

Ref No	Date risk added	SNC or CDC	JMT Member	Lead Manager if applicable	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	Q4 / Year End 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	As with the previous quarters no issues have arisen at either Council which are attributable to non application of a legislative or policy change and mitigation remains effective.	
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	2015-16 budget broadly balanced at both authorities. Key risk will be any policy changes that are enacted after the general elections in May.	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	
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	Technical approvals granted	These are under the complete control of TRL/MSC.	All technical approvals have been granted and within the timescales set. <b>This Risk can now be closed.</b>	31/03/2015

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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	Highways Agency commitment to upgrade road junction and support Towcester Relief Road	Planning Policy and Regeneration Strategy Committee	Plan now legally in place. Work is underway on Local Plan part 2 to reintroduce village confines for those communities who want them.  Successfully secured commitment from Highways Agency to upgrade the A43/Abthorpe Junction and support the Towcester Relief Road as announced in the National Roads Strategy in December 2014.	
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	Parliamentary Committee supported the SNC arguments regarding design in its March 2015 Report.	Cabinet and Planning Policy and Regeneration Strategy Committee	HS2 Ltd have given a number of detailed assurances as a result of the SNC Petition concerning planting, design standards, at key locations. Engagement continues.	
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.  Staff Recruitment process undertaken and two staff were appointed. A third post will be readvertised.		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	SNC staffing situation steadier and new staff almost completed training.	Project governance, performance management reporting, customer insight reporting.	<b>SNC</b> Good feedback from customers in The Forum has influenced design of online forms. Payment PC's rarely used for payments, Chip and Pin main source via CSO.  <b>CDC</b> continue to work toward channel shift despite suspension of projects and expect more movement once the transformation project gathers momentum and detailed direction.	
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.	Liaison with MEPC and BRDC continues. MEPC have invested in the Utility upgrade to support investment at the site, though this will not be completed for another 9 months.	
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	Detailed preparation is underway of the review of village confines, development issues, Development Management policies and the Sustainability Assessment has commenced.	

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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	3	3	9		Project governance LSP oversight, Quarterly reporting Annual Report	All previous years structure and themed activity in place. Good voluntary sector engagement in local activity. Review of future priorities and programme structure to be undertaken in early 2015/16 to ensure ongoing effectiveness and focus. Concern regarding effect on the effect on critical services for vulnerable people as a consequence of OCC budget issues eg children centres, early intervention hub etc	
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	Work has commenced on Local Plan Part 2 and Community Infrastructure Levy to complete the Development Framework for the District in accordance with the published Local Development Scheme.	Executive and Full Council	Inspectors Report delayed until after General Election in May 2015.  No change to risk scores	
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 Q4	
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	3	9	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 - Judicial Review and time delay risk mitigated therefore reduction in risk score	
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 Q4 - agricultural tenancy potential delay being monitored  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	Continued focus on Horton Hospital services through the Community Partnership Network. Ongoing change evident some of which is prompted by financial constraint. Oxford University Hospital FT approach is one of increasing and extending the range of generalist and diagnostic services at the Horton but taking relatively small numbers of specialist services to the John Radcliffe Hospital. Also greater technical links between Oxford and the Horton to minimise travel of Horton patients to Oxford. Further work underway to better ingrate primary care, between primary and secondary care and between mental and physical health services.	

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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	Communications strategy to be revised for 15/16, wider engagement of managers in programme delivery, support through organisation development programme.	30/09/2015	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, joint organisational change policy in place	3	3	9	Risk reviewed and updated at year end, actions underway	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	The programme has been delayed due to alternative decision making timeframes adopted by Stratford District Council. The new decision making timeframe for three way working is June 2015. In order to ensure progress continues two way opportunities are now being brought forward to deliver savings during 2015/16. Action has been taken, and is being implemented, to ensure the programme objectives can be met, it should be noted that during 2014/15 three way Legal and ICT services were successfully implemented and a extensive review of joint working options has been completed.  Risk reviewed and residual scores reduced.  This Risk will be amalgamated with C8 Joint working for 2015/16.	
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  QS has been appointed to support the contract management and cost management process.  Updated milestones have been agreed with the HCA to mitigate any loss of grant.		<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	The internal and external arrangements for communication and reporting are still in place.  Customers receive updates on a weekly basis.  Customers undertake a CSCS Card (Health and Safety training and assessment)	<ul style="list-style-type: none"> <li>• Programme Governance</li> <li>• Information Management System (IMS) with the HCA (annually)</li> <li>• HCA Design and Quality Audit</li> <li>• Considerate constructor scheme</li> <li>• Fortnightly Project Boards</li> </ul>	6 schemes completed, 13 schemes on site, 5 schemes at pre-development stage and Sales are progressing well The apprenticeship team is now fully recruited with 8 young people and proving successful. Budgets are challenging in the context of increasing costs for both labour and materials but at present the view from finance is that this is manageable.  No change to risk scores or controls.	
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  Review of Council owned car parks and associated sites within the Town commissioned		Regular meetings of the Project Board  Establish clearly defined set of project objectives that take account of the interdependencies  Break the project into small deliverables to reduce impact of interdependency  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.	3	4	12	Regular risk monitoring and review discussions by the project board		The Board's focus remains the review of the Councils assets and their future use which will be the subject of a report, programmed to be presented to the Board in June. Discussions are also progressing with the County Council and Chiltern Railways to co-ordinate actions in respect to Canalside and the development of improved transport links.  The financial model for CQ2 continues to be tested and assessed.  No change to risk scores or controls.	

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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	Report presented at Executive in December 2014 to agree a way forward.		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	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.	Project deliverables on track at Q4  No change to risk controls or scores	
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 UPM with Procurement & Legal		Legal, Procurement & financial advice	3	4	12	Using external legal advisors and working with Aylesbury Vale, Cherwell and South Northants.		Risk reviewed and probability reduced. Contract continued to the end of March - meetings with UPM due in May	
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	All services have now completed plans but these need scrutiny to ensure fit for purpose; ICT and emergency control room identified as risk for the Forum ; BC system is service objective in the Business Plan for 15-16 to enable comprehensive 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. For the move to the Forum extra measures to ensure resilience were put in place and all the ICT systems were successfully moved.	
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	Move to The Forum successfully completed and disaster recovery (DR) arrangements being reviewed to ensure that full use of three sites is made to build increased resilience. A report will be presented to JMT in June 2015 with options for going forward.	External accreditation	Move to the forum successfully completed and DR arrangements being reviewed to ensure that full use of three sites is made to build increased resilience.  A report will be presented to JMT in June 2015 with options for going forward.	

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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 - The Corporate Fraud team has now been recruited to but the score has not been revised down just yet as the new unit is very much in its infancy and needs to bed down.		
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 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 undertaken	Audit, data quality checks as part of performance management framework.	Managing data and Information will remain on the Corporate register for 2015/16 and will be linking in as part of one of the transformation workstreams.		
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. Induction training for new members		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	As with the previous quarters there have been no instances at either Council of any member decision being challenged, or being susceptible to challenge, to it being taken on other than a fully informed basis.		
C7	01/04/2013	SNC	Jo Pitman		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 effective; regular meeting & reporting framework. Project successfully recruited 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 being collated so 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 prepared. The loss of the Business Change project manager is being addressed with recruitment under way.		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	The Managers' Guide to Relocating Your Service, the Employees' Guide to working at The Forum and the elected member guide to The Forum were finalised and distributed to aid the relocation and organisational change.  Managing change workshops were organised and delivered for all staff to equip them with the skills and awareness of how to cope with change. Staff and member briefings took place in February, followed by familiarisation visits to The Forum. The relocation took place over Easter.	Project Board, Senior Sponsor	The relocation itself went as smoothly as it possibly could over Easter, with no need to implement business continuity plans in any services. The relocation was well planned and executed by the project delivery team, with commitment and support from all staff to make it happen successfully. There was a positive atmosphere upon leaving Springfields and an equally, if not more upbeat attitude towards moving into The Forum. Overall the majority of feedback has been enormously positive. The most significant concern relates to car parking (both proximity to The Forum and overall availability of spaces within the town centre, along with the impact of our staff's increased parking is having upon residents, businesses and shoppers to the town). The review of car parking provision and demand within Towcester will be completed by early summer. Snagging that is typically associated with the construction of a new building is being proactively addressed. The principles of the organisational change element of the project appears to be working (paperlight, agile & flexible working, greater use of technology) but must become sufficiently embedded before they can be considered to have represented the desired cultural change.	Official closure of the risk and indeed the project will take place at the final SNC OCR project board meeting in May 2015.	

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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. <b>This Risk will be amalgamated with S17 (Joint Working - 3Way) for 2015/16</b>	
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	Equality Action Plan being reviewed for 2015/16	Annual update to Cabinet and Executive. Quarterly performance reporting. EIA rolling programme and action plan. Virtual steering group to co-ordinate work.	The Council maintains its controls through Equality Action Plan, EIA rolling Plan linked to service planning and quarterly performance reports. No legislation amendments and the Council continues to maintain compliance.	
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			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			No changes to scores. No issues following move to Moat Lane in Q4.	
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.	Emergency Arrangements Team now set up and project plan developed for 15 -1 6 to include review of information storage and increased resilience	
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  Closer management monitoring of progress, including a mid-point review.  Identifying early if there is a need for senior management and political steer.  Agreeing extensions of time with applicants.  Monthly performance review meetings with Head of Service and Director	3	4	12	No additional actions required.	Head of Service and Director oversight	Processing of majors performance is exceptionally good (90% FY) so exceeds the Planning Inspectorate's threshold. <b>On this basis recommend the risk be removed from the Strategic Register for 2015/16</b>	31/03/2015

Ref No	Date risk added	SNC or CDC	JMT Member	Lead Manager if applicable	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	Q4 / Year End Review	Date Closed if applicable
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.		Clear lines of responsibility established. Safeguarding Policy and procedures in place Information on the intranet on how to escalate a concern Staff training - at SNC this is being rolled out using new NCC e-training module Safer recruitment practices and DBS checks for staff with direct contact Action plan developed by CSE Prevention group as part of the Community Safety Partnership Local Safeguarding Children's Board Northamptonshire (LSCBN) pathways and thresholds Data sharing agreement with other Partners Attendance at Children and Young People Partnership Board (CYPPB) 2014 Section 11 return being compiled	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.	The profile of safeguarding has been raised within the organisation and an internal review of our procedures to identify both best and weak practice will be undertaken in 2015/16. The risk has been reviewed and no change is necessary	
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	Working with other Authorities using the WRAP Route Map.	1	4	4	Environment Agency gathering data on Councils regarding TEEP in April. If there are concerns the EA will be in touch	Cabinet / Executive Reports	Risk reviewed no change to scores	
P1	01/04/2013	SNC	Jackie Fitzsimons		SNC Community Safety Partnership	The partnership doesn't add value to the work of the Council  Undertakes projects that don't align with strategic objectives of the Council.  Council is unable to influence the partnership's agenda. Leading to failure to achieve corporate objectives and loss of reputation	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			Whilst PCC has committed funding for 14- 15 no further funding will be provided for 15- 16. This means that there is a risk that the Community Partnership Unit will not be able to deliver some of key projects. This will be monitored in 15-16 and a long term sustainability and delivery considered as part of the transformation programme for future shared services	
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 Lerner	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	Joint Reference Group & Parish Liaison held November and Board meeting in December		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	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	Options will be presented to the Leader of the Council & LSP Board, with a view to re-determining the role of the LSP & the support resources it receives.  <b>Risk to be removed from the register end of 2015/16, reflecting the low level of risk &amp; the fact that LSP is no longer a statutory partnership</b>	31/03/2015



Ref No	Date risk added	SNC or CDC	JMT Member	Lead Manager if applicable	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	Q4 / Year End Review	Date Closed if applicable
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 spend end of year submitted. OCC reviewed membership to include adult and child safeguarding reps	PCC / OCC to audit spending, CSP reports to OSCP an subject to CDC ,PCC and PCP scrutiny	The partnership has funded priorities and satisfied PCC with spend. Further funding for 2015- 16 secured, thereafter unknown	
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. Investment enquiries from OXLEP are being actively pursued. ED Team is active in EU programme development.	
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.	The changes at NCC and the imminent formation of a Health and Wellbeing CIC has dominated the agenda of late although some good progress has been made on identifying priority areas of activity for 0215/16.	
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 SEMLEP sub groups on rural affairs, EU and planning matters. ED Teams at both Councils are active in EU programme development and roll out of Leader Programmes.	
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 budget reduction has been implemented and the role of the JPU reduced.	

**Q4 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>	5	10	15 S18 : CDC Build! ® Programme	20 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	25 S06 : SNC HS2
	<b>Major (4)</b>	4	8	12 S03 : Capital Investment S15 : CDC Graven Hill C12 : Emergency Planning C15 : Waste Framework Directive	16 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 S20 : CDC Asset Management S21 : Dry Recycling Contract 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	20 C07 : SNC Moat Lane Relocation & OC C08 : Joint Working C13 : CDC Major Planning Apps
	<b>Moderate (3)</b>	3	6	9 S10 : CDC Brighter Futures ↓ S14 : CDC Bicester Town Centre P01 : SNC Community Safety P'ship P02 : Policing & Crime Commissioner P04 : CDC Community Safety P'ship P06 : Health and Wellbeing Boards	12 S07 : Customer Service Improvements	15
	<b>Minor (2)</b>	2	4	6 P03 : CDC Local Strategic P'ship	8	10
	<b>Insignificant (1)</b>	1	2	3	4	5

**Q4 RISK HEAT MAP : RESIDIAL RISK**

Arrows indicate direction of travel compared with Q3

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 ⇔ 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 ⇔ S19 : CDC Banbury Development ⇔ S21 : Dry Recycling Contract ⇔ 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>	<b>20</b>
	<b>Moderate (3)</b>	<b>3</b>	<b>6</b> ⇔ S03 : Capital Investment ⇔ S05 : SNC Managing Growth	<b>9</b> ⇔ S10 : CDC Brighter Futures ⇔ S13 : CDC NW Bicester (Eco Town) ⇔ S14 : CDC Bicester Town Centre ⇔ S15 : CDC Graven Hill, Bicester ⇔ S16 : CDC Horton Hospital ⇔ S17 : 3-Way Working ⇔ 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>