

Ref No	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	Q4 Review	Date Closed if applicable
S01	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	On-going	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	Business planning sessions were held with Executive/Cabinet and duly informed the 2016/17 business plans and ensured key members were aware of key new and emerging policy/legislative issues	No legal challenge has been made to any decision by either Council alleging misapplication of the law	The participation of both councils in the unitary council proposals in "Greater Oxfordshire" shows continued corporate awareness of emerging policy issues.	
S02	Common	Paul Sutton		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	Common	Paul Sutton		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	Member Group consideration of Asset Management, core assets and non-core, commenced 28 January 2016. A progress report will be presented at the next Executive meeting.		Treasury management policies in place Investment strategies in place Regular financial and performance monitoring in place Independent third party advisers in place and different ones used at each Council Regular bulletins and advice received from advisers Fund managers in place Property portfolio income monitored through financial management arrangements on a regular basis Experienced professionally qualified staff employed at both Councils. Asset Management review and conclusions expected to be reported at both Councils by the end of the year.	2	3	6		Budget and Financial Strategy Committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and Risk Committee, Scrutiny Committees	Risk reviewed, no changes to scores or controls	
S05	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	Consultation has begun on Local Plan Part 2A. No change to risk scores, actions or controls	
S06	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. 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	SNC is an active member of the National Planning and Heritage Forum for HS2. Consideration has begun on whether SNC should become a 'Designated Body' and thus take responsibility for determining the design of each scheme element through South Northants.	

Ref No	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	Q4 Review	Date Closed if applicable
S07	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	Shared Customer Services team now 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.		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		Project governance, performance management reporting, customer insight reporting.	Risk Reviewed : no changes to controls, actions or scores this quarter.	
S08	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 Expression of Interest lodged with Highways England		Planning negotiation processes (to cover transport delivery) Section 106 process to cover economic gains Strong working relationship with Silverstone	2	2	4		Silverstone Masterplan coordination group established.	The negotiation of the revised site Masterplan is being led by Development Management to secure the objectives for the development of the site as set out in the Joint Core Strategy and the Development Brief for Silverstone and take account of the split in ownership between the British Racing Drivers' Club (BRDC) and MEPC.	
S09	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	Consultation on Local Plan part 2A options is underway, together with a call for sites. Mapping for the Local Plan is being updated.	
S10	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 2015/16 priorities established		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		Project governance Local Strategic Partnership (LSP) oversight, Quarterly reporting Annual Report	Second multi agency workshop completed focussing on employability. This successful event brought together the secondary and higher education sectors with local employers.	
S11	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	Consultation on the Local Plan part 2 Issues and the Local Plan Partial Review has just completed. Responses are being collated and assessed to inform the preparation of the Option stage, to be considered at Executive in September 2016.	

Ref No	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	Q4 Review	Date Closed if applicable
S12	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	<p>Planning policy development through Local Plan Eco-Town Project plan & related partnerships.</p> <p>Working with private & public sector partners.</p> <p>Strategic Delivery Board meeting held in October - main agenda item of the bimonthly OCC/CDC Bilateral meetings.</p>		<p>Planning policy development through Local Plan Eco Town Project plan & related partnerships</p> <p>Working with private & public sector partners</p> <p>Programme Board in place</p> <p>Lead Member in place</p>	3	3	9		<p>Programme Governance</p> <p>Performance Management</p>	<p>NW Bicester first phase, now known as Elmsbrook, is under construction and the first 90 properties are due for occupation in Spring 2016. Houses are being built to Code for Sustainable Homes level 5 and are served by a district heating system, all have photovoltaic cells & rainwater harvesting. Provision being made for local bus service, electric vehicles, green space and local management organisation. Work has also commenced on the construction of the school to serve the development and planning permission has been granted for the construction of the local centre. Construction will continue on further phases of the Elmsbrook site.</p> <p>There is a resolution to grant planning permission for 3500 further houses and the realignment of Howes Lane. Two further applications have been presented to the Council's Planning Committee and deferred but are due to be considered further during the next quarter. Work is continuing on the drafting of legal agreements for the NW site which are complex due to the number of planning applications and significant infrastructure required.</p>	
S13	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	<p>Project on time for Spring 2016 opening and within budget.</p>		<p>Project manager in lead role</p> <p>Project Board</p> <p>Legal agreements in place</p> <p>Joint venture with the developer (underpinned by legal agreements)</p> <p>Monthly performance / projects reports</p> <p>Resources and technical advice provided as part of the developer agreement</p>	3	3	9		Project Governance	<p>Practical Completion achieved on 29 March and building opened on 4th April 2016.</p> <p>Project delivered within budget and work continues on marketing the space available on the second and ground floor.</p>	
S14	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	<p>All actions are on track and being monitored on a bi-weekly basis.</p> <p>The Council has adopted a Local Development Order (LDO) for 197 plots on phase 1.</p> <p>Managing Director appointed.</p>		<p>Project Manager</p> <p>Project Board</p> <p>Companies set up</p> <p>Business Plan and Finance Plan being monitored</p>	3	3	9		Project Governance	<p>Project has moved into delivery phase with the demonstrator site and preparations in place for the launch of phase 1 reservations.</p> <p>The Company maintains a robust risk register that is reviewed at monthly board meetings and quarterly partnering board meetings..</p>	
S15	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	<p>Regular engagement with Oxford University Hospitals Trust (OUHT) via the Community Partnership Network (CPN).</p> <p>Quarterly meetings and engagement in service change processes.</p> <p>Revised terms of reference of the CPN agreed and to commence in 14/15</p>		<p>Support to the OUHT and emerging GP commissioning structure to maintain services</p> <p>Providing evidence of deliverability of consultant delivered services elsewhere</p> <p>Gaining consensus locally that this is important</p> <p>Ensuring local councillors are briefed and engaged to play a community leadership role</p> <p>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.</p>	3	3	9		LSP oversight and annual report to Executive	<p>Good progress on delayed transfers of care from hospital.</p> <p>Strategic review underway of Oxford University Hospitals Foundation Trust's assets and service delivery plans with the intention to invest in the Horton's facilities.</p>	

Ref No	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	Q4 Review	Date Closed if applicable
S16	3Way	Sue Smith	Claire Taylor	CX	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	Scores remain unchanged 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 Risk closed : new Transformation Programme risk from 1 April 2016.	31/03/2016
S17	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. Succession planning for site management and quality control is currently being put in place.		<ul style="list-style-type: none"> • 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		<ul style="list-style-type: none"> • Programme Governance • Information Management System (IMS) with the HCA • HCA Programme Audit (annually) • HCA Design and Quality Audit • Considerate constructor scheme • Fortnightly Project Boards; weekly project reviews 	The BUILD!@ Programme remains on target and the BUILD!@ Project Board are regularly updated on both the development programme and financial position.	
S18	CDC	Karen Curtin		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 and first phase report completed. Second phase including soft market testing of the sites chosen has been commissioned and an interim report presented to Banbury Developments Board in December. The final report is scheduled for the Board meeting early February. Key sites being tested for viability. Adopted Local Plan		<p>Regular meetings of the Project Board</p> <p>Adopted Asset management Strategy and review of Council car park sites</p> <p>Interdependencies map produced showing progress on all major development sites in Banbury</p> <p>Adopted local Plan leading to Completion of Banbury Masterplan and Canalside Supplementary Planning Document (SPD)</p> <p>Soft Market testing of sites to be concluded in February 2016</p>	3	4	12		Regular risk monitoring and review discussions by the project board	The Banbury Developments Project Board has been set up to monitor progress on a number of Banbury related projects. A detailed risk register is kept and reviewed at each meeting including a review of mitigations and any new risks.	

Ref No	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	Q4 Review	Date Closed if applicable
S19	CDC	Chris Stratford		Development	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. Member Group consideration of Asset Management, core assets and non-core, commenced 28 January 2016.		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		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) met for the second time, specifically in respect to community buildings, and have agreed to receive further reports and meet again to continue progress during the middle of May. Score remains unchanged	
S20	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 remains unchanged - relationship with UPM is satisfactory but this can change quite quickly	
C01	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	No change from Q3 as two way ICT progresses; priority has been flagged with external consultants; recruitment of dedicated resource has commenced as Public Protection business case progresses.	
C02	CDC	Jo Pitman	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 ICT Project Team established to review all Disaster Recovery (DR) and Business Continuity (BC) arrangements across the three councils.		BCP Plan Disaster recovery (DR) arrangements (CDC) Recovery site (CDC) Back up of systems Process and standards (compliance regime)	3	3	9		Formal auditing, ICT Health check and benchmarking with best in private and public sector.	No change. A wide strategic view is to be taken with the changes to the ICT Service provision.	
C03	SNC	Jo Pitman	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	ICT Project Team established to review all Disaster Recovery (DR) and Business Continuity (BC) arrangements across the three councils.		BCP Plan Disaster recovery (DR) arrangements (Limited) Back up of systems Process and standards (compliance regime) Achieved ISO 22301	3	4	12		Formal auditing, ICT Health check and benchmarking with best in private and public sector.	A white paper for consideration to changes and approach will be forthcoming (June 2016) that will look to make better use of current assets and technology.	

Ref No	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	Q4 Review	Date Closed if applicable
C04	Common	Paul Sutton		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	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 Q4. A review of the data quality policy in line with Workstream 5 (Strategic Information Requirements' across both councils) will commence early 2016.	
C06	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	Both councils continue to take lawful and effective decisions.	
C07	SNC	Chris Stratford	Chris Stratford	Development	Moat Lane Relocation and Change (MLR)	Car Parking provision in Towcester	Customer Citizen / Service Delivery / Operational	4	3	12	Phase 1 completion due week commencing 8 February 2016		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 and 2 of the long Stay Tove Car Park has been completed in total. Phase 1 consisting of approx 60 spaces has now been opened and the remaining phase 2 facility is currently not in use and subject to the Brackley Road improvements.	
C09	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	Induction training completed and all tablets rolled out	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. Risk closed : only of strategic significance in year 1 of new council.	31/03/2016
C10	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. Shared Communications & Marketing team business case approved and recruitment of the Corporate Communications and Marketing Manager has concluded with recruitment into the remaining posts within the team now underway.		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	The communications team work alongside the Chief Executive, Directors, Heads of Service and Team Leaders to monitor any potential negative activity and develop a mitigation strategy and lines to take. During Q4 a social media policy has been developed for SNC and approved by the Communications Panel. The same protocols are being applied at CDC. Social media continues to be monitored outside of hours on an informal basis and this will be monitored ever further once the implementation of the shared Communications and Marketing team has been completed.	

Ref No	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	Q4 Review	Date Closed if applicable
C11	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	2015/16 Equality Action Plan published Milton Keynes Equality Council (MKEC) commissioned for hate crime reporting.		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 "Knowing our Communities" at both CDC and SNC	3	4	12	A new IbeX stair climber chair to improve emergency exit at The Forum is now in place with relevant staff trained. Further training is being scheduled to improve resilience. A portable lift has also been purchased and is now available for use.	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 Equality Impact Assessments, rolling Plans linked to service planning and quarterly performance reports. The annual review is currently taking place, monitoring performance over the previous 12 months and an "Areas for Development" document will be presented to Executive/Cabinet in July 2017. Risk probability score has reduced following accessibility improvements at the Forum.	
C12	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	Both CDC and SNC certified to 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. 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		BS OHSAS 18001 Occupational Health and Safety Standard, and ISO 14001 Environmental Standard.	There are no changes to the identified risk.	
C13	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.	As part of implementation of the Public Protection business case, we are currently recruiting shared 0.6 FTE Emergency Planning Liaison Officer and have appointed Safer Communities Manager with dedicated resource for Emergency Planning. Existing council arrangements will remain in place to ensure resilience. Northamptonshire County Council have been approached to seek clarity on impact of their recent restructure and to explore a better way to work in future. For CDC, Oxfordshire County Council support remains unchanged and satisfactory arrangements are in place. This shared risk will be separated into specific risks for each Council from 1 April 2016.	
C14	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 Safeguarding leads meeting instigated to capture issues and identify trends		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		The established "See It Report It" process has controls and monitoring arrangements for different levels in the organisation for assurance purposes	2015/16 has seen the completion of the joint internal safeguarding review. There have been several recommendations adopted and moves to begin others are planned. The introduction of 'See it; Report It' and the regular Safeguarding leads meeting have been significant achievements. A joint data awareness week has highlighted good practice to staff.	

Ref No	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	Q4 Review	Date Closed if applicable
C15	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. Independent Review undertaken Section 11 returns completed for both Authorities		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		Safeguarding champions to promote the welfare of children and be a point of contact for cascading information. Annual Audit of activity JMT and LSP also have specific actions and/or meeting times JATAC (Joint Agency Tactical and Co-Ordination Meeting) at CDC where issues of CSE are currently discussed with partner agencies.	The internal review action plan has highlighted some priority areas for both Councils, which are being actioned. There is a much greater focus on Safeguarding and higher levels of general awareness; training staff and members will be a priority in 2016/17 along with developing systems to monitor training.	
C16	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 (EA) gathering data on Councils regarding TEEP in April 2015. If there are concerns the EA will be in touch.		Working with other Authorities using the Waste and Resources Action Programme (WRAP) Route Map.	1	4	4		Cabinet / Executive Reports	No change from Q3. Environment Agency seems broadly satisfied with the approach from local authorities. Risk closed : no longer significant risk, will be managed operationally.	31/03/2016
P01	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. Risk closed : no longer considered significant and will be managed at operational level.	31/03/2016
P02	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	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. Risk closed : no longer considered significant and will be managed at operational level.	31/03/2016

Ref No	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	Q4 Review	Date Closed if applicable
P04	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	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	The OXLEP Strategic Economic Plan (SEP) is being refreshed. CDC have sought to ensure that the new SEP draws on the adopted Cherwell Local Plan and provides sufficient focus on growing Banbury and Bicester in accordance with it, together with ensuring funding is released for critical infrastructure.	
P06	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.	First for Wellbeing will launch on 1st April 2016. Consultation is currently underway on children's centres and plans to cut the provision in SNC area by 47% rather than the countywide average of 30% are being rebuffed. It is still unclear how the new structures will provide access to services at a local level and ensure health inequalities reduce.	
P07	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 Workshop held in Q3 2016		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.	The opportunities Cherwell has to influence partnership agendas are now well established; the Community Partnerships Network, the Local Strategic Partnership and membership of the Oxfordshire Health and Wellbeing Board. Continuing cuts to County Council expenditure are changing the service landscape for residents and every opportunity is taken to advocate for services for the most disadvantaged areas. The significant growth in both major towns will impact on service provision. A "Healthy Town" status for Bicester has been awarded which will see a programme of development decisions allied to physical activity and spatial planning.	
P08	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		Business Advisers are being recruited with European Regional Development Fund (ERDF) funds. The Business Advisers will ensure that SEMLEP Velocity support for business growth is properly accessible in rural South Northants.		
P09	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	The focus for SNC is on the development of Local Plan Part 2A. Early consideration is being given to the review of the Joint Core Strategy that is to commence in 2017 and will include consideration of additional land release for housing and employment growth.	