure to maximise the value of council assets through inaction, or wrong action leading to devaluation or wasted value. and implement 1) Asset Strategy Resource Plan 2) and implement 1) Data and Systems Plan 2) Operatommodation Asset Strategy Board provides a forus made up of representatives of Estates, Regenerat	ategy and revi Masterplan an 4) Operational (ational Depot P	d Canalside S Offices Plan 3 lan 3) Leisure	car park s Supplement 4 16) Car Parks e Buildings	ites I tary I	Planning I 4) Comm 4) Comm y matters	ndencies map Document (SI nunity Buildir nercial Invest	produced PD) Soft Ma 2 08 ngs Plan 5) ment Plan comprises t	showarket Loca	Jun-16 al Centres	ress on all f sites to Plan pers for Fi	Ma
Current major d be concommitigating Assurant CDC Current Future (Mitigating Assurang Estates/to the amount of the concommitted assuranges and the concommitted assurance and the concommitted assurance as a concommitted assurance and the concommitted assurance as a concommitted assurance as a concommitted assurance as a concommitted as a concommitted as a concommitted assurance as a concommitted as a concom	Control state of the control c	Asset Management ols: In 2015/16 to agree ions: In 2016/17 to agree ions: At the current time an Ac my. The officer support is and priorities arising outerly Review	challenges with site viability the Project Board Adopted Asset management Stratopted local Plan leading to Completion of Banbury and review discussions by the project board Failure to maximise the value of council assets through inaction, or wrong action leading to devaluation or wasted value. and implement 1) Asset Strategy Resource Plan 2) and implement 1) Data and Systems Plan 2) Operatommodation Asset Strategy Board provides a forus made up of representatives of Estates, Regenerat	ategy and revi Masterplan an 4) Operational (ational Depot P am for debate a tion, Housing,	offices Plan 3 lan 3) Leisure	car park s Supplement 4 16) Car Parks e Buildings n about pro Bicester. T	A Plan	4) Comm 4) Comm 4) Comm y matters ble and re	ndencies map Document (SI munity Buildir nercial Invest The Board of sponsibilities	2 08 ngs Plan 5) ment Plan comprises t of the Boa	showarket Locathe Lard w	Jun-16 al Centres ead Membrill be clarif	ress on al f sites to Plan pers for Fi fied havin	Ma

			CDC and SI	hared	Risk Re	port								
Council	Ref.	Name	Description		Inherent Probability	Gross Risk			Current Probability	Residual Risk		Last updated	Change	Since
Shared	S20	Dry Recycling Contract	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.	4	. 2	16	A	4	3	3 12	2	Jun-16	→	May 16
Current	Contro	ols : Legal, Procurement 8	& financial advice											

Mitigating Actions:

Assurances :

Risk - Quarterly Review

Risk reviewed & remains unchanged - working relationship with UPM is currently good but this can rapidly change.

Contract expires in February 2018.

Contrac	сехрі	and Unitary	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											
Shared	S21	(ODD&UA) - Stage 1 Options Appraisal Oxfordshire	engaged and understand options as they emerge • obtain and provide all relevant data to support options appraisal	5	3	15	•	4	3	12	0	Jun-16	?	May 16
		and Unitary	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.											

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

Mitigating Actions:

Assurances: • Project timeline • Regular meetings of Leaders and Chief Executives • Regular liaison with PwC team and Oxfordshire District Councils

Risk - Ouarterly Review

A dedicated lead officer working on this project to ensure stage 1 timeline is met (end June/July). Initial letter issued to all stakeholders inviting engagement in the debate.

Leader has distributed a video outlining his vision.

Legend for Appendices

The following legend applies to all the following appendices:

Colour	Symbol	Meaning
Red		Requires active management High impact / High likelihood
		Risk requires active management to manage down and maintain the exposure at an acceptable level. Escalate upwards.
Amber		Contingency Plans
		A robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile. Escalate upwards.
Green	*	Good Housekeeping
		May require some risk mitigation to reduce the likelihood if this can be done cost effectively, but good housekeeping to ensure that the impact remains low should be adequate. Re-assess frequently to ensure conditions remain the same.
Grey	?	Not updated
	*	Risk has reduced since previous review
	*	Risk has increased since previous review
	?	Direction of Travel is not applicable as risk is new (should only be applicable in the quarter one report)