

Ref No	Date risk added	SNC or CDC	Owner	Updater	Risk Name	Risk Description	Priority	Type of Risk/ Opportunity	Inherent Probability	Inherent Impact	Gross Risk	Planned Mitigating Actions	Due Date	Controls in Place	Residual Probability	Residual Impact	Net Risk	Update on Actions	Assurance	Quarter 1 Review	Date Closed If applicable
S1	01/04/2013	Common	Kevin Lane		Policy and legislative change	The councils fail to adequately respond to the implications of changing national policy resulting in loss of opportunity, reputational damage or legal challenge	CBP SNC	Political / Social / Economic	4	5	20	The financial implications for both Councils arising from the Local Government Financial Settlement and County Council budget savings proposals have been the subject of close scrutiny by the Interim Head of Finance and Procurement and reported to Leading Members		JMT forward plan, Executive and cabinet Forward plans, Scrutiny Committees. Business and Service Planning. 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 JMT undertake policy oversight role	3	4	12		No legal challenge has been made to any decision by either Council alleging misapplication of the law	Risk reviewed - no changes to controls or scores	
S2	01/04/2013	Common	Martin Henry		Financial resilience	The impact of external financial shocks, new policy and increased service demand reduces the councils medium and long term financial viability	CBP4 SBP4	Political / Social / Economic	4	4	16	Medium Term Financial Strategy Complete		Highly professional, competent, qualified staff Good networks established locally, regionally and nationally National guidance interpreting legislation available and used regularly Members aware and are briefed regularly Participate in NFO and OTA work streams Programme management approach being taken	2	4	8		Budget and financial strategy committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and risk Committee, Scrutiny Committees	Risk reviewed. Whilst the scores have not been changed there have been a number of departures from the team recently. The Interim Head of Finance and Procurement leaves the authority at the end of August and a New Head of Finance and Procurement joins us on the 15 September on a fixed term contract. Given all of these changes a 'watching brief' is being kept on this area.	
S3	01/04/2013	Common	Martin Henry		Capital Investment and Asset Management	Poor investment and asset management results in the councils' not maximising financial return or losing income.	CBP4 SBP4	Political / Social / Economic	3	4	12			Treasury management policies in place Investment strategies in place Regular financial and performance monitoring in place Independent third party advisers in place and different ones used at each council Regular bulletins and advice received from advisers Fund managers in place Property portfolio income monitored through financial management arrangements on a regular basis Experienced professionally qualified staff employed at both councils. Asset Management review and conclusions expected to be reported at both Councils by the end of the year.	2	3	6		Budget and financial strategy committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and risk Committee, Scrutiny Committees	Risk reviewed. Asset Management Plan review added to the list of controls in place. Residual risk scores remain the same.	
S4	01/04/2014	SNC	Chris Stratford	Ian Thompson	Moat Lane Roadworks Phase 1	Failure to obtain full and satisfactory Technical Approval of all aspects of the required road works in a timely manner may cause the planned programme to overrun and because this is linked to a Planning Condition (PC), the Community Building cannot be occupied until the road works are completed. The programme is currently two weeks over the planned PC Date for the road works	SBP4	Political / Social / Economic	4	5	20	Shared Risk with Towcester Regeneration Limited (TRL)		Towcester Regeneration Limited (TRL)/Morgan Sindall Construction (MSC) have engaged a Highways Consultancy (Curtins) to resolve these issues with the Northamptonshire County Council Highways Authority and the Highways Agency.	4	5	20	Continued discussion with all the many parties involved.	These are under the complete control of TRL/MSC.	The programme is currently two weeks over the planned Planning Condition Date for the road works and could lead to delay to the occupation of the Community Building	
S5	01/04/2013	SNC	Adrian Colwell		SNC Managing Growth and capitalising on opportunities	Failure to capitalise on the growth agenda results in lost opportunities in terms of economic, community and infrastructure development and financial gains (e.g. business rates retention). The ultimate impact is long term and impacts upon the strategic objectives of the council and quality for life for local residents and communities.	SBP1 SBP3	Political / Social / Economic	4	4	16	JCS approved at JPC		Master planning process Core strategy Economic development strategy Inward investment plan	2	3	6	Examination resumed in April 2014	Planning Policy and Regeneration Strategy Committee	Inspectors report is awaited and due for publication in October 2014. JPC is expected to consider at its meeting in December 2014.	

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S6	01/04/2013	SNC	Adrian Colwell		HS2	Failure to engage on HS2 matters and failure to plan to mitigate potential impacts of HS2 result in:  A higher negative impact on the district in terms of environment, disruption and economy than would be the case if the best mitigation outcomes are achieved. Failure to be seen to be acting in the best interests of the district and attempting to influence decision making may also have an impact on the council's reputation.	SBP1 CBP3	Political / Social / Economic	5	5	25	Mitigation Blueprint being drafted. SNC continues to be active in Technical Officers Group and has Member and Officer representation on the main 51M board		Part of the 51 m group 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	Petition submitted to Parliament on 15 May 2014. Negotiations continue with HS2 Ltd on mitigation required - including 03/09/2014 meeting	Cabinet and Planning Policy and Regeneration Strategy Committee	Preparations for giving evidence to Parliamentary Bill continue. Date for being called are as yet unknown.	
S7	01/04/2013	Common	Chris Rothwell		Customer Service Improvement	Failure to increase internet usage or self service and improve customer service processes results in higher costs and decreased customer satisfaction	CBP4 SBP4	Customer Citizen / Service Delivery / Operational	4	3	12	Following suspension of two way project on CRM and Channel shift, interim measures are being considered with ICT pending revised strategic consideration of three way customer service requirements.		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	3	3	9		Project governance, performance management reporting, customer insight reporting.	Reviewed - no changes to risk controls or scores	
S8	01/04/2013	SNC	Adrian Colwell		Silverstone Masterplan	Failure to capitalise on the opportunities afforded to the district through the Silverstone development and failure to manage the risks associated with the programme result in:  • Failure to maximise long term economic benefit to the district • Negative impact on the a43 – (impact of transport risks) • Negative impact on council's reputation	SBP1 SBP3	Political / Social / Economic	4	4	16	Commitment to delivery of Development Brief		Planning negotiation processes (to cover transport delivery) Section 106 process to cover economic gains Strong working relationship with Silverstone	2	2	4	Currently considering LDO for whole development area with AVDC. Utilities investment committed by MEPC	Silverstone Masterplan coordination group established.	SNC attended a recent (July) HPE promotion event at Silverstone. Liaison with MEPC and BRDC continues	
S9	01/04/2013	SNC	Adrian Colwell		SNC Local Plan	Failure to ensure sound local plan is submitted results in inappropriate growth in inappropriate places. This leads to negative (or failure to optimise) economic, social, community and environmental gain. There is also potential negative impact on the council's ability to deliver its strategic objectives and manage its reputation.	SBP1	Political / Social / Economic	4	5	20	Parish briefings being organised.		Partnership working with the JPU will deliver some elements of the plan (this partnership is recorded on the risk register as a separate item) For issues which are solely within the control of SNC polices, plans and resources are in place. Work is well advanced on rural settlements, village confines draft planning guidance and development control polices are underway. A statement of community involvement is in place	3	4	12	Issues consultation completed. Review of confines underway. Parish Councils involved. GVA Employment Land Study complete	Cabinet and Planning Policy and Regeneration Strategy Committee	Further work on Local Plan while Inspectors report and JCS is awaited as this may change housing numbers and settlement hierarchy	
S10	01/04/2013	CDC	Ian Davies		Deprivation and Health Inequalities	Failure to deliver the Brighter Futures in Banbury programme results in long term health and deprivation objectives not being met	CBP1 CBP3	Political / Social / Economic	3	3	9	Many new initiatives funded in 13/14		Long term commitment to support local people and communities as many issues can only be addressed on this basis Multi agency actions with clear and common objectives Additional funding from Government grants to supplement current resources LSP focus on Brighter Futures in Banbury programme Contingency fund made available in CDC budget Programme co-ordination role in place Quarterly performance management in place	2	3	6	Brighter Futures Annual Report published	Project governance LSP oversight, Quarterly reporting Annual Report	Improved multi-agency engagement now in place and 2013/14 priorities have been established. Wider agency involvement from the voluntary, faith and education sectors underway Several new projects are under consideration.	

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S11	01/04/2013	CDC	Adrian Colwell		CDC Local Plan	Failure to ensure sound local plan is submitted results in inappropriate growth in inappropriate places. This leads to negative (or failure to optimise) economic, social, community and environmental gain. There is also potential negative impact on the council's ability to deliver its strategic objectives and manage its reputation.	CBP1	Political / Social / Economic	4	5	20	Local Plan submission to Secretary of State		A Local Development Scheme is in place which details the timeframes and deliverables to underpin the work  Resources are in place to support delivery including QC support	3	4	12	Examination commenced on 3/4 June 2014 with written statements. On suspension additional works to prepare modifications undertaken	Executive and Full Council	Modifications to increase working and employment undertaken with new evidence base commissioned includes new SHLAA, HRA, SA, EIA, SFRA.  Consultation runs 22/8/14 to 03/10/2014	
S12	16/08/2013	CDC	Adrian Colwell		CDC Local Plan - County SHMA	There is a risk that CDC will need to consider additional housing in 2014 to meet the unmet need of Oxford.	CBP1	Political / Social / Economic	4	5	20	Reporting response being considered by SPIP and OPPO. On-going.		SPIP and OPPO are actively engaged in addressing the issues arising through the preparation of the SHMA.	3	4	12	Publication of new SHMA had major impact on Cherwell Local Plan under Paragraph 147 NPPF. This led to suspension of EIP and need for major modifications.	SPIP	Impact of SHMA led to modifications to increase Local Plan from 16,750 (2006-2031) to 22,800 (2011-2031)	
S13	01/04/2013	CDC	Karen Curtin		North West Bicester (Eco-Town)	Failure to deliver the project results in loss of economic benefit, local dissatisfaction and reputational damage to the council	CBP1	Political / Social / Economic	4	4	16	Revised terms of reference of the CPN agreed and to commence in 14/15 including clarification over engagement and consultation processes for change		Planning policy development through Local Plan Eco Town Project plan & related partnerships working with private & public sector partners Programme Board in place Lead Member in place	3	3	9		Programme Governance, performance management	No changes to risk controls or scores Project deliverables on track at end of Quarter 1	
S14	01/04/2013	CDC	Karen Curtin		Bicester Town Centre Development	Failure to deliver the project results in loss of economic benefit, local dissatisfaction and reputational damage to the council	CBP1	Political / Social / Economic	3	4	12	Phase 1 delivered Phase 2 to commence May 2014		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	Planning Permission achieved in June 2014 Discussion commenced regarding construction contract award to deliver the building by Autumn 2015	Project Governance	Risk reviewed - project on track - no changes to risk controls or scores required	
S15	01/04/2014	CDC	Karen Curtin		Graven Hill	Failure to deliver the project results in severe loss of economic benefit, local dissatisfaction and damage to reputation	CBP1	Political / Social / Economic	3	4	12	Planning Permission granted Deliver programme monitored		Project Manager Project Board Companies set up Business Plan and Finance Plan being monitored	3	3	9		Project Governance	Project deliverables on track at Q1 S106 and land purchase scheduled for August	
S16	01/04/2013	CDC	Ian Davies		Horton Hospital	Failure to retain Horton services locally results in loss of local services and less access to health care for local people	CBP3 SBP2	Political / Social / Economic	4	4	16	Regular engagement with OUHT via the community partnership network quarterly meetings and engagement in service change processes		Support to the Oxford University Hospitals Trust (OUHT) and emerging GP commissioning structure to maintain services Providing evidence of deliverability of consultant delivered services elsewhere Gaining consensus locally that this is important Ensuring local councillors are briefed and engaged to play a community leadership role Continuing to support a local stakeholder group (CPN) with OUHT, GP and OCC representation to hold service commissioners and providers to account and to communicate the health sector changes to the wider population.	3	3	9	Revised terms of reference of the CPN agreed and to commence in 14/15	LSP oversight and annual report to Executive	Oxfordshire Clinical Commissioning Group (OCCG) five year strategy emphasises better health and social care sector integration and extended care in community settings	

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S17	01/01/2014	3Way	Sue Smith	Claire Taylor	Joint Working (three way)	Failure to deliver against the Transformation Programme could result in failure to deliver the savings required in the medium term revenue plans. It will also have a detrimental impact on the councils' reputations and a failure to deliver against the TCA bid.	CBP4 SBP4	Resource / Financial / Human	4	4	16	Adopt three way organisational change policy	01/09/14	Programme Plan Monthly programme updates (to Member working group TJWG) CEOs to sponsor key elements of the work programme Officer steering group Business case process	3	4	12	Transformation Joint Working Group Joint Arrangements Steering Group Corporate performance management (quarterly updates)	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	Risk reviewed. No changes to risk profile, monthly TJWG review of risk register continues. Any risks will be escalated via that group to the strategic risk register as required.	
S18	01/04/204	CDC	Chris Stratford	Helen Town	Build! @ Development Programme	Failure to deliver the Build! Programme resulting in financial loss, loss of economic benefit, local dissatisfaction and damage to the Council's reputation ,	CBP1 CBP4	Political / Social / Economic	3	5	15	Strong Contract Management Weekly project reviews Customer engagement		<ul style="list-style-type: none"> <li>• Delivery Manager and Project Board</li> <li>• Legal Agreements in place for land acquisitions and contracts with consultants and contractors</li> <li>• Monthly project/performance reports</li> <li>• Business Plan and Financial Plan monitoring</li> <li>• Professional Construction Management</li> <li>• Effective Communications Management</li> <li>• Catastrophic would be a serious (fatal) health and safety incident which is always possible in a construction project but mitigated by sound H &amp; S procedures and CDM measures.</li> <li>• Financial risks are major given the level of investment but mitigated by budget management and professional construction management</li> <li>• Overall reputational risk is major given the profile of this project locally and nationally but managed by communications and strong project management.</li> </ul>	3	4	12	Corporate Finance Team support <ul style="list-style-type: none"> <li>• Strong Effective contract management</li> <li>• Weekly project reviews</li> <li>• Strong customer engagement</li> </ul>	<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</li> </ul>	Build! @ is being delivered by a technical team including an Employers Agent, Clerk of Works, QS, Architect and Construction Manager. The team is supported by the Corporate Finance Team. A number of measures are in place and the project is delivered with an emphasis of continuous improvement which is demonstrable as the project evolves.	
C1	01/04/2013	Common	Chris Rothwell	Jackie Fitzsimons	Business Continuity	That plans are not in place to ensure services can be delivered in the event of a issue resulting in service failure and reputational damage	CBP4 SBP4	Business Continuity	4	5	20	Full audit of BCP taking place to secure update position and readiness. Build reviews into Business Planning processes. Common templates to be developed to simplify process and to see if can be brought in line with Emergency Plan updating.		Business continuity strategy in place All services prioritised and recover plans reflect the requirements of critical services ICT disaster recovery arrangements in place JMT lead identified Incident management team identified All services undertake annual business impact assessments	4	3	12	Business Continuity Strategy refreshed during Quarter 4 ICT arrangements now complete	Audit and business continuity plan refresh quarter 4	Following the refresh of the Business Continuity Strategy during Quarter 4 there are no changes to controls or scores. ICT arrangements are now complete	
C2	01/04/2013	CDC	Martin Henry	Balvinder Heran	ICT loss of systems	Failure of ICT services including telephones and remote access. Leading to a negative impact on customers, loss of business continuity and cost to the council (in terms of resources and reputation.)	All CBP4	Business Continuity	4	4	16	Proposal put to business to have Tove as DR site after move to Moat Lane, awaiting business response.		BCP Plan Disaster recovery arrangements (CDC) Recovery site (CDC) Back up of systems Process and standards (compliance regime)	3	3	9	Achieved ISO 22301 Business Continuity Plan updated	External accreditation	A capital bid was approved to improve the restore time at the DR centre in the event of a major loss. This is currently being reviewed and an update will be provided in Q2.	
C3	01/04/2013	SNC	Martin Henry	Balvinder Heran	ICT loss of systems	Failure of ICT services including telephones and remote access. Leading to a negative impact on customers, loss of business continuity and cost to the council (in terms of resources and reputation.)	All SBP4	Business Continuity	4	4	16	Proposal put to business to have Tove as DR site after move to Moat Lane, awaiting business response.		BCP Plan Disaster recovery arrangements (Limited) Back up of systems Process and standards (compliance regime)	3	4	12	Achieved ISO 22301	External accreditation	All systems at SNC are backed up to tape and stored off site. There are no DR arrangements for SNC or site to re-locate to in the event of a DR situation. Documentation is in place for the recovery using the tape system but in the event of a total failure at SNC there would be a considerable delay in bringing back systems due to the nature of the tape recovery systems. When the move to the Forum is made a bid will be made to put in place a direct link between the Forum and Tove Depot plus all the costings to have a DR site. This will be compared with other DR solutions available such as third party contracts. On way to test this and put something in place short term is to extend the SDC DR contract with a third part. Prices will be obtained for SNC to have short term DR in place and to enable the joint ICT team to test the third party arrangements.	

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C4	01/04/2013	Common	Martin Henry		Corporate Fraud	Lack of corporate governance and control results in fraud from either within or outside the councils.	CBP4 SBP4	Legal & Professional	4	4	16	SFIS (Single Fraud Investigation Service) implementation date post October 2014 - potential emerging risk to be discussed during Q4 in connection with this risk. TUPE advice and guidance being sought		Professionally qualified finance staff. Communication of anti-fraud messages Dedicated fraud teams at SNC and CDC. Anti-fraud trained staff at both authorities Specific corporate fraud resource within the Finance project team at SNC. 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.	2	4	8		Budget and financial strategy committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and risk Committee, Scrutiny Committees	Risk reviewed - no change to risk description or controls.	
C5	01/04/2013	Common	Jo Pitman	Lou Tustian	Managing Data and Information	Poor data quality or lack of relevant information results in poor decision making	CBP4 SBP4	Legal & Professional	4	4	16	Chase Auditor for Draft Report - implement actions as appropriate		Audit and data quality health checks Annual target setting process Annual PMF review Data quality policies in place	3	3	9	Audit reports now received for both SNC and CDC. CDC classified as Low Risk (scoring 1 point) and SNC Low Risk (scoring 2 points)	Audit, data quality checks as part of performance management framework.	Risk reviewed and actions updated. No changes to risk scored for Quarter 1	
C6	01/04/2013	Common	Kevin Lane		Member Decision Making	That members do not have access to information and support to make effective decisions	CBP4 SBP4	Legal & Professional	4	4	16	The new Member reporting template for both Councils now includes the mandatory insertion of legal implications arising from the recommended decision.		Attendance of professionally qualified and experienced officers at all Member decision taking meetings. Council Constitutions. Member Development Programmes. Legislative requirements. Call in processes.	2	4	8	Members continue to have the financial and legal implications included in all reports.	No decision has been made by either Council which is inconsistent with the policy framework or legal requirements	Risk reviewed, no changes required	
C7	01/04/2013	SNC	Jo Pitman	Pat Simpson	Moat Lane Relocation and Change (MLR)	That failure to effectively manage the Moat Lane relocation and organisational change project results in increased costs, reputational damage and loss of opportunity to improve the councils performance and accessibility.	SBP4	Customer Citizen / Service Delivery / Operational	5	4	20	Use a tried and tested project management approach to ensure controlled and transparent planning, specifically in respect of time, cost, quality and communications. The involvement of staff at all levels across the organisation to identify potential issues and opportunities. Engagement with customers to ensure the new service access channels are fit for purpose. A "D-day" time plan for the period immediately after PC (inc weekends) A detailed removal plan comprising (and linking) individual service moving plans		An agreed budget and formal change control to ensure transparency around variances Project Team and delivery group meeting fortnightly Project Board receiving updates Monthly Dedicated communications resource Staff panel and Members group providing sounding boards and solutions to practical issues Fortnightly updates and issues raising with JMT EIA for each new service access approach planned	3	4	12	Change control is in place and working effectively, as is the regular meeting and reporting framework The project is currently without its dedicated communications resource (August 2014) Staff and member panels are providing useful, and the introduction of the regular JMT sub-group is an aid to raising and driving the resolution of issues EIA's will take place as service access plans are developed Post-PC plan to be prepared September 2014 Removal plan and staff guide to moving will be prepared October 2014	Project Board, Senior Sponsor	Risk reviewed and updated No change to scores	
C8	01/04/2013	Common	Martin Henry		Joint Working	Failure to implement and manage joint working results in not meeting savings targets or a decline in performance and/or reputational damage	CBP4 SBP4	Customer Citizen / Service Delivery / Operational	5	4	20	Recruitment to Joint Transformation Team in progress		Leading members and Joint Management Team committed to partnership working and reducing associated costs wherever possible Programme management approach ensures regular review, monitoring and delivery Number of business cases progressing well Initial discussion taking place with other potential partners Financial imperative to deliver savings built into the budget	3	4	12	Recruitment to Joint Transformation Team now complete	Executive, Cabinet, Joint Arrangements Steering Group	Risk reviewed - no change to risk description or controls.	



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C9	01/04/2013	Common	Jo Pitman	Janet Ferris	Communications	Failures to manage internal and external communications results in reputational damage to the council or reduced performance/staff morale	CBP4 SBP4	Reputation / Communication	4	4	16	Social media manager permissions given to all CDC and SNC communications staff, all of whom have at least a basic understanding of process. Communications plan produced for Bicester Sports Village (CDC). Frequent communications meetings held with staff to ensure controls are sufficient. SNC communications staff shortage (sickness and resignation) resolved with phased return to work and appointment of new communications officer.		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	Member Training	SNC members communications panel, CDC member lead for communications, Quarterly performance reporting, CDC annual satisfaction survey includes comprehensive communications section.	No change to risk controls Social media training is now in place for Members as well as media training	
C10	01/04/2013	Common	Jo Pitman	Caroline French	Equalities	Failure to comply with equalities legislation results in legal challenge, costs and reputation damage	All CDC SNC	Legal & Professional	4	4	16	Publish rolling EIA Action Plan for 14/15	Q1	Rolling programme of equality assessments Equality policy and corporate plan in place Equalities requirements to be identified in service plans Equalities training available for staff and members Equalities awareness programme at CDC (knowing our communities)	4	3	12	2013/2014 Self Assessment completed evidencing compliance against Equality Legislation and a refreshed areas if improvement document implemented within the 2014/2015 Equality Action Plan.	Annual update to cabinet and Executive. Quarterly performance reporting. EIA rolling programme and action plan. Steering group to co-ordinate work.	Annual Reports published during Quarter 1 No change to risk scores	
C11	01/04/2013	Common	Jo Pitman	Dave Bennett	Health and Safety	Failure to comply with health and safety legislation leads to injury, sickness, absence and litigation against the council	All CDC SNC	Legal & Professional	4	5	20			Both Councils have policies, procedures, and arrangements in place to mitigate the risks of accidents to staff, members of the public and contractors that may be affected by the Councils actions	3	5	15		Risk reviewed No change to risk description, controls, actions or scores		
C12	01/04/2013	Common	Chris Rothwell	Jackie Fitzsimons	Emergency Planning	That plans are not in place to ensure the council responds effectively in the event of a civil emergency and local residents are not supported. This could result in casualties, unnecessary hardship, impact on the local environment, costs and reputation.	All CDC SNC	Customer Citizen / Service Delivery / Operational	3	4	12	Reviewing arrangements for review and updating and to secure improved coordination of this and the BCP's		Emergency plan reviewed quarterly and on activation.	2	4	8		OCC EP Division have accepted our EP as being sufficient and suitable. OCC have also led on desk top studies of implementation.	Risk reviewed - no change to risk description or controls required.	
C13	30/06/2013	CDC	Andy Preston		CDC Planning (Major Applications)	That planning performance (major planning applications) does not meet the planning inspectorate threshold and is subject to special measures	CBP3	Reputation / Communication	5	4	20	Improvement plan actions continue to be carried out. Developers being encouraged to have as much information ready in advance of the applications being submitted		*Closer management monitoring of progress, including a mid-point review. *Identifying early if there is a need for senior management and political steer. *Agreeing extensions of time with applicants. *Monthly performance review meetings with Head of Service and Director	3	4	12	Controls introduced following development of action plan last year continue to be effective	Head of Service and Director oversight	Improvement measures introduced last year have resulted in sustained level of performance, well above target and well above government criteria	
C14	01/02/2014	Common	Chris Rothwell	Nicola Riley	Safeguarding Children	Failure to follow our policies and procedures in relation to safeguarding children or raising concerns about children and young people welfare	All CBP3 SBP2	Political / Social / Economic	4	5	20	Action plan for Child sexual exploitation and improving the profile of safeguarding within the authority. Section 11 return completed for Oxfordshire and Action Plan established to improve arrangements. New training programme to be established.		Clear lines of responsibility established. Safeguarding Policy and procedures in place Information on the intranet on how to escalate a concern Staff training - at SNC this is being rolled out using new NCC e-training module Safer recruitment practices and DBS checks for staff with direct contact Action plan developed by CSE Prevention group as part of the Community Safety Partnership Local Safeguarding Children's Board Northamptonshire (LSCBN) pathways and thresholds Data sharing agreement with other Partners Attendance at Children and Young People Partnership Board (CYPPB) 2014 Section 11 return being compiled	2	5	10	Senior Management responsibility identified Safeguarding Policy in place and updated. Section 11 return completed	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.	Risk reviewed and no changes to controls or scores required Attendance at CYPPB and the SN Locality Forum where local partners can raise specific areas of concern. Voice of the child is captured in consultation with the youth council and in services provided to young people.	

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C15	01/04/2014	Common	Ed Potter		Waste Framework Directive	Failure to meet new legislation coming into effect on 01/01/2015 will increase cost of recycling for both authorities, reduce service delivery and increase customer dissatisfaction (New Legislation requires LA to collect glass, paper, plastics and metals separately unless it is Technically Economically Environmentally not Practical (TEEP) to do so.)	CBP2 SBP2	Environment	3	4	12	Prove that it is not TEEP to change. Prepare full report for Executive / Cabinet to show current recycling collection is of high quality and that collection systems meets TEEP	01/01/15	Working with other Authorities using the WRAP Route Map. Full report to be presented at Executive and Cabinet in November 2014	1	4	4	Executive / Cabinet report being prepared	Cabinet / Executive Reports	Provided correct processes are followed the likelihood of challenge and action from the regulator (EA) is low	
P1	01/04/2013	SNC	Chris Rothwell		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	SBP2	Customer Citizen / Service Delivery / Operational	3	3	9	CSP Forward Plan established. Regular updates on performance reported to the CSP. New priorities agreed and proposals developed for the PCC Solutions Fund		Elected member representation at CSP Board level. Partnership has a clear strategy with measurable targets: clear and informative performance management document produced each month. Local action plans for multi-agency groups in Towcester and Brackley areas.	2	2	4	Monthly performance reports circulated to officers and members; joint priorities agreed for delivery of Police and Crime Commissioner's Local Solutions Fund.		Elected member representation still at Board level; regular reports included in the Member's Bulletin and annual review at R&D Committee. Priorities align with corporate strategic objective to "Protect our quality of life. Work with partners to ensure our communities are safe." Reduction to core budget has resulted in merger of Towcester and Brackley Joint Action Groups into a single South Northamptonshire Joint Action Group but delivery of service being maintained.	
P2	01/04/2013	Common	Jackie Fitzsimons	Mike Grant	Policing and Crime Commissioner	The Council fails to engage/influence the PCC/ PCP Doesn't add value to partnership work of the Council PCC commissions projects that don't align with strategic objectives of the Council. Loss/reduction of funding to Community Safety. Becomes isolated from PCC. Leading to failure to achieve corporate objectives and loss of reputation	SBP2 CPB2	Political / Social / Economic	3	3	9	PCC action plan results reported via OCC quarterly funding agreed for 2014-15		Effective local Community Safety Partnership meetings Elected member representation at PCP Elected Member representation at Northamptonshire and Oxfordshire Board (OSCP) arrangements. Elected Member representation at CSP Alignment with PCC Policing Plan Elected membership in accordance with agreed PCP steering group policy	2	2	4	PCC performance reported through OCC, template for funding for 2015 onwards to be agreed	PCC subject to scrutiny by PCP. CDC chair of CSP sits on PCP	Risk reviewed , there are no changes to the risk or controls this quarter	
P3	01/04/2013	CDC	Chris Rothwell	Kevin Larnar	CDC Local Strategic Partnership	Failure or reduced effectiveness of the partnership could lead to: • Key partners adopting policies or projects inconsistent with each other, • Opportunities being missed for effective partnership working • Existing LSP sponsored projects failing to deliver their objectives Any of the above could result in wasted resources and reputational damage to the council and the partnership	CBP3	Political / Social / Economic	3	2	6	5 Key Priorities agreed		Board meetings 5x per year. Annual "Reference Group" conference to report to and gain guidance from the wider community CDC officer time dedicated to servicing the partnership and maintaining links between partners Annual "Reference Group" conference to report to and gain guidance from the wider community CDC officer time dedicated to servicing the partnership and maintaining links between partners	2	2	4	Reference Group	May Board meeting hosted by Banbury Town Council. Reference Group conference postponed due to unavailability of keynote speakers. Rescheduled for Oct or Nov. Currently the LSP is kept 'ticking over'. It does not have a CDC co-ordinator at a sufficiently senior level to ensure appropriate breadth of agenda and continuing senior-level engagement by partners.		
P4	01/04/2013	CDC	Jackie Fitzsimons	Mike Grant	CDC Community Safety Partnership	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	CPB2	Political / Social / Economic	3	3	9	CSCP meeting quarterly, funding secured 2014-15 OSCB CSE plan adopted PCC priorities met		CSCP meetings attended, funding secured 2014-15 OSCB business plan approved PCC priorities updated	2	2	4	Funding agreed for 2015/16, CSCP to cease funding police posts	PCC / OCC to audit spending, CSP reports to OSCP an subject to CDC ,PCC and PCP scrutiny	Risk reviewed , there are no changes to the risk or controls this quarter	
P5	01/04/2013	CDC	Adrian Colwell		Oxfordshire LEP	The partnership doesn't add value to the work of the council, undertakes projects that don't align with strategic objectives or the council is unable to influence the partnership's agenda.	CBP1	Political / Social / Economic	4	4	16			Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement	3	4	12	Officers have begun regular series of liaison meetings with OLEP. Board Members from CDC to secure alignment of work streams		Through OLEP Cherwell has joined with South Oxfordshire to form a new LEADER programme to support business growth in the rural parts of the District.	

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P6	01/04/2013	Common	Chris Rothwell		Health and Wellbeing Partnerships/Boards	Failure of the new partnership arrangements results in the councils not being able to meet its safe and healthy objectives.	CBP3 SBP4	Political / Social / Economic	3	3	9	Board and Locality Forum both meet quarterly. Healthier Northamptonshire programme has been set up to support priorities. Increased focus on integration of Health and Social Services and on Transitional funding.		Engagement with CC structures. NB The structures are different in each county. Oxfordshire has a clear structure and acknowledges the need for the DC's direct contribution. However, greater Supporting People budget risk exists which is of more relevance to CDC. SNC engagement has commenced but there is a reliance on each District to set up its local forum with no clear guidance on the contribution mechanism of that to the county structure.	3	3	9		Spending in localities is determined by the Board. There is limited opportunity for Districts to directly influence.	Risk Description and controls reviewed - no changes required. No change to risk scores.		
P7	01/04/2013	Common	Adrian Colwell		South Midlands LEP (SEMLEP)	The partnership doesn't add value to the work of the councils, undertakes projects that don't align with strategic objectives or the council is unable to influence the partnership's agenda.	CBP1 SBP4	Political / Social / Economic	4	4	16			Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement	3	4	12	Both CDC & SNC participate in all SEMLEP activities. Both Councils have supported the rollout of 'Velocity' to support business growth		Participation continues. Under auspices of SEPLEP, South Northants has become a full Member of the Mid MK & Aylesbury LEADER Programme with direct access to funding to support rural eco growth		
P8	01/04/2013	SNC	Adrian Colwell		SNC Joint Planning Unit (JPU)	Failure to effectively manage the council's partnership with the JPU results in a failure to adopt a sound local plan. This relates to strategic risk s10 as without a sound local plan the long term strategic objectives of the council will be jeopardised and there is a potential negative impact on the council's reputation.	SBP1	Political / Social / Economic	4	4	16			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	SNC participated in the April re-examination of the JCS. SNC is now Chair of JPC and provides legal advice, finance advice and clerking to meetings of the JPC	Cabinet and Planning Policy and Regeneration Strategy Committee	JPC meetings and associated Local Development Scheme to oversee work of JPU are up to date		