

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 Q3 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. Quarterly Health & Safety reporting.	3	4	12		No legal challenge has been made to any decision by either Council alleging misapplication of the law	Controls continue to mitigate successfully. For example the future removal of Revenue Support Grant (RSG) support announced in the Autumn statement was anticipated and planned for by both councils.	
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. 2016-17 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	The recent provisional settlement notification and reform of NHB and the strategic agenda around income/commercialisation does not impact on the residual score at this stage.	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	Member Group consideration of Asset Management, core assets and non-core, commences on 28 January 2016. A progress report will be presented at the next Executive meeting.	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 considered at Planning Policy Committee in January 2016; revisions required.	
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	Officers continue to liaise with HS2 and Northampton County Council on transport matters.	

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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. Results of CDC Customer Satisfaction Survey presented to Executive October 2015 and was well received. The Key Services to be Maintained summary instrumental in Business and Service Planning processes. A similar Survey is being prepared for SNC and will go live June/July 2016.	3	3	9	Shared Customer Services team now received approval so currently being implemented. Heavy reliance on transfer of all first point of customer contact functions into the new shared team, new website design to enable channel shift by all services and implementation of end to end on line transactions by all services. These corporate requirements are part of the Transformation Programme, the reviewed ICT work programme and critical to deliver future savings plus the full benefit realisation of the customer services team.	Project governance, performance management reporting, customer insight reporting.	Risk Reviewed No changes to controls, actions or scores this quarter.	
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.	Discussion has commenced with MEPC and Aylesbury Vale District Council on a revised site Masterplan.	
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	Local Development Scheme and Statement of Community Involvement (SCI) adopted in December 2015. Issues and Options to commence public consultation in February 2016.	
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 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	First health improvement and health inequalities workshop held on 9 December 2015.  Successful event involving many partners and a range of new multi agency activities.	
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	Community Infrastructure Levy being considered at Executive in February 2016. Issues consultations agreed at Executive in January 2016.	

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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.		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	Strategic Delivery Board meeting held in October to track progress. Main agenda item of the bimonthly OCC/CDC Bilateral meetings.	Programme Governance Performance Management	Significant work continuing with OCC on S106 legal agreement on application 14/01384/OUT which has a resolution to grant for Development comprising up to 2600 residential dwellings, commercial floor space, social and community facilities, land to accommodate one energy centre, land to accommodate one new primary school and land to accommodate the extension of the primary school pursuant to application (reference 10/01780/HYBRID). Such development to include provision of strategic landscape, provision of new vehicular, cycle and pedestrian access routes, infrastructure, ancillary engineering and other operations.  A further application has received a resolution to grant - B14/01641/OUT Outline Application - to provide up to 900 residential dwellings, commercial floor space, leisure facilities, social and community facilities, land to accommodate one energy centre and land to accommodate one new primary school and secondary school. Such development to include provision of strategic landscape, provision of new vehicular, cycle and pedestrian access routes, infrastructure, ancillary engineering and other operations. 3 further applications are expected to be considered by the planning committee in Q4.	
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.		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 for practical completion in March 2016 and currently on 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	The Council has adopted a Local Development Order (LDO) for 197 plots on phase 1. Managing Director appointed.	Project Governance	Work continues on pre-construction as planned. Discharge of planning obligations underway. Price Preview event held in November.  Managing Director appointed and commenced January 2016.  Given that the project is still in its infancy and even though we have additional governance in place through company three risk rating remains unchanged.	
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	Foundation Trust status now in place providing greater public engagement opportunities. Changes to wards and services underway to address the long term delayed transfers of care problem out of hospital and into the community - major multi agency effort.	

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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	Reviews are taking place to ensure three way services have effective governance and operational arrangements in the light of Stratford District Council (SDC) deciding not to progress with the confederation approach.		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	5	3	15		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	Risk reviewed and although controls and actions are in place and working effectively, the residual risk probability rating has increased from 3 to 5 to reflect- • Stratford District Council's decision not progress the three way partnership • Two way programme will result in less savings than three way programme • Uncertainty for ICT and Legal services as transition arrangements take place.  Two way governance and progress is in place and on track so risks to the delivery of the two way programme are low and limited to where we interface with SDC, i.e. on legal and ICT services. Reviews are on-going and will be completed by February 2016 to ensure business as usual is maintained.	
S17	01/04/2014	CDC	Chris Stratford	Azza Rahman	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	Updated milestones have been agreed with the Homes & Communities Agency (HCA) to mitigate any loss of grant.  Build! @ update to Executive Business Planning Meeting on 20/10/2015		<ul style="list-style-type: none"> <li>• Delivery Manager and Project Board</li> <li>• Legal Agreements in place for land acquisitions and contracts with consultants and contractors</li> <li>• Monthly project/performance reports</li> <li>• Business Plan and Financial Plan monitoring</li> <li>• Professional Construction Management</li> <li>• Effective Communications Management</li> <li>• Catastrophic would be a serious (fatal) health and safety incident which is always possible in a construction project but mitigated by sound Health &amp; Safety procedures and Construction, Design &amp; Management measures.</li> <li>• Financial risks are major given the level of investment but mitigated by budget management and professional construction management</li> <li>• Overall reputational risk is major given the profile of this project locally and nationally but managed by communications and strong project management.</li> </ul>	3	4	12	Succession planning for site management and quality control is currently being put in place.	<ul style="list-style-type: none"> <li>• Programme Governance</li> <li>• Information Management System (IMS) with the HCA</li> <li>• HCA Programme Audit (annually)</li> <li>• HCA Design and Quality Audit</li> <li>• Considerate constructor scheme</li> <li>• Fortnightly Project Boards; weekly project reviews</li> </ul>	Project Delivery process improved with measures for project management accountability, financial probity and value for money being made a priority in the delivery programme.	
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)  Soft Market testing of sites to be concluded in February 2016	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 an interim report was presented to Banbury Developments Board in December. The final report is scheduled for the Board meeting early February.  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	

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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	Member Group consideration of Asset Management, core assets and non-core, commenced 28 January 2016.	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.	The Asset Management Member Group (AMMG) for CDC met for the first time to consider the wider issues relating to asset management opportunities. Members agreed to review in more detail the process of core and non core asset choices, and further agreed to meet again and progress issues further. Cushman and Wakefield will provide details for the next meeting to be arranged and confirmed to the AMMG shortly.  No changes to risk scores.	
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			No changes to risk scores or controls this quarter	
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 a issue resulting in service failure and reputational damage	Business Continuity	4	5	20	Business Continuity Strategy refreshed during Quarter 4  ICT arrangements now complete		Business continuity strategy in place All services prioritised and recover plans reflect the requirements of critical services ICT disaster recovery arrangements in place 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	The project was unexpectedly halted because ICT resources were diverted and this work has not been completed; Meeting with ICT early February to progress.  Gap analysis indicates that plans are not up to date in some areas and these are being addressed	
C02	01/04/2013	CDC	Martin Henry	Nick Thrustle	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 to review all Disaster Recovery (DR) and Business Continuity (BC) arrangements across the three councils.	Formal auditing, ICT Health check and benchmarking with best in private and public sector.	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. The team will also look at specialist third party providers, such as Phoenix (a national DR provider) to not only gain best practice but also to offer options going forward.	
C03	01/04/2013	SNC	Martin Henry	Nick Thrustle	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 to review all Disaster Recovery (DR) and Business Continuity (BC) arrangements across the three councils.	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		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		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 Q3. A review of the data quality policy in line with Workstream 5 (Strategic Information Requirements' across both councils) will commence during Q4.	
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	Member concerns at SNC concerning access to agenda information during meetings via their tablets have been addressed via the issue of guidance from the Head of Transformation and the portfolio holder. Interim changes have also been made to the Democratic/Elections team's method of despatch of exempt agenda papers to members to ensure proper access.	No decision has been made by either Council which is inconsistent with the policy framework or legal requirements	Controls continue to mitigate successfully. For example the future removal of Revenue Support Grant support announced in the Autumn statement was anticipated and planned for by both councils.	
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	Phase 1 completion due week commencing 8 February 2016		Completion of Phase 1 due week commencing 8 February 2016; however consideration is currently being given to Phase 2 works whilst contractor on site. Decision required by 5 February 2016.	
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.	Decision making quality appears to continue to be sound.	
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	In November 2015, the business case to form a shared Communications and Marketing team across CDC/SNC was approved. Recruitment of the Corporate Communications and Marketing Manager has concluded and recruitment into the remaining posts within the team is underway. The creation of a single combined team provides greater resilience within the team, with an out of hours rota being introduced to monitor social media.	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 Q3 and no changes to risk scores or controls required.	

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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	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 (MKEC) to complete this work. Until MKEC reporting goes live early in 2016, an interim process has been published redirecting all reports to the Corporate Policy Officer - this will be resolved early in Q4.  2/ The Forum - Disabled Access to Dias and Emergency Exit risk remains elevated this quarter. However, a new hand rail has been fitted to the step access to the stage at The Forum and a portable lift is currently on order with delivery anticipated in March. A mechanical stair climber device has also been purchased to improve emergency exit via the outside staircase for wheelchair users. Both issues will be resolved Q4.	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.  Risk scores remain elevated during Q3 but actions are in place for resolution during Q4 which will result in a reduction in risk scores.	
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	CDC and SNC are both now certified to the international standard BS OHSAS 18001 Occupational Health and Safety Standard, and ISO 14001 Environmental Standard thus demonstrating 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 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	BM Trada Audit in December 2015 was very positive with no conformities identified.	BS OHSAS 18001 Occupational Health and Safety Standard, and ISO 14001 Environmental Standard.	Risk ratings were reduced earlier this year to reflect certification to BS OHSAS 18001 and ISO 14001 standards at both Authorities. Risk has been assessed and no changes required.	
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	3	4	12	Plans to improve access to plan out of hours ; control room at SNC now agreed; Impact of withdrawal of Northants County Council emergency planning service needs to be assessed	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.	Review of resources and will be addressed as part of new Public Protection business case.  <b>Residual risk probability raised to 3</b> due to uncertainty following Northamptonshire County Council withdrawal of Emergency Planning services.	
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	2	4	8	Safeguarding leads meeting instigated in Q3 to capture issues and identify trends	The established "See It Report It" process has controls and monitoring arrangements for different levels in the organisation for assurance purposes	Beginning to implement the recommendations from the internal review into safeguarding with approval sought and received from Overview & Scrutiny in January 2016 and Executive. See it Report it to go live at SNC in February 2016.  <b>Residual probability scored reduced from 3 to 2</b>	

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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	Simplified training pathway established for all staff using some e-training, some face to face.		Safeguarding lead in place and 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	1	5	5	Independent Review undertaken Section 11 returns completed for both Authorities	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.	Action plan to implement the recommendations arising from the internal review in place - as above.  <b>Residual probability score reduced to 1</b>	
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	No changes to risk scores or controls this quarter	
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.	Shared services business case progressing. No change to risk actions, controls or scores.	
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	No changes required this quarter	
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	
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	Decision on EU funding still awaited.	
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.	The Blueprint for Health and Wellbeing was developed in Q3 and will be consulted on in Q4. The changes to service delivery at Northampton County Council (NCC) via the Community Interest Company is still an unknown quantity and so the risk, whilst it has been reviewed, remains the same.	
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	Workshop held in Q3	Spending in localities is determined by the Board. There is limited opportunity for Districts to directly influence.	Workshop held in Q3 to consider the Oxfordshire Clinical Commissioning Group (OCCG) framework and progress towards a shared vision being made but no inherent change to risk value.	
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			Decision on EU funding awaited.	
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 reduced. Focus is on SNC led Local Plan Part 2a.	