

Ref No	Date risk added	SNC or CDC	Owner	Updater	Risk Name	Risk Description	Type of Risk/ Opportunity	Inherent Probability	Inherent Impact	Gross Risk	Mitigating Actions	Due Date	Controls in Place	Residual Probability	Residual Impact	Net Risk	Update on Actions	Assurance	Comments for Q3 Review	Date Closed If applicable
S1	01/04/2013	Common	Kevin Lane		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	Political / Social / Economic	4	5	20	Executive and Cabinet Away Days completed Q2 to brief members on new policy and legislative changes and their impact on Business Planning		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	3	4	12		No legal challenge has been made to any decision by either Council alleging misapplication of the law	This risk continues to be mitigated effectively and no failures have arisen at either Council	
S2	01/04/2013	Common	Martin Henry		Financial resilience	The impact of external financial shocks, new policy and increased service demand reduces the Councils medium and long term financial viability	Political / Social / Economic	4	4	16	Medium Term Financial Strategy Complete		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 NFO and OTA work streams Programme management approach being taken	2	4	8		Budget and Financial Strategy Committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and Risk Committee, Scrutiny Committees	Risk reviewed - Provisional settlement for 2015-16 in line with expectations and 2015-16 budget broadly balanced at both authorities. Key risk will be any policy changes that are enacted after the general elections in May.	
S3	01/04/2013	Common	Martin Henry		Capital Investment and Asset Management	Poor investment and asset management results in the Councils' not maximising financial return or losing income.	Political / Social / Economic	3	4	12			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.	2	3	6		Budget and Financial Strategy Committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and Risk Committee, Scrutiny Committees	Risk reviewed - No change to risk description or controls	
S4	01/04/2014	SNC	Chris Stratford	Richard Payton	Moat Lane Roadworks Phase 1	Failure to obtain full and satisfactory Technical Approval of all aspects of the required road works in a timely manner may cause the planned programme to overrun and because this is linked to a Planning Condition (PC), the Community Building cannot be occupied until the road works are completed.	Political / Social / Economic	4	5	20	Shared Risk with Towcester Regeneration Limited (TRL)		Towcester Regeneration Limited (TRL)/Morgan Sindall Construction (MSC) have engaged a Highways Consultancy (Curtin's) to resolve these issues with the Northamptonshire County Council Highways Authority and the Highways Agency.	4	5	20		These are under the complete control of TRL/MSC.	The programme, overall, is 2 weeks behind schedule. And the contractor has confirmed practical completion of the building will be 16th March 2015. We have received a formal letter from Morgan Sindall advising that a delay in obtaining technical approval from Northampton County Council Highways around the section 278 and s38 agreement has the potential to lead to a further delay to practical completion - no details of actual delay have been reported to date . Therefore in the absence of any further information from Morgan Sindall Construction, we must report our understanding that, the 16th March is the date by which the scheme will be completed, at this time.	

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S5	01/04/2013	SNC	Adrian Colwell		SNC Managing Growth and capitalising on opportunities	Failure to capitalise on the growth agenda results in lost opportunities in terms of economic, community and infrastructure development and financial gains (e.g. business rates retention).  The ultimate impact is long term and impacts upon the strategic objectives of the council and quality for life for local residents and communities.	Political / Social / Economic	4	4	16	JCS approved at JPC Examination resumed in April 2014		Master planning process Core strategy Economic development strategy Inward investment plan	2	3	6		Planning Policy and Regeneration Strategy Committee	Joint Core Strategy agreed at Joint committee 15/12/14. Legal appeal period not yet concluded after which plan is in force	
S6	01/04/2013	SNC	Adrian Colwell		HS2	Failure to engage on HS2 matters and failure to plan to mitigate potential impacts of HS2 result in:  A higher negative impact on the district in terms of environment, disruption and economy than would be the case if the best mitigation outcomes are achieved. Failure to be seen to be acting in the best interests of the district and attempting to influence decision making may also have an impact on the council's reputation.	Political / Social / Economic	5	5	25	Petition submitted to Parliament on 15 May 2014. Negotiations continue with HS2 Ltd on mitigation required - including 03/09/2014 meeting		Member and Officer representation on the main 51M board Part of the Oxfordshire and Northants planning group (working with developers to manage the impact) Involvement with local community groups Working with local parish councils Member of HS2 Route Planning Forum	3	2	6		Cabinet and Planning Policy and Regeneration Strategy Committee	SNC gave evidence on HS2 matters to Hybrid bill committee on 3/2/15	
S7	01/04/2013	Common	Natasha Barnes and Liz Crussell		Customer Service Improvement	Failure to increase internet usage or self service and improve customer service processes results in higher costs and decreased customer satisfaction	Customer Citizen / Service Delivery / Operational	4	3	12	Following suspension of two way project on CRM and Channel shift, interim measures are being considered with ICT pending revised strategic consideration of three way customer service requirements.  Lagan upgrade at SNC being undertaken		CDC – customer service standards in place (e.g. voicemail) Web – both councils redesign undertaken and on-going development is undertaken – this includes online forms and payment Managers discuss service changes with customer services to mitigate any negative impact on customer service On-going review of the web (SNC you said we did page – noting actions taken from customer feedback) Customer communications in local / residents newsletters Customer complaints process JMT highlight service changes to customer service teams to ensure web/service team can deliver	4	3	12	Staff Recruitment process undertaken and two staff were appointed. A third post will be readvertised.  In addition recruitment for temporary staff to support new ways of working in The Forum about to commence.	Project governance, performance management reporting, customer insight reporting.	SNC staffing issues continue to reduce capacity.  Payment kiosk will not be procured in time for The Forum opening, so F2F payments will now continue on the existing Chip and Pin device requiring customer service staff intervention.	
S8	01/04/2013	SNC	Adrian Colwell		Silverstone Masterplan	Failure to capitalise on the opportunities afforded to the district through the Silverstone development and failure to manage the risks associated with the programme result in:  • Failure to maximise long term economic benefit to the district • Negative impact on the a43 – (impact of transport risks) • Negative impact on council's reputation	Political / Social / Economic	4	4	16	Currently considering LDO for whole development area with AVDC. Utilities investment committed by MEPC		Planning negotiation processes (to cover transport delivery) Section 106 process to cover economic gains Strong working relationship with Silverstone	2	2	4		Silverstone Masterplan coordination group established.	Further discussions are arranged for Feb 2015 to address the S106 agreement and Development Brief implementation	
S9	01/04/2013	SNC	Adrian Colwell		SNC 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.	Political / Social / Economic	4	5	20	Issues consultation completed. Review of confines underway. Parish Councils involved. GVA Employment Land Study complete		Partnership working with the JPU will deliver some elements of the plan (this partnership is recorded on the risk register as a separate item) For issues which are solely within the control of SNC polices, plans and resources are in place. Work is well advanced on rural settlements, village confines draft planning guidance and development control polices are underway. A statement of community involvement is in place	3	4	12		Cabinet and Planning Policy and Regeneration Strategy Committee	Additional staff are due to be appointed to ensure post Joint Core Strategy adoption the Local Plan meets its milestones	

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S10	01/04/2013	CDC	Ian Davies		Deprivation and Health Inequalities	Failure to deliver the Brighter Futures in Banbury programme results in long term health and deprivation objectives not being met	Political / Social / Economic	3	3	9			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 LSP 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	2	3	6		Project governance LSP oversight, Quarterly reporting Annual Report	Voluntary sector partner engagement event successfully held at Banbury and Bicester College on 3 December. New initiatives underway.	
S11	01/04/2013	CDC	Adrian Colwell		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.	Political / Social / Economic	4	5	20	Local Plan submission to Secretary of State		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	3	4	12		Executive and Full Council	Examination completed on 23/12/14. Inspectors Report is due end March 2015	
S13	01/04/2013	CDC	Karen Curtin		North West Bicester (Eco-Town)	Failure to deliver the project results in loss of economic benefit, local dissatisfaction and reputational damage to the Council	Political / Social / Economic	4	4	16	Revised terms of reference of the CPN agreed and to commence in 14/15 including clarification over engagement and consultation processes for change		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	3	3	9		Programme Governance Performance Management	No changes to risk controls or scores Project deliverables on track at end of Quarter 3.	
S14	01/04/2013	CDC	Karen Curtin		Bicester Town Centre Development	Failure to deliver the project results in loss of economic benefit, local dissatisfaction and reputational damage to the Council	Political / Social / Economic	3	4	12	Project delayed due to price negotiations with contractor and request to Council for additional funds.  Start on site now scheduled for Jan 2015.	01/01/2015	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	3	3	9		Project Governance	Risk reviewed - no change to risk scores JR period on planning consent runs for 6 weeks from Dec 30th 2014.	
S15	01/04/2014	CDC	Karen Curtin		Graven Hill	Failure to deliver the project results in severe loss of economic benefit, local dissatisfaction and damage to reputation	Political / Social / Economic	3	4	12	S106 and land purchase completed on 8 and 11 August 2014  JR period has passed and we are preparing an implementation plan.		Project Manager Project Board Companies set up Business Plan and Finance Plan being monitored	3	3	9		Project Governance	Project deliverables on track at Q3  No changes to risk controls or scores	
S16	01/04/2013	CDC	Ian Davies		Horton Hospital	Failure to retain Horton services locally results in loss of local services and less access to health care for local people	Political / Social / Economic	4	4	16	Regular engagement with OUHT via the community partnership network quarterly meetings and engagement in service change processes  Revised terms of reference of the CPN agreed and to commence in 14/15		Support to the Oxford University Hospitals Trust (OUHT) and emerging GP commissioning structure to maintain services Providing evidence of deliverability of consultant delivered services elsewhere Gaining consensus locally that this is important Ensuring local councillors are briefed and engaged to play a community leadership role Continuing to support a local stakeholder group (CPN) with OUHT, GP and OCC representation to hold service commissioners and providers to account and to communicate the health sector changes to the wider population.	3	3	9		LSP oversight and annual report to Executive	Latest CPN activity includes review of local ambulance service, the interface of physical and mental health services locally, GP pressures and OUHT /Horton developments and update	

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S17	01/01/2014	3Way	Sue Smith	Claire Taylor	Joint Working (three way)	Failure to deliver against the Transformation Programme could result in failure to deliver the savings required in the medium term revenue plans. It will also have a detrimental impact on the Councils' reputations and a failure to deliver against the TCA bid.	Resource / Financial / Human	4	4	16	Adopt three way organisational change policy Transformation Joint Working Group Joint Arrangements Steering Group Corporate performance management (quarterly updates)	01/09/2014	Programme Plan Monthly programme updates (to Member working group TJWG) CEOs to sponsor key elements of the work programme Officer steering group Business case process	4	4	16		Audit JASG (Joint Arrangements Steering Group – Member led) Legal advice (external) covering governance proposals Overview and scrutiny MO and S151 sign off of business cases	Risk has increased this quarter. Ability to deliver three way joint working programme in original time frame is severely constrained due to Stratford District Council adopting a different timetable for adoption of the business case. Transformation Joint Working Group (TJWG) and Joint Arrangements Steering Group (JASG) are reviewing position.	
S18	01/04/2014	CDC	Chris Stratford	Helen Town	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.	Political / Social / Economic	3	5	15	Corporate Finance Team support Strong Contract Management Weekly project reviews Customer engagement		<ul style="list-style-type: none"> <li>Delivery Manager and Project Board</li> <li>Legal Agreements in place for land acquisitions and contracts with consultants and contractors</li> <li>Monthly project/performance reports</li> <li>Business Plan and Financial Plan monitoring</li> <li>Professional Construction Management</li> <li>Effective Communications Management</li> <li>Catastrophic would be a serious (fatal) health and safety incident which is always possible in a construction project but mitigated by sound H &amp; S procedures and CDM measures.</li> <li>Financial risks are major given the level of investment but mitigated by budget management and professional construction management</li> <li>Overall reputational risk is major given the profile of this project locally and nationally but managed by communications and strong project management.</li> </ul>	3	4	12	<p>The internal and external arrangements for communication and reporting are still in place.</p> <p>A QS has been appointed to support the contract management and cost management process.</p> <p>Updated milestones have been agreed with the HCA to mitigate any loss of grant.</p> <p>Customers receive updates on a weekly basis.</p> <p>Customers undertake a CSCS Card (Health and Safety training and assessment)</p>	<ul style="list-style-type: none"> <li>Programme Governance</li> <li>Information Management System (IMS) with the HCA</li> <li>HCA Programme Audit (annually)</li> <li>HCA Design and Quality Audit</li> <li>Considerate constructor scheme</li> <li>Fortnightly Project Boards</li> </ul>	The Build! (R) self build homes are selling well. Regular Face Book adverts are being placed (and proving effective) to support the sales process.	
S19	01/10/2014	CDC	Calvin Bell		Banbury Development	The interdependencies between the private and public sites are very dynamic, and only partly within our control. This makes alignment of all the stakeholders' objectives with those of the Council unlikely and puts at risk the delivery of the Council's objectives.	Resource / Financial / Human	4	4	16	Effective project Board chaired by the Portfolio Holder and consisting of appropriate Leading Members and senior officers		<p>Regular meetings of the Project Board</p> <p>Establish clearly defined set of project objectives that take account of the interdependencies</p> <p>Break the project into small deliverables to reduce impact of interdependency</p> <p>Identify all stakeholders, establish their attitude interest and influence, and identify means of maximising the benefit of the positive and influential, and containing the impact of the negative and influential.</p>	3	4	12	<p>A review of Council owned car parks and associated sites within the town has been commissioned and will ultimately lead to review of Bolton Road development brief and the identification for the potential development of other sites.</p> <p>Discussions with OCC have been established in order to review and try and improve highway arrangements within Canalside. Banbury developments Board now meeting regularly to review progress and actions, both in respect to Council Owned and Privately Owned sites within the town. In particular, in respect to the major development sites; Legal discussions in respect of Development Management Agreement for CQ2 have been established and the financial model for the development is being tested. The main outstanding Highways issues for the site are now also resolved.</p>	Regular risk monitoring and review discussions by the project board	Good progress is being made, as reflected within the actions being taken	

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S20	01/10/2014	CDC	Karen Curtin		Asset Management	Failure to maximise the value of council assets through inaction, or wrong action leading to devaluation or wasted value.	Resource / Financial / Human	4	4	16			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	2	4	8	Report presented at Executive in December 2014 to agree a way forward. A detailed action / resource plan is being generated and will be presented to the board responsible for monitoring the asset strategy in January 2015 together with revenue and capital bids for the 2015/16 budget process.	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.	Most people use public assets, such as council buildings, leisure centres, car parks and community facilities. They help shape the character of local areas and influence the quality of life for local people. They make an important contribution to local priorities. These plans and actions will enable the Council to deliver its vision for asset management which reduces the risk of the council not delivering in key strategic objectives  Project Deliverables on track at Q3.	
S21	01/10/2014	Common	Ed Potter		Dry Recycling Contract	Failure to renegotiate/extend Dry Recycling Contract due February 2015. Current suppliers, UPM were asked to extend Contract for a further three years but are trying to get out of an extension due to financial losses.  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.	Environment	4	4	16	Meeting Contractor with Procurement and Legal teams.		Meeting scheduled with UPM, Procurement & Legal	4	4	16	Meeting UPM with Procurement & Legal on 26th January 2015 – outcome of this will determine Actions		New risk added following UPM's refusal/reluctance to extend current contract for Dry Recycling. Financial impact could be £20/tonne or more.	
C1	01/04/2013	Common	Jackie Fitzsimons		Business Continuity	That plans are not in place to ensure services can be delivered in the event of a issue resulting in service failure and reputational damage	Business Continuity	4	5	20	Business Continuity Strategy refreshed during Quarter 4  ICT arrangements now complete		Business continuity strategy in place All services prioritised and recover plans reflect the requirements of critical services ICT disaster recovery arrangements in place JMT lead identified Incident management team identified All services undertake annual business impact assessments	4	3	12	Audit and business continuity plan refresh Quarter 4	Review almost complete and plans submitted but need quality check; Joint Exercise to test plans carried out on Q3 ; results will further inform review		
C2	01/04/2013	CDC	Martin Henry	Balvinder Heran	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.)	Business Continuity	4	4	16	Achieved ISO 22301 Business Continuity Plan updated		BCP Plan Disaster recovery arrangements (CDC) Recovery site (CDC) Back up of systems Process and standards (compliance regime)	3	3	9	External accreditation	The back up system at SNC has been upgraded from version 2012 to version 2014, to improve the back up performance and resilience of the system. Various successful restore tests have been run as part of the back up policy test schedule.		



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C3	01/04/2013	SNC	Martin Henry	Balvinder Heran	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.	Business Continuity	4	4	16	Achieved ISO 22301 All systems at SNC are backed up to tape and stored off site. There are no DR arrangements for SNC or site to re-locate to in the event of a DR situation. Documentation is in place for the recovery using the tape system but in the event of a total failure at SNC there would be a considerable delay in bringing back systems due to the nature of the tape recovery systems		BCP Plan Disaster recovery arrangements (Limited) Back up of systems Process and standards (compliance regime)	3	4	12	When the move to the Forum is made a bid will be made to put in place a direct link between the Forum and Tove Depot plus all the costing's to have a DR site. This will be compared with other DR solutions available such as third party contracts. On way to test this and put something in place short term is to extend the SDC DR contract with a third part. Prices will be obtained for SNC to have short term DR in place and to enable the joint ICT team to test the third party arrangements.	External accreditation	The 1 Gbps line has been ordered between the Forum, Moat Lane and Tove Depot, once this is in place a strategy can be developed to replicate key systems to the Tove Depot Site. Replicating the Key systems to Tove Depot will allow the development of a BCP and DR recovery plan utilising the desk locations at Tove depot on the 1st and Ground Floor. System recovery plans are in place and will be reviewed in February as part of the Forum, Moat Lane Move. 3rd suppliers have been contacted regarding an underpinning contract for DR. Mitigation of risk to hardware during the move period will be handled by using our hardware support contract to move the equipment from Springfield to The Forum, Moat Lane give instant response to any hardware issue that arise.	
C4	01/04/2013	Common	Martin Henry		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.	Legal & Professional	4	4	16	A Joint Corporate Fraud Team has been agreed at CDC and SNC and a senior investigating officer appointed to the new structure.		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.	3	4	12	Corporate Fraud Team approved and established	The role and responsibilities of the Board will be clarified having regard to the actions and priorities arising out of the Asset Strategy.	Risk reviewed - Residual probability increased from a 2 to a 3 as a result of the transfer of fraud investigators to the DWP in February 2015.  Whilst a Corporate Fraud Team has been approved and established, not all posts have been appointed to and it would be short sighted to think that the loss of experience in this field does not increase the possibility of fraud at the Councils.  Active monitoring and intervention at a more senior level is being exercised whilst the new unit is being formed and beds in.	
C5	01/04/2013	Common	Jo Pitman	Lou Tustian	Managing Data and Information	Poor data quality or lack of relevant information results in poor decision making	Legal & Professional	4	4	16	Review of performance framework to be undertaken during quarter 3		Audit and data quality health checks Annual target setting process Annual PMF review Data quality policies in place	3	3	9	Review of performance framework to be undertaken during quarter 3	Audit, data quality checks as part of performance management framework.	Presentation of performance framework was received positively by members of Scrutiny at SNC. Actions taken away around more specific & timely commentary for members to be able to address/suggest any areas of further scrutiny. Monthly checks of data has started.	
C6	01/04/2013	Common	Kevin Lane		Member Decision Making	That members do not have access to information and support to make effective decisions	Legal & Professional	4	4	16	Member reporting template for both Councils includes mandatory insertion of legal implications arising from the recommended decision. Requirement for JMT member sign off of Committee reports has been reinforced at JMT		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	3	4	12		No decision has been made by either Council which is inconsistent with the policy framework or legal requirements	This risk has been mitigated effectively this quarter with no instances of either Council taking a decision on an uninformed basis.	

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C7	01/04/2013	SNC	Jo Pitman	Pat Simpson	Moat Lane Relocation and Change (MLR)	That failure to effectively manage the Moat Lane relocation and organisational change project results in increased costs, reputational damage and loss of opportunity to improve the Council's performance and accessibility.	Customer Citizen / Service Delivery / Operational	5	4	20	Change control is in place and working effectively, as is the regular meeting and reporting framework The project has successfully recruited a new dedicated communications resource which is proving effective. Staff and member panels are providing useful, and the introduction of the regular JMT sub-group is an aid to raising and driving the resolution of issues, and cementing the link between the build and relocation timetables. EIA's will take place as service access plans are developed Post-PC plan is currently in development in liaison with all workstream leads and JMT, highlighting all the activities that must be done in the period between practical completion and the council moving into the building. All BAU activities and performance reporting requirements scheduled for the relocation period are also being collated in order that the Project Board can take a view on what is the highest priority to protect during the short disruption period. Removal plan and staff guide to moving will be prepared October 2014. The loss of the Business Change project manager is being addressed with a recruitment under way now. Additional resources for back scanning are being recruited to ensure the paper mountain is cleared before relocation.		An agreed budget and formal change control to ensure transparency around variances Project Team and delivery group meeting fortnightly Project Board receiving updates Monthly Dedicated communications resource Staff panel and Members group providing sounding boards and solutions to practical issues Fortnightly updates and issues raising with JMT EIA for each new service access approach planned Detailed planning for the post PC period taking an approach that can flex according to the specific dates once they are known. Identification of BAU activities potentially at risk during relocation, and preparing a risk approach that meets the corporate needs of the council	3	4	12	EIA's for self service payments, and the introduction of appointments are in preparation now. The Post PC Plan is becoming very detailed but is still prepared with an assumption of PC being March 16, pending final confirmation from MSIL. The Managers' Guide to Relocating Your Service, and the Employees' Guide to working at The Forum are in final draft and will be made live during February. Adding to the scanning team has been beneficial, but unfortunately services have left it quite late in some instances to uncover information and documents they need to have scanned before relocation, so that additional capacity will not be sufficient; the budget allocated to paper light however should be sufficient to use alternative methods including external scanning to disk, and offsite storage. The vacant Business Transformation Project Manager post has been recruited to, although with annual leave commitments already in place before appointment that we will honour, she will not be available at the time of the move itself if it takes place as expected currently, over Easter. The Programme Manager will be leaving the organisation at the end of February, so managing the processes of the removal weekend will be planned accordingly.	Project Board, Senior Sponsor	New controls are effective in part - the paperlight piece of this work remains the highest risk as some services have left it very late to identify their scanning requirement, despite having had a year to validate their documents against the retention and disposal policy. An exception plan to address the need is being drafted and currently there is no increased risk of documents, records and information not being clear of Springfields by the time of the move. Current planning for an Easter weekend move brings with it additional cost and a slightly increased risk arising from the availability of ICT suppliers to support SNC should any of the servers have a problem after being moved and switched on again.	
C8	01/04/2013	Common	Martin Henry		Joint Working	Failure to implement and manage joint working results in not meeting savings targets or a decline in performance and/or reputational damage	Customer Citizen / Service Delivery / Operational	5	4	20			Leading members and Joint Management Team committed to partnership working and reducing associated costs wherever possible Programme management approach ensures regular review, monitoring and delivery Number of business cases progressing well Initial discussion taking place with other potential partners Financial imperative to deliver savings built into the budget	3	4	12		Executive, Cabinet, Joint Arrangements Steering Group	Risk reviewed - no change to risk description or controls.	
C9	01/04/2013	Common	Jo Pitman	Janet Ferris	Communications	Failures to manage internal and external communications results in reputational damage to the council or reduced performance/staff morale	Reputation / Communication	4	4	16	Social media training for Members has now taken place		Centralised press office function Members attributed and sign of press releases Communications strategy in place Members media training Social Media Policy Specific communications plans in place for major projects	3	3	9		SNC members communications panel, CDC member lead for communications. Quarterly performance reporting, CDC annual satisfaction survey includes comprehensive communications section.	Risk reviewed and no change required	
C10	01/04/2013	Common	Jo Pitman	Caroline French	Equalities	Failure to comply with equalities legislation results in legal challenge, costs and reputation damage	Legal & Professional	4	4	16	Knowing Your Communities event on Dementia Awareness scheduled for Q3 Equality Actions monitored through the Equality Scorecard within Performance Matters.		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 at CDC (knowing our communities)	4	3	12		Annual update to Cabinet and Executive. Quarterly performance reporting. EIA rolling programme and action plan. Virtual steering group to co-ordinate work.	No changes required - the Council maintains its controls through Equality Action Plan, EIA rolling Plan linked to service planning and quarterly performance reports	
C11	01/04/2013	Common	Jo Pitman	Dave Bennett	Health and Safety	Failure to comply with health and safety legislation leads to injury, sickness, absence and litigation against the council	Legal & Professional	4	5	20	Review of current SNC/CDC policies/procedures with a view to creating a single Policy/Procedure		Both Councils have 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	3	5	15			Risk reviewed, no changes to actions, controls or scores required	

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C12	01/04/2013	Common	Jackie Fitzsimons		Emergency Planning	That plans are not in place to ensure the Council responds effectively in the event of a civil emergency and local residents are not supported. This could result in casualties, unnecessary hardship, impact on the local environment, costs and reputation.	Customer Citizen / Service Delivery / Operational	3	4	12	Reviewing arrangements for review and updating and to secure improved coordination of this and the BCP's		Emergency plan reviewed quarterly and on activation.	2	4	8		OCC EP Division have accepted our EP as being sufficient and suitable. OCC have also led on desk top studies of implementation.	Joint Exercise completed and results to inform update of arrangements; Regular update in place and staff identified to increase resilience for function; Forward Liaison Officers training undertaken; review of control room arrangements in progress ; Configuring Resilience Direct in progress				
C13	30/06/2013	CDC	Andy Preston		CDC Planning (Major Applications)	That planning performance (major planning applications) does not meet the planning inspectorate threshold and is subject to special measures	Reputation / Communication	5	4	20	Developers encouraged to have as much information ready in advance of the applications being submitted Controls introduced following development of action plan continue to be effective		<p>Closer management monitoring of progress, including a mid-point review.</p> <p>Identifying early if there is a need for senior management and political steer.</p> <p>Agreeing extensions of time with applicants.</p> <p>Monthly performance review meetings with Head of Service and Director</p>	3	4	12	No additional actions required.	Head of Service and Director oversight	The improvement measures introduced last year continue to show sustained level of performance, well above target and well above government criteria				
C14	01/02/2014	Common	Nicola Riley		Safeguarding Children	Failure to follow our policies and procedures in relation to safeguarding children or raising concerns about children and young people welfare	Political / Social / Economic	4	5	20	New Safeguarding lead in place. Section 11 for SNC completed CDC underway deadline 1/12/14. New simplified training pathway being established for all staff using some e-training, some face to face.		<p>Clear lines of responsibility established. Safeguarding Policy and procedures in place</p> <p>Information on the intranet on how to escalate a concern</p> <p>Staff training - at SNC this is being rolled out using new NCC e-training module</p> <p>Safer recruitment practices and DBS checks for staff with direct contact</p> <p>Action plan developed by CSE Prevention group as part of the Community Safety Partnership</p> <p>Local Safeguarding Children's Board Northamptonshire (LSCBN) pathways and thresholds</p> <p>Data sharing agreement with other Partners</p> <p>Attendance at Children and Young People Partnership Board (CYPPB)</p> <p>2014 Section 11 return being compiled</p>	2	5	10		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 reviewed and no change required	
C15	01/04/2014	Common	Ed Potter		Waste Framework Directive	Failure to meet new legislation coming into effect on 01/01/2015 will increase cost of recycling for both authorities, reduce service delivery and increase customer dissatisfaction  (New Legislation requires LA to collect glass, paper, plastics and metals separately unless it is Technically Economically Environmentally not Practical (TEEP) to do so.)	Environment	3	4	12	Report for Exec & Cabinet underway. Following the WRAP Route map	01/01/2015	<p>Working with other Authorities using the WRAP Route Map.</p> <p>Full report to be presented at Executive and Cabinet in November 2014</p>	1	4	4	Full report went to Cabinet in December & Executive in January.	Cabinet / Executive Reports	Unchanged. The EA are likely to contact all Councils regarding Waste Framework Directive by the end of the financial year regarding evidence of compliance				
P1	01/04/2013	SNC	Jackie Fitzsimons		SNC Community Safety Partnership	<p>The partnership doesn't add value to the work of the Council</p> <p>Undertakes projects that don't align with strategic objectives of the Council.</p> <p>Council is unable to influence the partnership's agenda. Leading to failure to achieve corporate objectives and loss of reputation</p>	Customer Citizen / Service Delivery / Operational	3	3	9	CSP Forward Plan established. Regular (monthly) updates on performance reported to the CSP. New priorities agreed and proposals developed for the PCC Solutions Fund		Elected member representation at CSP Board level. Partnership has a clear strategy with measurable targets: clear and informative performance management document produced each month. Local action plans for multi-agency groups in Towcester and Brackley areas.	2	2	4			No change from Q2 - Funding from Police and Crime Commissioner for 14-15 is set against performance outcomes which were agreed in consultation with SNC ; Approval of funding and work streams by Budget and Financial Strategy Committee in Q1; performance monitoring also carried out quarterly and signed off by SNC and PCC office				



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P2	01/04/2013	Common	Jackie Fitzsimons	Jackie Fitzsimons	Policing and Crime Commissioner	The Council fails to engage/influence the PCC/ PCP Doesn't add value to partnership work of the Council PCC commissions projects that don't align with strategic objectives of the Council. Loss/reduction of funding to Community Safety. Becomes isolated from PCC. Leading to failure to achieve corporate objectives and loss of reputation	Political / Social / Economic	3	3	9	PCC has informed CXs that funding for 2015/16 will be the same as for 2014/15		Effective local Community Safety Partnership meetings Elected member representation at PCP Elected Member representation at Northamptonshire and Oxfordshire Board (OSCP) arrangements. Elected Member representation at CSP Alignment with PCC Policing Plan Elected membership in accordance with agreed PCP Steering Group Policy	2	2	4		PCC subject to scrutiny by PCP. CDC chair of CSP sits on PCP	Risk reviewed , there are no changes to the risk or controls this quarter	
P3	01/04/2013	CDC	Nicola Riley	Kevin Lamer	CDC Local Strategic Partnership	Failure or reduced effectiveness of the partnership could lead to: • Key partners adopting policies or projects inconsistent with each other. • Opportunities being missed for effective partnership working • Existing LSP sponsored projects failing to deliver their objectives Any of the above could result in wasted resources and reputational damage to the council and the partnership	Political / Social / Economic	3	2	6	Reference Group Conference will be combined with 12 November Parish Liaison Meeting.		Board meetings 5x per year.  Annual "Reference Group" conference to report to and gain guidance from the wider community  CDC officer time dedicated to servicing the partnership and maintaining links between partners Annual "Reference Group" conference to report to and gain guidance from the wider community CDC officer time dedicated to servicing the partnership and maintaining links between partners	2	2	4	Joint Reference Group & Parish Liaison was held 12 November 2012. December Board meeting took place on 11 December 2014. Currently the LSP is kept 'ticking over'. It does not have an active CDC sponsor at a sufficiently strategic level to ensure appropriate breadth of agenda and continuing senior-level engagement by partners.	Reference Group	Currently the LSP is kept 'ticking over'. It does not have an active CDC sponsor at a sufficiently senior level to ensure appropriate breadth of agenda and continuing senior-level engagement by partners.	
P4	01/04/2013	CDC	Jackie Fitzsimons	Mike Grant	CDC Community Safety Partnership (CSCP)	The partnership doesn't add value to the work of the Council, undertakes projects that don't align with strategic objectives or the Council is unable to influence the partnership's agenda. Leading to failure to achieve corporate objectives and loss of reputation	Political / Social / Economic	3	3	9	Attendance at CSCP meetings. Funding agreed 2014-15 OSCB business plan approved and PCC priorities updated		CSCP meetings attended, funding secured 2014-15 OSCB business plan approved PCC priorities updated	2	2	4		PCC / OCC to audit spending, CSP reports to OSCB an subject to CDC ,PCC and PCP scrutiny	Funding for 2015 has been agreed at the same level as last year less Oxfordshire County Council contribution. It was agreed at CSCP to fund ASB and Youth provision as priority.	
P5	01/04/2013	CDC	Adrian Colwell		Oxfordshire LEP	The partnership doesn't add value to the work of the council, undertakes projects that don't align with strategic objectives or the council is unable to influence the partnership's agenda.	Political / Social / Economic	4	4	16	Officers commenced regular series of liaison meetings with OLEP.  Board Members from CDC to secure alignment of work streams		Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement	3	4	12			Staff contribute to OXLEP sub group on skills and investment. Many investment enquiries are forwarded by OXLEP to the Economic Development Team for consideration	
P6	01/04/2013	Common	Nicola Riley		Health and Wellbeing Partnerships /Boards	Failure of the new partnership arrangements results in both Councils not being able to meet its safe and healthy objectives.	Political / Social / Economic	3	3	9	Board and Locality Forum both meet quarterly. Healthier Northamptonshire programme has been set up to support priorities. Increased focus on integration of Health and Social Services and on Transitional funding.		Engagement with CC structures - note structures are different in each County. Oxfordshire has a clear structure and acknowledges the need for the District Council's direct contribution. However, greater Supporting People budget risk exists which is of more relevance to CDC. SNC engagement has commenced but there is a reliance on each District to set up its local forum with no clear guidance on the contribution mechanism of that to the county structure.	3	3	9	SNC Health and Wellbeing forum established and well received.	Spending in localities is determined by the Board. There is limited opportunity for Districts to directly influence.	Risk reviewed. No change for CDC but for SNC there is a growing concern over NCC procurement of new services to meet their tender. Exercise has stalled and there is little clarity over future provision and agencies to be involved. Cllr Herring briefed.	
P7	01/04/2013	Common	Adrian Colwell		South Midlands LEP (SEMLEP)	The partnership doesn't add value to the work of the councils, undertakes projects that don't align with strategic objectives or the council is unable to influence the partnership's agenda.	Political / Social / Economic	4	4	16	Participate in all SEMLEP activities. Both Councils support of 'Velocity' rollout to support business growth		Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement	3	4	12			Staff contribute to a series of SEMLEP working groups. Both Economic Development teams collaborate and double up where appropriate. SEMLEP supported RGF funding for the Abthorpe Junction and Towcester Relief Road.	

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P8	01/04/2013	SNC	Adrian Colwell		SNC Joint Planning Unit (JPU)	Failure to effectively manage the council's partnership with the JPU results in a failure to adopt a sound local plan. This relates to strategic risk s10 as without a sound local plan the long term strategic objectives of the council will be jeopardised and there is a potential negative impact on the council's reputation.	Political / Social / Economic	4	4	16	SNC now JPC Chair and provides legal advice, finance advice and clerking to meetings of the JPC		Partnership governance arrangements in place Working groups to support technical issues are in place (with both member and officer input) Retained QC for legal advice	3	3	9		Cabinet and Planning Policy and Regeneration Strategy Committee	No change. The Joint Committee meeting has agreed a substantial reduction in Joint Planning unit work following the completion of the Joint Core Strategy.	

### Q3 RISK HEAT MAP : INHERENT RISK

#### Likelihood (Probability)

2014/15		Remote (1)	Unlikely (2)	Possible (3)	Probable (4)	Highly Probably (5)
<b>Impact</b>	<b>Catastrophic (5)</b>	<b>5</b>	<b>10</b>	<b>15</b> S18 : CDC Build! ® Programme	<b>20</b> S01 : Policy & Legislative Change S04 : SNC Moat Lane Roadworks S09 : SNC Local Plan S11 : CDC Local Plan C01 : Business Continuity C11 : Health and Safety C14 : Safeguarding Children	<b>25</b> S06 : SNC HS2
	<b>Major (4)</b>	<b>4</b>	<b>8</b>	<b>12</b> S03 : Capital Investment S14 : CDC Bicester Town Centre S15 : CDC Graven Hill C12 : Emergency Planning C15 : Waste Framework Directive	<b>16</b> S02 : Financial Resilience S05 : SNC Managing Growth S08 : SNC Silverstone Master Plan S13 : CDC NW Bicester (Eco Town) S16 : CDC Horton Hospital S17 : 3-Way Working S19 : CDC Banbury Development (New Risk) S20 : CDC Asset Management (New Risk) S21 : Dry Recycling Contract (New Risk) C02 : CDC ICT Loss of Systems C03 : SNC ICT Loss of Systems C04 : Corporate Fraud C05 : Managing Data/Information C06 : Member Decision Making C09 : Communications C10 : Equalities P05 : CDC Oxfordshire LEP P07 : South Midlands LEP P08 : SNC Joint Planning Unit	<b>20</b> C07 : SNC Moat Lane Relocation & OC C08 : Joint Working C13 : CDC Major Planning Apps
	<b>Moderate (3)</b>	<b>3</b>	<b>6</b>	<b>9</b> S10 : CDC Brighter Futures P01 : SNC Community Safety P'ship P02 : Policing & Crime Commissioner P04 : CDC Community Safety P'ship P06 : Health and Wellbeing Boards	<b>12</b> S07 : Customer Service Improvements	<b>15</b>
	<b>Minor (2)</b>	<b>2</b>	<b>4</b>	<b>6</b> P03 : CDC Local Strategic P'ship	<b>8</b>	<b>10</b>
	<b>Insignificant (1)</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>

**Q3 RISK HEAT MAP : RESIDIAL RISK**

Arrows indicate direction of travel compared with Q2

Likelihood (Probability)

2014/15		Remote (1)	Unlikely (2)	Possible (3)	Probable (4)	Highly Probably (5)
<b>Impact</b>	<b>Catastrophic (5)</b>	<b>5</b>	<b>10</b> ⇔ C14 : Safeguarding Children	<b>15</b> ⇔ C11 : Health and Safety	<b>20</b> ⇔ S04 : SNC ML Roadworks	<b>25</b>
	<b>Major (4)</b>	<b>4</b> ⇔ C15 : Waste Framework Directive	<b>8</b> ⇔ S02 : Financial Resilience new S20 : Asset Management ⇔ C12 : Emergency Planning	<b>12</b> ⇔ S01 : Policy & Legislative Change ⇔ S09 : SNC Local Plan ⇔ S11 : CDC Local Plan ⇔ S18 : CDC Build! @ Programme new S19 : CDC Banbury Development ⇔ C03 : SNC ICT Loss of Systems ↑ C04 : Corporate Fraud ⇔ C06 : Member Decision Making ⇔ C07 : SNC ML Relocation & Change ⇔ C08 : Joint Working ⇔ C13 : CDC Major Planning Apps ⇔ P05 : CDC Oxfordshire LEP ⇔ P07 : South Midlands LEP	<b>16</b> ↑ new S17 : 3-Way Working new S21 : Dry Recycling Contract	<b>20</b>
	<b>Moderate (3)</b>	<b>3</b>	<b>6</b> ⇔ S03 : Capital Investment ⇔ S05 : SNC Managing Growth ⇔ S10 : CDC Brighter Futures	<b>9</b> ⇔ S13 : CDC NW Bicester (Eco Town) ⇔ S14 : CDC Bicester Town Centre ⇔ S15 : CDC Graven Hill, Bicester ⇔ S16 : CDC Horton Hospital ⇔ C02 : CDC ICT Loss of Systems ⇔ C05 : Managing Data & Information ⇔ C09 : Communications ⇔ P06 : Health & Wellbeing Boards ⇔ P08 : SNC Joint Planning Unit	<b>12</b> ⇔ S07 : Customer Service Imp ⇔ C01 : Business Continuity ⇔ C10 : Equalities	<b>15</b>
	<b>Minor (2)</b>	<b>2</b>	<b>4</b> ⇔ S08 : SNC Silverstone Masterplan ⇔ P01 : SNC Community Safety P'ship ⇔ P02 : Policing & Crime Comm ⇔ P03 : CDC Local Strategic P'ship ⇔ P04 : CDC Community Safety P'ship	<b>6</b> ⇔ S06 : SNC HS2	<b>8</b>	<b>10</b>
	<b>Insignificant (1)</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>