

Ref No	Date risk added	SNC or CDC	JMT Member	Lead Manager if applicable	Directorate	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	Enter your comments Q2 Review	Date Closed if applicable
S01	01/04/2013	Common	Kevin Lane		Resources	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 in October 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	Controls remain effective to mitigate risk. No issues arising from "new" SNC Cabinet to date.	
S02	01/04/2013	Common	Martin Henry		Resources	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		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 changes to scores or controls	
S03	01/04/2013	Common	Martin Henry		Resources	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 changes to scores or controls	
S05	01/04/2013	SNC	Adrian Colwell		Development	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 All major sites have been consented. SNC discussing outcomes of Route Based Strategies with Highways England		Master planning process Core strategy Economic development strategy Inward investment plan	2	3	6		Planning Policy and Regeneration Strategy Committee	Issues and Options' Local Plan Part 2 to be published in December 2015. 60 sites being promoted to UKTI and elsewhere. Abthorpe Junction details announced in September 2015.	
S06	01/04/2013	SNC	Adrian Colwell		Development	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 Parliamentary Committee supported the SNC arguments regarding design in its March 2015 Report. Liaison with HS2 and community groups continues SNC in direct talks with Highways England on A43 implications		Member and Officer representation on the main 51M board Part of the Oxfordshire and Northants planning group (working with developers to manage the impact) Involvement with local community groups Working with local parish councils Member of HS2 Route Planning Forum	3	2	6		Cabinet and Planning Policy and Regeneration Strategy Committee	Awaiting Planning and Design Guidance. Made input into HS2 National Cycle way project	

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S07	01/04/2013	Common	Ian Davies	Belinda Stanton	Community & Environment	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	Work has commenced to align the ICT Customer Relationship Management (CRM) across the two customer services teams which will enable harmonisation of process. Staff Recruitment process undertaken with training of new staff almost complete.		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, project also part of the transformation programme with associated governance	3	3	9		Project governance, performance management reporting, customer insight reporting.	Risk Reviewed : no change to risk scores 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. 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		Development	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	Consideration of Local Development Order for whole development area with Aylesbury Vale District Council. Liaison with MEPC & Silverstone Circuits continues. MEPC are negotiating with landowners for utilities access		Planning negotiation processes (to cover transport delivery) Section 106 process to cover economic gains Strong working relationship with Silverstone	2	2	4	Expression of Interest lodged with Highways England	Silverstone Masterplan coordination group established.	Expression of Interest lodged with Highways England for improved access for Silverstone	
S09	01/04/2013	SNC	Adrian Colwell		Development	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	Local Plan Part 2 "Options" Plan in preparation. Additional resource secured to complete the work.		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) For issues which are solely within the control of SNC policies, plans and resources are in place. Work is well advanced on rural settlements, village confines draft planning guidance and development control policies are underway. A statement of community involvement is in place.	3	4	12		Cabinet and Planning Policy and Regeneration Strategy Committee	Final responses from villages awaited. Local Development Scheme (LDS) sets out detailed timetable for steps to report in December 2015. 'Issues and Options' being developed to be published in December 2015.	
S10	01/04/2013	CDC	Ian Davies		Community & Environment	Deprivation and Health Inequalities (Brighter Futures)	Failure to deliver the Brighter Futures in Banbury programme results in long term health and deprivation objectives not being met	Political / Social / Economic	3	4	12	Brighter Futures annual report for 2014/15 now published.		Long term commitment to support local people and communities as many issues can only be addressed on this basis Multi agency actions with clear and common objectives Additional funding from Government grants to supplement current resources Local Strategic Partnership focus on Brighter Futures in Banbury programme Contingency fund made available in CDC budget Programme co-ordination role in place Quarterly performance management in place	3	3	9	2015/16 Priorities established	Project governance Local Strategic Partnership (LSP) oversight, Quarterly reporting Annual Report	New 2015/16 priorities established of child poverty, health inequalities, employability and support for the most vulnerable. Workshop planning underway to establish more multi agency activity on each of these. Health inequalities to feed into the proposed Oxfordshire Health Inequalities Commission.	
S11	01/04/2013	CDC	Adrian Colwell		Development	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 adopted by Council on 20/7/2015		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		Full Council	The Regulation123 list for Community Infrastructure Levy will be reported to Executive in December 2015. The 'Issues and Options' Consultation will be reported to Executive in December 2015.	
S12	01/04/2013	CDC	Karen Curtin		Bicester	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	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		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	Regular Project Team and Strategic Delivery Board meeting held in July to track progress. Significant work taking place with Oxfordshire County Council on S106 legal agreement on application 1.	

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S13	01/04/2013	CDC	Karen Curtin		Bicester	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 on time for Spring 2016 opening and within budget.	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	Regular Project Team and Board meetings tracking progress. Currently project is on track / budget	
S14	01/04/2014	CDC	Karen Curtin		Bicester	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	All actions are on track and being monitored on a bi-weekly basis. Discharge of planning obligations and development of Local Development Order (LDO) underway		Project Manager Project Board Companies set up Business Plan and Finance Plan being monitored	3	3	9	Update Report taken to October Executive including Business Plan and Finance Update	Project Governance	Work continues on pre-construction as planned. Discharge of planning obligations and development of Local Development Order (LDO) underway.	
S15	01/04/2013	CDC	Ian Davies		Community & Environment	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 (CPN). 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 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	New Horton General Hospital developments include:- additional measures to strengthen emergency abdominal surgery links with the JR; the continuation of the integrated neonatal and maternity services with community outreach; plans to upgrade the endoscopy services; improved 24/7 cover and plans for upgraded imaging services.	
S16	01/01/2014	3Way	Sue Smith	Claire Taylor	Resources	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 Transformation Challenge Award (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 Enhanced Member Engagement Processes	3	3	9		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	No changes to risk rating. Risk reviewed. Progress is on track and governance review has been completed. Programme risk register in place and reviewed monthly by Sponsoring Group and Transformation Joint Working Group. No risks to escalate.	
S17	01/04/2014	CDC	Chris Stratford	Helen Town	Development	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 (HCA) 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 & 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	Build! @ update to Executive Business Planning Meeting on 20/10/2015	• Programme Governance • Information Management System (IMS) with the HCA • HCA Programme Audit (annually) • HCA Design and Quality Audit • Considerate constructor scheme • Fortnightly Project Boards	Continued project delivery update referred to project board on a monthly basis. Risk review carried out as part of presentation to members. Currently on-track.	

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S18	01/10/2014	CDC	Calvin Bell		Development	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 (SPD)	3	4	12	First phase report for the review of council owned sites completed. Second phase including soft market testing of the sites chosen has been commissioned and is due to report in November. Key sites being tested for viability	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	Chris Stratford		Bicester	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	Resource Plan update taken to Executive in September 2015. Work being monitored through the Banbury Developments Board and Accommodation Asset Strategy Board.		In 2015/16 to agree and implement 1) Asset Strategy Resource Plan 2) Operational Offices Plan 3) Car Parks Plan 4) Community Buildings Plan 5) Local Centres Plan Future Controls:- In 2016/17 to agree and implement 1) Data and Systems Plan 2) Operational Depot Plan 3) Leisure Buildings Plan 4) Commercial Investment Plan	2	4	8	Report submitted to Executive in September 2015.	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.	Further report on progress in November 2015.	
S20	01/10/2014	Common	Ed Potter		Community & Environment	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	Meetings with UPM, Procurement & Legal Use of legal advisors Working with Aylesbury Vale and SNC		Legal, Procurement & financial advice	3	4	12			Risk reviewed and no changes required. Contract has run well with UPM with improved dialogue between both parties.	
C01	01/04/2013	Common	Ian Davies	Jackie Fitzsimons	Community & Environment	Business Continuity	Plans are not in place and assumptions are made about the Disaster Recovery (DR) arrangements in the event of a Business Critical (BC) incident, leading to failure to ensure services can be delivered in the event of an 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 Joint Management Team lead identified Incident management team identified All services undertake annual business impact assessments	4	3	12		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	Review complete with the exception of identifying ICT systems which will be needed for critical services; to report to JMT Q3	

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C02	01/04/2013	CDC	Martin Henry	Balvinder Heran	Resources	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 (DR) arrangements (CDC) Recovery site (CDC) Back up of systems Process and standards (compliance regime)	3	3	9	ICT Project Team established	Formal auditing, ICT Health check and benchmarking with best in private and public sector.	A project team from ICT has been established to review all DR and Business Continuity (BC) arrangements across the three councils. Stratford District Council are out-sourced to Phoenix and the contract is 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. A technical site visit was undertaken in September and all available options being collated to present to JMT. The report to JMT/MT will be presented at the 2nd meeting in November 2015	
C03	01/04/2013	SNC	Martin Henry	Balvinder Heran	Resources	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.		BCP Plan Disaster recovery (DR) arrangements (Limited) Back up of systems Process and standards (compliance regime) Achieved ISO 22301	3	4	12	ICT Project Team established	Formal auditing, ICT Health check and benchmarking with best in private and public sector.		
C04	01/04/2013	Common	Martin Henry		Resources	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 changes to scores or controls	
C05	01/04/2013	Common	Jo Pitman	Lou Tustian	Resources	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 PMF review Data quality policies in place	3	3	9		Audit, data quality checks as part of performance management framework.	Risk reviewed and no change during quarter 2. During Quarter 4 a review of the data quality policy in line with Workstream 5 will commence. Workstream 5 is 'Strategic Information Requirements' across both councils.	
C06	01/04/2013	Common	Kevin Lane		Resources	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 SNC members and new members at CDC plus planning training at both Councils in May.		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	Controls remain effective to mitigate risk. Delay in CDC Accounts, Audit and Risk Committee approving statement of accounts due to inconsistent advice provided to meeting by external audit.	

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C07	01/04/2015	SNC	Chris Stratford	Chris Stratford	Resources	Moat Lane Relocation and Change (MLR)	Car Parking provision in Towcester	Customer Citizen / Service Delivery / Operational	4	3	12	Development proposed to commence mid Sep 2015 subject to pre-development negotiations and contract finalisation, and satisfying of minor planning conditions.		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, and subject to satisfying minor planning conditions associated with development of site, construction to commence middle of Sep 2015. Project board advised of latest, and will continue to monitor.	3	3	9			This has yet to commence on site due to issues agreeing the crossover required by the contractor to access the works. A risk mitigation meeting has been proposed.	
C09	01/04/2015	SNC	Kevin Lane	Kevin Lane	Resources	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 in May with more topic based training scheduled. Planning training also in May. 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 Development Control Committee or Licensing Sub Committee without prior mandatory training	3	4	12		No successful legal challenge has been made to any decision by the Council alleging misapplication of law or policy by any members.	No evident adverse impact on quality of decision making to date.	
C10	01/04/2013	Common	Jo Pitman	Janet Ferris	Resources	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 SNC Portfolio Holder for communications CDC member lead for communications Quarterly performance reporting CDC annual satisfaction survey includes comprehensive communications section	Risk reviewed for Q2 and no changes to risk scores or controls required.	
C11	01/04/2013	Common	Jo Pitman	Caroline French	Resources	Equalities	Failure to comply with equalities legislation results in legal challenge, costs and reputation damage	Legal & Professional	4	4	16	Equality Action Plan being published 2015/16		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	4	16	2015/16 Equality Action Plan published Interim reporting process for Stop Hate UK reporting implemented.	Annual update to Cabinet and Executive. Quarterly performance reporting. 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. This quarter has highlighted 2 areas of concern: 1/ Thames Valley Police's Police and Crime Commissioner has stopped the use of third party hate crime reporting through Stop Hate UK and commissioned the Milton Keynes Equality Council to complete this work. As this is not due to go live until December 2015, an interim process has been published redirecting all reports to the Corporate Policy Officer. 2/ The second area relates specifically to SNC: details of this will be reported to SNC Audit Committee on 3 December 2015. These concerns have resulted in an increase in residual risk scores (Probability from 3 to 4)	
C12	01/04/2013	Common	Jo Pitman	Dave Bennett	Resources	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	SNC are registered to the international standard BS OHSAS 18001 Occupational Health and Safety Standard, and ISO 14001 Environmental Standard. CDC were audited by their external auditors BM Trada their as a result have been certified to international standard BS OHSAS 18001 Occupational Health and Safety Standard, and ISO 14001 Environmental Standard.		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	2	5	10	Both Councils are now credited to both the IMS health and safety and the environmental standards which demonstrate a commitment to the development and improvement across the organisation with on-going external audits to ensure that the levels attained regarding each standard continues to be maintained.		Both Councils are now certified to both the IMS health and safety and the environmental standards. These standards demonstrate a commitment to the development and improvement across the organisation with on-going external audits to ensure that the levels regarding each standard continues not only to be maintained but improved. Residual risk probability has been reduced accordingly (from 3 to 2)	
C13	01/04/2013	Common	Ian Davies	Jackie Fitzsimons	Community & Environment	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.	Work still on-going to complete action plan and progress on control rooms made	
C14	01/04/2015	Common	Ian Davies	Nicola Riley	Community & Environment	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		The established "See It Report It" process has controls and monitoring arrangements for different levels in the organisation for assurance purposes	See it Report it is embedding at CDC. Intelligence gathering / trend spotting not yet underway but software purchase being considered as part of Workstream 7. Plans to roll out to SNC in Q3	

Ref No	Date risk added	SNC or CDC	JMT Member	Lead Manager if applicable	Directorate	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	Enter your comments Q2 Review	Date Closed if applicable
C15	01/02/2014	Common	Ian Davies	Nicola Riley	Community & Environment	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 for 2014. December 2015 deadline for next return CDC underway deadline 1/12/14 -completed and submitted on time. Annual return due 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 compiled for each council	2	5	10	Independent Review undertaken	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.	Independent review undertaken. Work underway to map training needs within both organisations and develop a corporate training log.	
C16	01/04/2014	Common	Ed Potter		Community & Environment	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 and 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	Community & Environment	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	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		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		Report to SNC CSP in September and will be addressed by Public Protection shared services business case CSP Forward Plan established. Regular (monthly) updates on performance reported to the CSP.	No change from Q1 but shared services business case progressing	
P02	01/04/2013	SNC	Ian Davies	Jackie Fitzsimons	Community & Environment	Police 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	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		Effective local Community Safety Partnership (CSP) 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		Report to SNC CSP in September	Risk reviewed no change to risk scores A report went to CSP and a number of options were discussed. SNC and Daventry District Council are working together to decide on the best option in the context of the shared Public Protection business case.	
P03	01/04/2013	CDC	Ian Davies	Jackie Fitzsimons	Community & Environment	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	CSCP is re writing action plans to include Prevent and CSE		Attendance at CSCP meetings Funding secured 2015-16 OSCB business plan approved PCC priorities updated	2	2	4		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	

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P04	01/04/2013	CDC	Ian Davies	Jackie Fitzsimons	Community & Environment	Police 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 in place for 2015/16		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		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		Development	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	Engagement on inward investment , EU projects and SEP refresh		Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement	3	4	12		Portfolio briefing Growth Board Regular liaison meetings with OLEP	EU Funding awarded awaited. Extends services of Eco Development Team with business advisers for Business. Content of Banbury Vision discussed with OXLEP.	
P06	01/04/2013	SNC	Ian Davies	Nicola Riley	Community & Environment	Health and Wellbeing Partnership	Failure of the new partnership arrangements results in South Northamptonshire 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		Spending in localities is determined by the Board. There is limited opportunity for Districts to directly influence.	Health and Wellbeing Forum meeting regularly and a blueprint for future health services provision is being developed with partners. Risk reviewed and no change to scores.	
P07	Now individual risks for each Council 01/04/15	CDC	Ian Davies	Nicola Riley	Community & Environment	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.	Community Partnerships network considering future health services provision. Risk reviewed and no change to scores.	
P08	01/04/2013	Common	Adrian Colwell		Development	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 Engagement in Chief Exec Group, Rural Group & ED Officers Convened Conference on Better Regulation EU funding bids lodged		Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement	3	4	12		EU Funding awarded awaited. Extends services of Eco Development Team with business advisers for Business. Content of Banbury Vision discussed with OXLEP.		
P09	01/04/2013	SNC	Adrian Colwell		Development	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	JPU scaled back following adoption of Joint Core Strategy		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	JPU role is reduced. SNC focus is on preparation of Local Plan Part 2 for South Northants. 'Issues and Options' to be reported in January 2016. New Local Development Scheme to be reported to Committee in December 2015.	