

Ref No	SNC or CDC	Owner	Updater	Risk Name	Risk Description	Priority	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	UPDATE THIS FOR Q2 REVIEW	Date Closed If applicable
S1	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 impact on both Councils' MTFP of reduced revenue grant support has been the subject of reports to Executive and Cabinet		<p>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</p> <p>Good networks established locally, regionally and nationally</p> <p>National guidance interpreting legislation available and used regularly</p> <p>Members aware and are briefed regularly including lead members/portfolio holders in one to one's with JMT members.</p> <p>JMT undertake policy oversight role</p>	3	4	12	Executive and Cabinet away days have taken place in Q2 to brief members on new policy and legislative changes and their impact on business planning	No legal challenge has been made to any decision by either Council alleging misapplication of the law	This is an on-going risk which, as in previous quarters, has been mitigated by appropriate briefing of members ahead of decision taking. The away days for Executive and Cabinet have particularly addressed this risk in a business planning context.	
S2	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		<p>Highly professional, competent, qualified staff</p> <p>Good networks established locally, regionally and nationally</p> <p>National guidance interpreting legislation available and used regularly</p> <p>Members aware and are briefed regularly</p> <p>Participate in NFO and OTA work streams</p> <p>Programme management approach being taken</p>	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. New Head of Finance and Procurement has started and has settled in well getting to grips with a number of issues. The fixed term appointment appears to have given a greater level of stability to the team.	
S3	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			<p>Treasury management policies in place</p> <p>Investment strategies in place</p> <p>Regular financial and performance monitoring in place</p> <p>Independent third party advisers in place and different ones used at each Council</p> <p>Regular bulletins and advice received from advisers</p> <p>Fund managers in place</p> <p>Property portfolio income monitored through financial management arrangements on a regular basis</p> <p>Experienced professionally qualified staff employed at both Councils.</p> <p>Asset Management review and conclusions expected to be reported at both Councils by the end of the year.</p>	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 change to risk description or controls	
S4	SNC	Chris Stratford		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.	SBP4	Political / Social / Economic	4	5	20	Shared Risk with Towcester Regeneration Limited (TRL)		<p>Towcester Regeneration Limited (TRL)/Morgan Sindall Construction (MSC) have engaged a Highways Consultancy (Curtin's) to resolve these issues with the Northamptonshire County Council Highways Authority and the Highways Agency.</p>	4	5	20		These are under the complete control of TRL/MSC.	The programme, overall, remains on track. And the contractor has confirmed practical completion of the building will be 2 nd March. At this time, even allowing for the previous and current issues concerning the S278, it is not anticipated that a significant over run will occur. Therefore, the 2 nd March is the date by which the scheme will be completed, at this time.	
S5	SNC	Adrian Colwell		SNC Managing Growth and capitalising on opportunities	<p>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).</p> <p>The ultimate impact is long term and impacts upon the strategic objectives of the council and quality for life for local residents and communities.</p>	SBP1 SBP3	Political / Social / Economic	4	4	16	JCS approved at JPC Examination resumed in April 2014		<p>Master planning process</p> <p>Core strategy</p> <p>Economic development strategy</p> <p>Inward investment plan</p>	2	3	6		Planning Policy and Regeneration Strategy Committee	Report is now published JPC to consider in December Masterplan sites are being implemented	

Ref No	SNC or CDC	Owner	Updater	Risk Name	Risk Description	Priority	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	UPDATE THIS FOR Q2 REVIEW	Date Closed If applicable
S6	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	Petition submitted to Parliament on 15 May 2014. Negotiations continue with HS2 Ltd on mitigation required - including 03/09/2014 meeting		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 have met with HS2 on issues ahead of the Parliamentary Bill hearing SNC attended MP visit on HS2 matters to South Northants.	
S7	Common	Natasha Barnes and Liz Crussell		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	4	3	12	Lagan upgrade taking place at SNC	Project governance, performance management reporting, customer insight reporting.	SNC staffing issues are being closely monitored as losing 2 FTE from start November, and then .91 from 7.2 FTE operational CSO by start of December. Posts are currently being advertised and we intend recruiting for a start date early December. However to train these staff as well as continue to work on delivery for The Forum will have a detrimental effect on performance. It may be possible to use CDC resources as an interim measure and this will be explored. Probability scores have increased to reflect this position	
S8	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	Currently considering LDO for whole development area with AVDC. Utilities investment committed by MEPC		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.	Liaison with MEPC and BRDC continues	
S9	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	Issues consultation completed. Review of confines underway. Parish Councils involved. GVA Employment Land Study complete		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		Cabinet and Planning Policy and Regeneration Strategy Committee	Local Plan figures and policies are determined by the Joint Core Strategy which as yet is unadopted but due in December 2014. Preparatory work continues	
S10	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			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		Project governance LSP oversight, Quarterly reporting Annual Report	Improved multi-agency engagement now in place and 2014/15 priorities have been established. Wider agency involvement from the voluntary, faith and education sectors underway. Several new projects in place.	

Ref No	SNC or CDC	Owner	Updater	Risk Name	Risk Description	Priority	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	UPDATE THIS FOR Q2 REVIEW	Date Closed If applicable
S11	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		Executive and Full Council	Plan resumes, Examination on 09/12/14. All milestones are met in preparing modifications	
S12	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	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 and OPPO are actively engaged in addressing the issues arising through the preparation of the SHMA.	3	4	12	Impact of SHMA led to modifications to increase Local Plan to 22,800 (2011-2031)	SPIP	This is now complete	30/09/2014
S13	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 2	
S14	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	Planning Permission achieved in June 2014 Discussion commenced regarding construction contract award to deliver the building by Autumn 2015		Project manager in lead role Project Board Legal agreements in place Joint venture with the developer (underpinned by legal agreements) Monthly performance / projects reports Resources and technical advice provided as part of the developer agreement	3	3	9	Project delayed due to price negotiations with contractor and request to Council for additional funds. Start on site now scheduled for Jan 2015.	Project Governance	Risk reviewed - no change to risk scores	
S15	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	S106 and land purchase completed on 8 and 11 August 2014 JR period has passed and we are preparing an implementation plan.	Project Governance	Project deliverables on track at Q2 No changes to risk controls or scores	
S16	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 Revised terms of reference of the CPN agreed and to commence in 14/15		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		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 Additional diagnostic elective surgery and outpatient services offered. Specialist surgery moved to Oxford.	

Ref No	SNC or CDC	Owner	Updater	Risk Name	Risk Description	Priority	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	UPDATE THIS FOR Q2 REVIEW	Date Closed If applicable
S17	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	01/09/2014	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 or rating. As business cases are developed HR and legal advice is sought	
S18	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	Corporate Finance Team support Strong Contract Management Weekly project reviews Customer engagement		<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 H & S procedures and CDM 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 	The project controls for finance have been improved through a process of the Head of Finance and the Regeneration and Housing Manager working collaboratively to develop a more 'user friendly' reporting and budget monitoring system. The Project Board continue to meet fortnightly and liaison with the HCA continues on a weekly basis.	
C1	Common	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	Business Continuity Strategy refreshed during Quarter 4 ICT arrangements now complete		Business continuity strategy in place All services prioritised and recover plans reflect the requirements of critical services ICT disaster recovery arrangements in place JMT lead identified Incident management team identified All services undertake annual business impact assessments	4	3	12	Audit and business continuity plan refresh Quarter 4	Service review and completion of plans underway		
C2	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	Achieved ISO 22301 Business Continuity Plan updated		BCP Plan Disaster recovery arrangements (CDC) Recovery site (CDC) Back up of systems Process and standards (compliance regime)	3	3	9	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 Q3.		
C3	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	Achieved ISO 22301		BCP Plan Disaster recovery arrangements (Limited) Back up of systems Process and standards (compliance regime)	3	4	12	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.		

Ref No	SNC or CDC	Owner	Updater	Risk Name	Risk Description	Priority	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	UPDATE THIS FOR Q2 REVIEW	Date Closed If applicable
C4	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 and 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, although proposals are being progressed for a shared fraud team to deal with residual corporate risks once Housing Benefit fraud detection transfers to the DWP.	
C5	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	Audit reports received - review recommendations and implement as appropriate		Audit and data quality health checks Annual target setting process Annual PMF review Data quality policies in place	3	3	9	Review of performance framework to be undertaken during quarter 3	Audit, data quality checks as part of performance management framework.	No change to risk controls or scores at this time	
C6	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	Member reporting template for both Councils includes mandatory insertion of legal implications arising from the recommended decision.		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	Requirement for JMT member sign off of Committee reports has been reinforced at JMT	No decision has been made by either Council which is inconsistent with the policy framework or legal requirements	There was an instance at SNC of a Committee decision being taken other than on a fully informed basis because some key information was omitted from a report that was not signed off by a JMT member. It is appropriate to increase the score at this stage pending the further mitigation referred to in the update on actions having proven effect.	
C7	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 Council's 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 Detailed planning for the post PC period taking an approach that can flex according to the specific dates once they are known. Identification of BAU activities potentially at risk during relocation, and preparing a risk approach that meets the corporate needs of the Council	3	4	12	Change control is in place and working effectively, as is the regular meeting and reporting framework The project has successfully recruited a new dedicated communications resource which is proving effective. Staff and member panels are providing useful, and the introduction of the regular JMT subgroup is an aid to raising and driving the resolution of issues, and cementing the link between the build and relocation timetables. EIA's will take place as service access plans are developed Post-PC plan is currently in development in liaison with all workstream leads and JMT, highlighting all the activities that must be done in the period between practical completion and the council moving into the building. All BAU activities and performance reporting requirements scheduled for the relocation period are also being collated in order that the Project Board can take a view on what is the highest priority to protect during the short disruption period. Removal plan and staff guide to moving will be prepared October 2014. The loss of the Business Change project manager is being addressed with a recruitment under way now. Additional resources for back scanning are being recruited to ensure the paper mountain is cleared before relocation.	Project Board, Senior Sponsor	Risk reviewed and updated. New controls introduced around planning in detail for the relocation period. Resource reviews have led to a recruiting drive for additional back scanning resources. The resource gap left by the business change project manager is currently being filled by the rest of the team. No change to scores	

Ref No	SNC or CDC	Owner	Updater	Risk Name	Risk Description	Priority	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	UPDATE THIS FOR Q2 REVIEW	Date Closed If applicable
C8	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			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		Executive, Cabinet, Joint Arrangements Steering Group	Risk reviewed - no change to risk description or controls.	
C9	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	Member Training		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	Social media training for Members has now taken place	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	
C10	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	2013/2014 Self Assessment completed evidencing compliance against Equality Legislation and a refreshed areas of improvement document implemented within the 2014/2015 Equality Action Plan.	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	Planning taking place for a specific Knowing Your Communities event on Dementia Awareness scheduled for Q3. Q2 Equality Actions monitored through the Equality Scorecard within Performance Matters.	Annual update to Cabinet and Executive. Quarterly performance reporting. EIA rolling programme and action plan. Steering group to co-ordinate work.	Risk reviewed and no changes to controls or scores required	
C11	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	Full review of policies and procedures across both CDC and SNC		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	Review of current SNC/CDC policies/procedures with a view to creating a single Policy/Procedure		Both organisations will continue to work within their current procedures until the process is complete. Risk reviewed No change to risk description, controls, actions or scores at this time	
C12	Common	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.	No change except exercise planned for Quarter 3 and regular update process in place for manual	
C13	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	Developers encouraged to have as much information ready in advance of the applications being submitted Controls introduced following development of action plan continue to be effective		*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	No additional actions required.	Head of Service and Director oversight	The improvement measures introduced last year continue to show sustained level of performance, well above target and well above government criteria	

Ref No	SNC or CDC	Owner	Updater	Risk Name	Risk Description	Priority	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	UPDATE THIS FOR Q2 REVIEW	Date Closed If applicable
C14	Common	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 and Action Plan established to improve arrangements. New training programme to be established. Senior Management responsibility identified. Safeguarding Policy in place and updated.		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	New Safeguarding lead in place. Section 11 for SNC completed CDC underway deadline 1/12/14. New simplified training pathway being established for all staff using some e-training, some face to face.	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 change required	
C15	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	01/01/2015	Working with other Authorities using the WRAP Route Map. Full report to be presented at Executive and Cabinet in November 2014	1	4	4	Report for Exec & Cabinet underway. Following the WRAP Route map	Cabinet / Executive Reports	Provided correct processes are followed the likelihood of challenge and action from the regulator (EA) is low	
P1	SNC	Jackie Fitzsimons		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 (monthly) 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			Funding from Police and Crime Commissioner for 14-15 is set against performance outcomes which were agreed in consultation with SNC ; Approval of funding and work streams by Budget and Financial Strategy Committee in Q1; performance monitoring also carried out quarterly and signed off by SNC and PCC office	
P2	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, template for funding for 2015 onwards to be agreed		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 has informed CXs that funding for 2015/16 will be the same as for 14/15	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	CDC	Nicola Riley	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 Conference will be combined with 12 November Parish Liaison Meeting.	Reference Group	Currently the LSP is kept 'ticking over'. It does not have an active CDC sponsor at a sufficiently senior level to ensure appropriate breadth of agenda and continuing senior-level engagement by partners.	

Ref No	SNC or CDC	Owner	Updater	Risk Name	Risk Description	Priority	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	UPDATE THIS FOR Q2 REVIEW	Date Closed If applicable
P4	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	Agree funding for 2015/16		CSCP meetings attended, funding secured 2014-15 OSCB business plan approved PCC priorities updated	2	2	4	Attendance at CSCP meetings. Funding agreed 2014-15 OSCB business plan approved and PCC priorities updated	PCC / OCC to audit spending, CSP reports to OSCB an subject to CDC ,PCC and PCP scrutiny	Risk reviewed , there are no changes to the risk or controls this quarter	
P5	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	Officers commenced regular series of liaison meetings with OLEP. Board Members from CDC to secure alignment of work streams		Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement	3	4	12			Work continues on new LEADER programme to support business growth in the rural parts of the District	
P6	Common	Nicola Riley		Health and Wellbeing Partnerships /Boards	Failure of the new partnership arrangements results in both 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 - note structures are different in each County. Oxfordshire has a clear structure and acknowledges the need for the District Council'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	SNC Health and Wellbeing forum established and well received.	Spending in localities is determined by the Board. There is limited opportunity for Districts to directly influence.	Risk reviewed and no change required	
P7	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	Participate in all SEMLEP activities. Both Councils support of 'Velocity' rollout to support business growth		Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement	3	4	12			Implementation of LEADER Programme has begun	
P8	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	SNC now JPC Chair and provides legal advice, finance advice and clerking to meetings of the JPC		Partnership governance arrangements in place Working groups to support technical issues are in place (with both member and officer input) Retained QC for legal advice	3	3	9		Cabinet and Planning Policy and Regeneration Strategy Committee	JPC meetings and associated Local Development Scheme to oversee work of JPU are up to date	