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	Q1 Review	Date Closed if applicable
S01	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 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	Executive and Cabinet "away days" in October.	No legal challenge has been made to any decision by either Council alleging misapplication of the law	Some new Cabinet members at SNC but indicated controls mitigate any increased risk.	
S02	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. 2015-16 budget broadly balanced at both authorities.		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 Northamptonshire Finance Officers and Oxfordshire Treasurers' Association's work streams Programme management approach being taken	3	4	12	No update on actions required	Budget and Financial Strategy Committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and Risk Committee, Scrutiny Committees	Risk reviewed and score updated to reflect a greater probability that there will be some significant changes to the Council's funding as indicated by recent announcements released by Government.	
S03	01/04/2013	Common	Martin Henry		Capital Investment	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	No update on actions required	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 update required	
S05	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 of life for local residents and communities.	Political / Social / Economic	4	4	16	Joint Core Strategy approved at Joint Planning Committee Highways Agency commitment to upgrade road junction and support Towcester Relief Road		Master planning process Core strategy Economic development strategy Inward investment plan	2	3	6	All major sites have been consented. SNC discussing outcomes of Route Based Strategies with Highways England	Planning Policy and Regeneration Strategy Committee	Focus is on Local Plan Part 2. All major employment sites being promoted Action Plan for A43 junctions awaited	
S06	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 Parliamentary Committee supported the SNC arguments regarding design in its March 2015 Report.		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	Liaison with HS2 and community groups continuing. SNC has held direct talks with Highways England on A43 implications	Cabinet and Planning Policy and Regeneration Strategy Committee	Awaiting conclusion of Parliamentary process. Awaiting revised HS2 Planning and Design Guidance	

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S07	01/04/2013	Common	Ian Davies	Claire Taylor/Belinda Stanton	Customer Service Improvement (including channel shift)	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 Customer Relationship Management (CRM) and Channel shift, interim measures are being considered with ICT pending revised strategic consideration of three way customer service requirements.\n\nStaff Recruitment process undertaken and two staff were appointed. A third post will be readvertised.		CDC – customer service standards in place (e.g. voicemail)\nWeb – both councils redesign undertaken and on-going development is undertaken – this includes online forms and payment\nManagers discuss service changes with customer services to mitigate any negative impact on customer service\nOn-going review of the web (SNC you said we did page – noting actions taken from customer feedback)\nCustomer communications in local / residents newsletters\nCustomer complaints process\nJMT highlight service changes to customer service teams to ensure web/service team can deliver, project also part of the transformation programme with associated governance	3	3	9	SNC staffing situation steadier and new staff almost completed training.\n\nWork has commenced to align the ICT (CRM) across the two customer services teams which will enable harmonisation of process.	Project governance, performance management reporting, customer insight reporting.	**SNC** 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 Customer Services Officers.\n\n**CDC** continue to work toward channel shift despite suspension of projects and expect more movement once the transformation project gathers momentum and detailed direction.	
S08	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:\n\n• Failure to maximise long term economic benefit to the district\n• Negative impact on the a43 – (impact of transport risks)\n• Negative impact on council's reputation	Political / Social / Economic	4	4	16	Currently considering Local Development Order for whole development area with Aylesbury Vale District Council.\nUtilities investment committed by MEPC Limited.		Planning negotiation processes (to cover transport delivery)\nSection 106 process to cover economic gains\nStrong working relationship with Silverstone	2	2	4	Liaison with MEPC & Silverstone Circuits continues.\nMEPC are negotiating with landowners for utilities access	Silverstone Masterplan coordination group established.	SNC to begin engagement with Highways England re improved access plans	
S09	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.\nReview of confines underway.\nParish Councils involved.\nGVA Employment Land Study complete		Partnership working with the Joint Planning Unit will deliver some elements of the plan (this partnership is recorded on the risk register as a separate item)\nFor issues which are solely within the control of SNC policies, plans and resources are in place.\nWork is well advanced on rural settlements, village confines draft planning guidance and development control policies are underway.\nA statement of community involvement is in place.	3	4	12	Local Plan Part 2 "Options" Plan in preparation. Additional resource secured to complete the work.	Cabinet and Planning Policy and Regeneration Strategy Committee	Completion of mapping for all villages\nSettlement Hierarchy determined\nCritical Path prepared to oversee key tasks	
S10	01/04/2013	CDC	Ian Davies		Deprivation and Health Inequalities (Brighter Futures)	Failure to deliver the Brighter Futures programme results in long term health and deprivation objectives not being met	Political / Social / Economic	3	4	12			Long term commitment to support local people and communities as many issues can only be addressed on this basis\nMulti agency actions with clear and common objectives\nAdditional funding from Government grants to supplement current resources\nLocal Strategic Partnership (LSP) focus on Brighter Futures in Banbury programme\nContingency fund made available in CDC budget\nProgramme co-ordination role in place\nQuarterly performance management in place	3	3	9		Project governance LSP oversight, Quarterly reporting Annual Report	Annual Report 2014/15 drafted which indicates further areas of work and proposes a different means of focussing on key priorities.	
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\n\nResources are in place to support delivery including QC support	3	4	12	Local Plan adopted by Council on 20/7/2015	Full Council	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.	

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S12	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 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	First phase of development is under construction and achieving national exemplar standards. Homes are selling well and work continues to engage with local people on both the management of the new area and design of future phases. Work continues on planning permissions on the remainder of the site and includes regular reporting to the Bicester Strategic Delivery Board to ensure the scheme delivers as required	Programme Governance Performance Management	Regular Project Team and Strategic Delivery Board meetings tracking progress. Significant work required on S106 legal agreement.	
S13	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. Started on site	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 on time for Spring 2016 opening and within budget.	Project Governance	Regular Project Team and Board meetings tracking progress.	
S14	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 Judicial Review 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	All actions are on track and being monitored on a Bi-weekly basis.	Project Governance	Work continues on pre-construction as planned. Discharge of planning obligations and development of LDO underway. Work on accommodation / car park and Community Asset workstreams. A report was presented on 7 September 2015 to Executive.	
S15	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 Oxford University Hospitals Trust (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 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 Oxfordshire County Council representation to hold service commissioners and providers to account and to communicate the health sector changes to the wider population.	3	3	9		Local Strategic Partnership oversight and annual report to Executive	On-going work underway via the Community Partnership Network. New endoscopy investment and services at The Horton announced by OUHT.	
S16	01/01/2014	3Way	Sue Smith	Claire Taylor	Joint Working 2-Way 3-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	Governance arrangements for three way services (ICT and Legal) sits outside the new Joint Commissioning Committee and alternative governance arrangements will be implemented in quarter 2.	end q2	Programme Plan Monthly programme updates (to Member working group Transformation Joint Working Group) CEOs to sponsor key elements of the work programme Officer steering group Business case process, joint organisational change policy in place	3	3	9	n/a	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 From Q1 2015 Joint Commissioning Committee enhances formal governance	Programme completely revised to take account of twin track approach between CDC / SNC and SDC. New 2 way joint commissioning committee established to enable faster decision making and greater Member oversight.	

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S17	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 Homes & Communities Agency to mitigate any loss of grant. Member Project Board regular engagement		• Delivery Manager and Project Board • Legal Agreements in place for land acquisitions and contracts with consultants and contractors • Monthly project/performance reports • Business Plan and Financial Plan monitoring • Professional Construction Management • Effective Communications Management • Catastrophic would be a serious (fatal) health and safety incident which is always possible in a construction project but mitigated by sound Health & Safety procedures and Construction, Design and Management measures. • Financial risks are major given the level of investment but mitigated by budget management and professional construction management • Overall reputational risk is major given the profile of this project locally and nationally but managed by communications and strong project management.	3	4	12		• Programme Governance • Information Management System (IMS) with the HCA • HCA Programme Audit (annually) • HCA Design and Quality Audit • Considerate constructor scheme • Fortnightly Project Boards	Risk reviewed no changes to controls or risk scores	
S18	01/10/2014	CDC	Calvin Bell	Tim Pack	Banbury Development	The sites are complex and in multiple ownership. There are conflicting development pressures and challenges with site viability	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 Adopted Local Plan		Regular meetings of the Project Board Adopted Asset management Strategy and review of Council car park sites Interdependencies map produced showing progress on all major development sites in Banbury Adopted local Plan leading to Completion of Banbury Masterplan and Canalside Supplementary Planning Document	3	4	12		Regular risk monitoring and review discussions by the project board	Risk reviewed - risk description updated No change to risk scores	
S19	01/10/2014	CDC	updated by Karen Curtin reassigned to Chris Stratford Q2		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	A detailed action / resource plan generated and presented to the board responsible for monitoring the asset strategy together with revenue and capital bids for the 2015/16 budget process.		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 Resource Plan update was taken to Executive on 7 September 2015. Actions on track. Work being monitored through the Banbury Developments Board and Accommodation Asset Strategy Board	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.	Work continues on accommodation / car park and community asset workstreams. A report was presented to Executive at its meeting on 7 September 2015.	

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S20	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 Use of legal advisors Working with Aylesbury Vale District Council and SNC		Legal, Procurement & financial advice	3	4	12	Further meetings with UPM		Risk reviewed and no changes required. Contract has run well with UPM with improved dialog between both parties.	
C01	01/04/2013	Common	Jackie Fitzsimons		Business Continuity	That plans are not in place and make assumptions about the Disaster Recovery (DR) arrangements in the event of a Business Critical (BC) incident, to ensure services can be delivered in the event of a issue resulting is 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	An exercise in Autumn 2014 revealed that services have made a number of assumptions about DR arrangements. With reduced capacity at The Forum in the event of a power outage In order to ensure that our arrangements reflect what is available in the event of a BC incident. There is a systematic project in place focusing on critical services to ensure that absolute requirements can be met; planned testing to be arranged.	There is a systematic project in place focusing on critical services to ensure that absolute requirements can be met; planned testing to be arranged. Audit and business continuity plan refresh Quarter 4	Risk description, controls and actions reviewed and updated	
C02	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 (BC) Plan updated		Business Continuity Plan (BCP) Disaster recovery (DR) arrangements (CDC) Recovery site (CDC) Back up of systems Process and standards (compliance regime)	3	3	9		Formal auditing, ICT Health check and benchmarking with best in private and public sector.	ICT project team established to review all DR and BC arrangements across the three councils which is reviewing the current DR and BC arrangements. SDC are out-sourced to Phoenix and the contract due for renewal in Winter 2015. CDC have arrangements via Thorpe Lane depot. Hardware and other upgrades are required in 2015 and SNC has no formal arrangements except back up arrangements via the SDC out sourced contract. A report will be going to JMT and MT (SDC) which will outline the findings, costs and options available after consultation with lead officers for BC and DC has taken place to ensure we fully understand the requirements of the business and can marry that up with the options presented to JMT . The work of the project team also includes reviewing the current data links to ensure they are fit for purpose and deliver value for money and will identify where possible how the sites across the partnership can be utilised for DR and BC purposes. This will ensure greater access to facilities, ICT resources and ensure we use our own assets where possible. Part of the work of the project team is look at specialist third party providers, such as Phoenix (a national DR provider) to not only gain best practice but also to offer JMT and MT options going forward. The report to JMT/MT will be presented at the second meeting in September 2015	
C03	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	Move to The Forum successfully completed.		Business Continuity Plan (BCP) Disaster recovery arrangements (Limited) Back up of systems Process and standards (compliance regime) Achieved ISO 22301	3	4	12		Formal auditing, ICT Health check and benchmarking with best in private and public sector.		

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C04	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	No update on actions required	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 - No update required	
C05	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 Managing data and Information is linked to one of the transformation workstreams.		Audit and data quality health checks Annual target setting process Annual Performance Management Framework review Data quality policies in place	3	3	9	Managing data and Information is now linked to one of the transformation workstreams.	Audit, data quality checks as part of performance management framework.	Risk reviewed and no changes to scores	
C06	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	Induction training for SNC members and new members at CDC plus planning training at both Councils in May	No decision has been made by either Council which is inconsistent with the policy framework or legal requirements	Risk mitigated by induction training at both Councils post election.	
C07	01/04/2015	SNC	Jo Pitman		Moat Lane Relocation and Change (MLR)	Car Parking provision in Towcester	Customer Citizen / Service Delivery / Operational	4	3	12	WYG commissioned to undertake review of parking across the whole District. Review to include parking surveys and questionnaires amongst residents, businesses, visitors and stakeholders		Report received and considered by members. Decision made to proceed with initial phase for the development of 60 car parking spaces on Northampton Road. All Environment Agency planning issues resolved. Minor planning conditions associated with development of the site satisfied and construction started in September 2015. Project board advised of latest, and will continue to monitor.	3	3	9	Development commenced mid September 2015		Contract for a period of 10 weeks to complete development for 60 car parking spaces	

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C08	01/04/2013	SNC	Jo Pitman	Tim Pack	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 business as usual (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 Equality Impact Assessment (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	Official closure of the risk and the project itself took place at the final SNC OCR project board meeting in May 2015. Risk is now closed and will be removed from the Risk Register.	31/05/2015
C09	01/04/2015	SNC	Kevin Lane		High proportion of new members	Whole council elections lead to a high influx of new members who are initially unfamiliar and uninformed thereby having a negative effect on decision making quality	Legal & Professional	4	4	16	Induction training programme for all members. Provision of IT tablets to all members enabling self research		Requirement to attend induction training to be imposed via political groups. Record of induction attendance to be retained. No member entitled to sit on DC Committee or Licensing Sub Committee without prior mandatory training	3	4	12	Induction training in May with more topic based training scheduled. Planning training also in May.	No successful legal challenge has been made to any decision by the Council alleging misapplication of law or policy by any members.	Risk mitigated by induction training post election. With one exception (absent abroad) all new members attended general induction session.	
C10	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	
C11	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 published 2015/16	Annual update to Cabinet and Executive. Quarterly performance reporting. Equality Impact Assessment (EIA) rolling programme and action plan. Virtual steering group to co-ordinate work.	Each Council maintains its controls through Equality Action Plans and EIA rolling Plans linked to service planning and quarterly performance reports. These documents have been refreshed for 2015/2016 and signed off by Executive and Cabinet. No legislation amendments and both Councils continue to maintain compliance.	
C12	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	Revised Policies and Procedures have now been reviewed and agreed by JMT		Both Councils have shared 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	SNC are registered to the international standard BS OHSAS 18001 Occupational Health and Safety Standard, and ISO 14001 Environmental Standard. Work has now been progressed for CDC also to be assessed for this standard. As a result of this CDC are to be audited over four days 10 and 11 Aug and 1, and 2 Sept, with a view to CDC being certified at the completion of this process.		Work progressing to achieve BS OHSAS 18001 Occupational Health and Safety Standard, and ISO 14001 Environmental Standard at CDC	

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C13	01/04/2013	Common	Ian Davies	Jackie Fitzsimons	Emergency Planning (EP)	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 Business Continuity Plans (BCP)		Emergency plan reviewed quarterly and on activation. Team established to monitor and ensure all elements are covered. Added resilience from cover between CDC and SNC	2	4	8	Plans to improve access to plan out of hours ; control room at SNC now agreed;	Oxfordshire County Council (OCC) EP Division have accepted our EP as being sufficient and suitable. OCC have also led on desk top studies of implementation.	Risk reviewed and updated	
C14	01/04/2015	Common	Ian Davies	Nicola Riley	Safeguarding	Failure to:- identify safeguarding concerns and issues; use agreed protocols for escalating safeguarding concerns; use diverse community intelligence to best effect internally and externally.	Political / Social / Economic	4	4	16	Internal "See It Report It" process established and operational		Engagement with Joint Agency Tasking and Co-ordinating Group (JATAC) and relevant Oxfordshire County Council (OCC) safeguarding sub group. Engagement at an operational and tactical level with relevant external agencies and networks	3	4	12	Online See-it Report it form operational from 1 July 2015	The established "See It Report It" process has controls and monitoring arrangements for different levels in the organisation for assurance purposes	Development of the Corporate Intelligence System was achieved in Q1; internal communications and training activity to CDC staff also delivered. Has yet to roll out to SNC	
C15	01/02/2014	Common	Ian Davies		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 both CDC and SNC completed for 2014. Annual return due again in December 2015. 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) Annual Section 11 return complied for each council	2	5	10		Safeguarding champions to promote the welfare of children and be a point of contact for cascading information Annual Audit of activity Joint Management Team and Local Strategic Partnership also have specific actions and/ or meeting times JATAC (Joint Agency Tactical and Co-Ordination Meeting) at CDC where issues of Child Sexual Exploitation (CSE) are currently discussed with partner agencies.	Established independent review of Safeguarding processes. Participated in Oxfordshire County Council managed reviews around Serious Case Review A-F and Op. Reportage	
C16	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	Environment Agency gathering data on Councils regarding TEEP in April 2015. If there are concerns the EA will be in touch.	01/01/2015	Working with other Authorities using the Waste & Resources Action programme (WRAP) Route Map.	1	4	4		Cabinet / Executive Reports	Risk reviewed - no changes to risk controls or scores	
P01	01/04/2013	SNC	Ian Davies	Jackie Fitzsimons	SNC Community Safety Partnership (CSP)	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 Policing & Crime Commissioner (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.	4	2	8	Recent withdrawal of Police and Crime Commissioner funding for the Partnership means that there is a significant funding gap and the sustainability of the partnership "as is" is questionable; Report to CSP in September and will be addressed by Public Protection shared services	Report to SNC CSP in September and will be addressed by Public Protection shared services business case	Risk review and updates to Actions and assurances Increase in probability scores (from 2 to 4)	

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P02	01/04/2013	SNC	Ian Davies	Jackie Fitzsimons	Policing and Crime Commissioner (PCC) (Northamptonshire)	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	Awaiting 2015/16 PCC funding		Effective local Community Safety Partnership meetings Elected member representation at Police and Crime Panels (PCP) Elected Member representation at Northamptonshire Board Elected Member representation at CSP Alignment with PCC Policing Plan Elected membership in accordance with agreed PCP Steering Group Policy	4	2	8	Recent withdrawal of Police and Crime Commissioner funding for the Partnership means that there is a significant funding gap and the sustainability of the partnership "as is", is questionable; report to CSP in September and will be addressed by Public Protection shared services	Report to SNC CSP in September	Risk reviewed and updates to Actions and assurances Increase in probability scores (from 2 to 4) to reflect funding withdrawal This risk was previously common to both Authorities but has now been separated into individual risks to reflect different structures.	
P03	01/04/2013	CDC	Ian Davies	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 2015-16 Oxfordshire Safeguarding Children Board (OSCB) business plan approved and PCC priorities updated OCC Membership updated to include adult & child safeguarding reps		CSCP meetings attended, funding secured 2015-16 OSCB business plan approved PCC priorities updated	2	2	4	CSCP is re writing action plans to include Prevent and CSE	PCC / OCC to audit spending CSP reports to OSCP and subject to CDC , PCC and PCP scrutiny	The risk has been reviewed and there are no changes this quarter	
P04	01/04/2013	CDC	Ian Davies	Jackie Fitzsimons	Policing and Crime Commissioner (PCC) (Thames Valley)	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 funding for 2015/16 confirmed and remains same as for 2014/15		Effective local Community Safety Partnership meetings Elected member representation at Police and Crime Panels (PCP) Elected Member representation at 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	Funding in place for 2015/16	PCC subject to scrutiny by PCP. CDC chair of CSP sits on PCP	Risk reviewed and no changes to scores This risk was previously common to both Authorities but has now been separated into individual risks to reflect different structures.	
P05	01/04/2013	CDC	Adrian Colwell		Oxfordshire LEP (OLEP)	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	Engagement on inward investment, EU projects and SEP refresh	Portfolio briefing Growth Board	Awaiting outcome of EU bids. Vision for Banbury to feed into SEP refresh September 2015	
P06	01/04/2013	SNC	Ian Davies	Nicola Riley	Health and Wellbeing Partnership	Failure of the new partnership arrangements results in South Northants Council not being able to meet its safe and healthy objectives.	Political / Social / Economic	4	3	12	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. SNC Health and Wellbeing forum established and well received.		All staff at both Councils are involved in an awareness session	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.	Health and Wellbeing board at SNC establishing good sector communications and cross agency working. This risk was previously common to both Authorities but has now been separated into individual risks to reflect different structures.	
P07	Now individual risks for each Council 01/04/15	CDC	Ian Davies	Nicola Riley	Health and Wellbeing Partnership	Failure of the new partnership arrangements results in Cherwell District Council not being able to meet its safe and healthy objectives.	Political / Social / Economic	4	3	12	Senior Officer engagement at Countywide Health and wellbeing board. Oxfordshire County Council Public Health and Oxfordshire Clinical Commissioning Group (OCCG) both members of the Local Strategic Partnership		Engagement with County Council structures Oxfordshire has a clear structure and acknowledges the need for the District Council's direct contribution. Financial constraints to the delivery of the Health & Wellbeing Board action plan	3	3	9		Spending in localities is determined by the Board. There is limited opportunity for Districts to directly influence.	This risk was previously common to both Authorities but has now been separated into individual risks to reflect different structures. Risk updated and no change to scores	

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P08	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	Engagement in Chief Exec Group, Rural Group & ED Officers Convened Conference on Better Regulation EU funding bids lodged		Awaiting decision on EU funding	
P09	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	JPU scaled back following adoption of Joint Core Strategy	Cabinet and Planning Policy and Regeneration Strategy Committee	Focus is on completion of Local Plan Part 1	