

Risk Register 2012/2013

Risk Heading	Owner	Council	Description	Risk Assessment Agreed 01/04/2012				Controls	Quarter 1 : 30 June 2012				Net Risk Direction of Travel	Comments this quarter
				Gross Risk Rating	Gross RAG	Net Risk Rating	Net RAG		Gross Risk Rating	Gross RAG	Net Risk Rating	Net RAG		
Strategic Risks														
RS01 : Policy and Legislative Change	Kevin Lane	CDC and SNC	Failure to identify, adapt and respond to policy change leads to: <ul style="list-style-type: none"> • Missed opportunities (for example funding, pilots) • Loss of reputation • Legal impacts (failure to implement new policy) • Negative impacts on service users and customers • Poorly managed change / implementation and potential impacts on business continuity 	High 20	R	Medium 8	A	RS01a : Highly professional, competent, qualified staff RS01b : Good networks established locally, regionally and nationally RS01c : National guidance interpreting legislation available and used regularly RS01d : Members aware and are briefed regularly RS01e : JMT undertake policy oversight role	High 20	R	Medium 8	A	⇒	Localism Act briefing notes to Members and Officers. LGRR reports to Executive/Cabinet are recent examples of mitigating steps.
RS02 : Local Government Resources Review	Karen Curtin	CDC and SNC	Lack of preparation for the implementation of the significant changes associated with the Local Government Resources Review could leave the Councils financially disadvantaged. The term Local Government Resources Review is loosely used to describe changes to: <ul style="list-style-type: none"> - Council Tax benefit (Council Tax localisation) - Housing Benefit (Universal Credit) - Council Tax discounts - Business rates localisation - New Homes Bonus - Freedoms and flexibility contained within the Localism Act and further legislative powers anticipated in relation to planning fees etc. 	High 20	R	Medium 8	A	RS02a : Highly professional, competent, qualified staff RS02b : Good networks established locally, regionally and nationally RS02c : National guidance interpreting legislation available and used regularly RS02d : Members aware and are briefed regularly RS02e : Participate in NFO and OTA workstreams RS02f : Programme management approach being taken	High 20	R	Medium 8	A	⇒	The Local Government Resources Review (LGRR) project team is managing these risks and reporting regularly to Members
RS06 : Financial Viability (Should be considered alongside S2 Local Government Resources Review)	Karen Curtin	CDC and SNC	Failure to plan for the impact of local government finance reform, unforeseen external financial impacts, emerging government policy and increased service demand reduces the medium and long term financial viability of the Councils.	High 16	R	Medium 8	A	RS06a : Highly professional, competent, qualified staff RS06b : Good networks established locally, regionally and nationally RS06c : National guidance interpreting legislation available and used regularly RS06d : Robust medium term revenue plans RS06e : Robust budget process RS06f : Scenario modelling carried out regularly RS06g : Internal officer/member working groups regularly consider information and emerging intelligence RS06h : Members aware and are briefed regularly RS06i : Participate in NFO and OTA discussions	High 16	R	Medium 8	A	⇒	The financial implications of LGRR and the Medium Term Financial Strategy (MTFS) are being modelled and will be reported to Members in Oct 12 as part of the MTFS Update
RS07 : Customer Service Improvement	Jacqui Hurd	CDC and SNC	Performance and costs of both CSC teams will be negatively affected if robust, attractive and user friendly online and self service options are not available. Furthermore customers who do not have access to the web may have poorer access to services. This failure to increase internet usage or self service and to improve customer service processes could result in: <ul style="list-style-type: none"> • higher costs • decreased customer satisfaction • impact on the councils' reputations • Increased 'failure' demand (e.g. people calling back repeatedly, or calling/visiting where the web or phone service has failed) 	High Medium 12	A !	Medium 9	A	RS07a : CDC – customer service standards in place (e.g. voicemail) RS07b : Web – both councils redesign undertaken and on-going development is undertaken – this includes online forms and payment RS07c : Managers should discuss service changes with customer services to mitigate any negative impact on customer service RS07d : On-going review of the web (SNC you said we did page – noting actions taken from customer feedback) RS07e : Customer communications in local / residents newsletters RS07f : Customer complaints process RS07g : JMT highlight service changes to customer service teams to ensure web/service team can deliver	High Medium 12	A !	Medium 9	A	⇒	Risk reviewed and controls in place. Risk remains unchanged
RS011 Deprivation & Health Inequalities	Ian Davies	CDC	The risk in not breaking the cycle of deprivation and addressing inequalities across the District is that the life opportunities of residents in the greatest need will not be improved. As a result the reputation of the Council will suffer. The risk is particularly acute in areas such as the Neithrop, Ruscote and Grimsbury wards in Banbury where there is a high level of deprivation as measured by the Government's indices of multiple deprivation.	High Medium 12	A !	Medium 6	A	RS.11a Long term commitment to support local people and communities as many issues can only be addressed on this basis RS.11b Multi agency actions with clear and common objectives Additional funding from Government grants to supplement current resources RS.11c LSP focus on Brighter Futures in Banbury programme RS.11d Contingency fund made available in CDC budget RS.11e Programme co-ordination role in place RS.11f Quarterly performance management in place	High Medium 12	A !	Medium 6	A	⇒	Ongoing multi agency activities in the targeted wards. All local government tiers involved. Review undertaken of priority actions and new multi agency opportunities. Oxfordshire County Council's Early Intervention Hub now integrated into the programme
RS12 Bicester Eco Town	Ian Thompson	CDC	Failure to deliver the project results in loss of economic benefit, local dissatisfaction and reputational damage to the council The risks are that national and local policy support and resources will be inadequate to support the development of the NW Bicester Eco-Town. As a result the Council may fail to fully exploit the Eco-Town as an opportunity to develop a centre of excellence in terms of sustainable living. Likewise the programme aims to increase eco-business opportunities and failure to manage effectively could result in lack of new business development or alienation of current businesses.	High 16	R	Medium 9	A	RS.12a Planning policy development through Local Plan RS.12b Eco Town Project plan & related partnerships working with private & public sector partners RS.12c Programme Board in place RS.12d Lead Member in place	High 16	R	Medium 9	A	⇒	Demonstration projects are all underway. Future of Demo building and/or demolition needs to be resolved before end of 2012. Poor response on some cycle initiatives but also a lack of publicity; review required to ensure scheme meets targets. Proposals being developed to replace the insulation scheme when CERT funding ends in October and "green deal" is announced

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				RS13 Local Plan	Adrian Colwell	CDC	Failure to ensure sound local plan is submitted by 27/03/13 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.		High 20	R	Medium 9	A !		
RS14 : Bicester Town Centre	Ian Thompson	CDC	Failure to deliver the project results in loss of economic benefit, local dissatisfaction and reputational damage to the council This could result in reputational damage Failure to realise economic opportunities Reputational damage Increased costs (if failure to deliver within the programme timescales)	High Medium 12	A !	Medium 6	A	RS14a : Project manager in lead role RS14b : Project board RS14c : Legal agreements in place RS14d : Joint venture with the developer (underpinned by legal agreements) RS14e : Monthly performance / projects reports RS14f : Resources and technical advice provided as part of the developer agreement	High Medium 12	A !	Medium 6	A	⇒	Construction works progressing well and on time in spite of adverse weather conditions. Planning classifications for the retail units to be reviewed to give flexibility on interest. A name for the Centre is urgently required to progress marketing of the units. Scheme Architects have provided a proposal for the Bicester Town Centre Civic Building for discussion.
RS15 Horton Hospital	Ian Davies	CDC and SNC	The risks to maintaining the Horton General Hospital (HGH) as a facility that meets community aspirations for local health provision are the on going affordability of a new consultant delivered service model. Further risks associated with this arise from the funding changes from the health sector reforms.	High 16	R	High Medium 12	A !	RS15a : Support to the Oxford University Hospitals Trust (OUHT) and emerging GP commissioning structure to maintain services RS15b :Providing evidence of deliverability of consultant delivered services elsewhere RS15c : Gaining consensus locally that this is important RS15d : Ensuring local councillors are briefed and engaged to play a community leadership role RS15e : 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.	High 16	R	High Medium 12	A !	⇒	Community Partnership Network in transition to examine a range of new roles regarding communication and public engagement in North Oxfordshire whilst the health and social care sector reforms are progressed. The Horton General Hospital still a very important part of that along with new clinical commissioning arrangements and changes in social care. Ongoing budgetary pressures at the Horton leading to further service changes but based on established principles through the Better Healthcare Programme.

Indicated by:-		
High		Requires Active Management High impact / High Probability: this risk requires active management to manage down and maintain the exposure at an acceptable level. Escalate upwards.
High Medium		Contingency Plans Required A robust contingency plan is required, together with early warning mechanisms to detect any deviation from the profile. Escalate upwards.
Medium		Monitoring Required This risk may require some additional risk mitigation to reduce the likelihood (if it can be done cost effectively), but good housekeeping to ensure that the impact remains low should be adequate. Monitor to identify any change in the risk.
Low		Review Periodically This risk is unlikely to require further mitigating actions, but the status should be reviewed quarterly to ensure that conditions have not changed.
⇒		Risk rating stayed the same Last quarter compared to this quarter
		Risk rating improved Performance increased (risk rating decreased) Last quarter compared to this quarter
		Risk rating worsened Performance declined (risk rating increased) Last quarter compared to this quarter

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Corporate Risks														
RC01 Business Continuity	Gavin Halligan-Davis	CDC and SNC	<p>Loss of ICT/Access to Facilities/Loss of Staff/Resources or other continuity event leads to:</p> <ul style="list-style-type: none"> Failure of councils to deliver services Failure of councils to recover services within a reasonable time limit Failure of councils to recover services <p>This could result in:</p> <ul style="list-style-type: none"> Loss of income or increased costs Negative impact on customers Danger to staff/employees 	High 20	R	Medium 9	A	<p>RC01a : Business continuity strategy in place</p> <p>RC01b : All services prioritised and recover plans reflect the requirements of critical services</p> <p>RC01c : ICT disaster recovery arrangements in place</p> <p>RC01d : JMT lead identified</p> <p>RC01e : Incident management team identified</p> <p>RC01f : All services undertake annual business impact assessments</p>	High 20	R	Medium 9	A	↔	Business Continuity and Business Recovery systems in place
RC02 Member Decision making	Kevin Lane	CDC and SNC	The making of unlawful and/or ineffective decisions by Members due to lack of necessary information and/or support	High16	R	Medium 8	A	<p>RC02a : Attendance of professionally qualified and experienced officers at all Member decision taking meetings.</p> <p>RC02b : Council Constitutions.</p> <p>RC02c : Member Development Programmes.</p> <p>RC02d : Legislative requirements.</p> <p>RC02e : Call in processes.</p>	High16	R	Medium 8	A	↔	Shared Democratic/Elections Team support levels dependent on maintaining current staffing levels
RC04 Joint Working	Jo Pitman	CDC and SNC	<p>Failure to implement and manage joint working – resulting in:</p> <ul style="list-style-type: none"> Reduced performance Failure to realise savings / benefits Negative impact on reputation 	High 20	R	High Medium 12	A !	<p>RC04a : Leading members and Joint Management Team committed to partnership working and reducing associated costs wherever possible</p> <p>RC04b : Programme management approach ensures regular review, monitoring and delivery</p> <p>RC04c : Number of business cases progressing well</p> <p>RC04d : Initial discussion taking place with other potential partners</p> <p>RC04e : Financial imperative to deliver savings built into the budget</p>	High 20	R	High Medium 12	A !	↔	
RC05 Communications	Janet Ferris	CDC and SNC	<p>Failure to proactively manage internal and external communications leads to:</p> <ul style="list-style-type: none"> Service changes not being effectively managed Organisational changes not being effectively implemented Service failure Increased complaints Reduced performance Reduced service take up <p>This could result in:</p> <ul style="list-style-type: none"> Reputational damage Breach of communications codes of conduct (e.g. purdah) Wasted resource dealing with increased / failure demand or complaints 	High 16	R	Medium 6	A	<p>RC04a : Leading members and Joint Management Team committed to partnership working and reducing associated costs wherever possible</p> <p>RC04b : Programme management approach ensures regular review, monitoring and delivery</p> <p>RC04c : Number of business cases progressing well</p> <p>RC04d : Initial discussion taking place with other potential partners</p> <p>RC04e : Financial imperative to deliver savings built into the budget</p>	High 16	R	Medium 6	A	↔	Risk reviewed and controls in place. Risk remains unchanged
RC06 Equalities	Gavin Halligan-Davis	CDC and SNC	<p>Failure to comply with equalities legislation leads to:</p> <ul style="list-style-type: none"> Legal challenge Customer complaints Lack of access to council services <p>This could result in negative impact on community and / or service users, reputational damage or legal costs.</p>	High Medium 12	A !	Medium 9	A	<p>RC06a : Rolling programme of equality assessments</p> <p>RC06b : Equality policy and corporate plan in place</p> <p>RC06c : Equalities requirements to be identified in service plans</p> <p>RC06d : Equalities training available for staff and members</p> <p>RC06e : Equalities awareness programme at CDC (knowing our communities)</p>	High Medium 12	A !	Medium 9	A	↔	Risk reviewed and controls in place. Risk remains unchanged
RC07 ICT insource	Gareth Jones	CDC and SNC	<p>Failure of ICT services resulting from the insource project and any outstanding issues in terms of the forward plan (i.e. the process of embedding the new service).</p> <p>This could result in loss of critical systems, reduced capacity and impact on existing systems.</p> <p>This risk will be retained throughout the period of harmonisation and implementation until the new shared service becomes business as usual.</p>	High 16	R	Medium 9	A	<p>RC07 : All business systems have been transferred and are controlled by the shared team</p> <p>RC07b : Knowledge transfer</p> <p>RC07c : Documentation of processes</p> <p>RC07d : Contracts novated (i.e. systems provided by third parties are now 'owned' by the shared team)</p>	High 16	R	Medium 9	A	↔	<p>Good processes and practices established for CDC are being extended and improved in the context of the wider CDC / SNC shared IT Service.</p> <p>Audit against the ISO270001 Information Security Standard is scheduled for July.</p>

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RC08 Health & Safety	Dave Bennett	CDC and SNC	Failure to comply with health and safety legislation leads to injury, sickness, absence and litigation against the council	High 20	R	High Medium 15	A !	RC08a : 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	High 20	R	High Medium 15	A !	↔	The level of risk to the Councils has not altered since the last review, but it is important that the future health and safety provision across both organisations is considered so that long term Policies and Procedures can be developed to ensure that both organisations operate to the same standard. Further to this the HSE intend to undertake a review of the Waste Services Section at SNC in August 2012 as part of their on-going nationwide review of Waste Services
RC09 Emergency Planning	Dan Rowson	CDC and SNC	The Emergency Plan is a document that formulates the Councils responses to major incidents around the district and across its boundaries.	High Medium 12	A !	High Medium 12	A !	RC09a : Emergency plan reviewed quarterly and on activation. Currently being reviewed to integrate joint working arrangements.	High Medium 12	A !	High Medium 12	A !	↔	Plan continually reviewed with TVLRF. Plan recently changed to a SNC and CDC joint plan. This has been presented to and accepted by JMT.
RC11 Capital Investment & Asset Management	Karen Curtin	CDC and SNC	Poor investment and asset management results in the Councils not maximising financial returns or losing income.	High 20	R	High Medium 12	A !	RC11a : Treasury management policies in place RC11b : Investment strategies in place RC11c : Regular financial and performance monitoring in place RC11d : Independent third part advisers in place and different one used at each council RC11e : Regular bulletins and advice received from advisers RC11f : Fund managers in place at CDC RC11g : Property portfolio income monitored through financial management arrangements on a regular basis RC11h : Experienced professionally qualified staff employed at both councils	High 20	R	High Medium 12	A !	↔	This is managed on a daily basis with regular monitoring reports being presented to management and members.
RC12 ICT Systems Failure	Gareth Jones	CDC and SNC	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).	High16	R	Medium 9	A	RC12a : BCP Plan RC12b : Disaster recovery arrangements RC12c : Recovery site RC12d : Back up of systems RC12e : Process and standards (compliance regime)	High16	R	Medium 9	A	↔	Disaster Recovery arrangements in place and under regular monitoring
RC13 Corporate Fraud	Karen Curtin	CDC and SNC	Lack of corporate governance and control along with the current economic climate leads to an increase in fraudulent activity faced by the Council.	High16	R	Medium 8	A	RC13a : Professionally qualified finance staff RC13b : Communication of anti-fraud messages RC13c : Dedicated fraud teams at SNC and CDC RC13d : Anti-fraud trained staff at both authorities RC13e : Specific corporate fraud resource within the Finance project team at SNC RC13f : Fraud risk assessments carried out periodically RC13g : Audit Committee at SNC RC13h : Accounts, Audit and Risk Committee at CDC RC13i : Benefit fraud campaigns advertised RC13j : Benefit fraud identification and convictions communicated to the local press RC13k : Internal controls processes and procedures (segregation of duties, checking of information etc.) RC13l : Periodic checking of data (single person discounts, Audit Commission data matching etc.) RC13m : Membership of National Anti Fraud Network	High16	R	Medium 8	A	↔	Employees and Committee members are aware that identifying and responding to fraud should be done through the responsible financial officer. This is reinforced by the regular update on anti-fraud and corruption issues, risk management and whistle blowing updates. The Anti-Fraud, Corruption and Bribery Policy, the Money Laundering Policy and the Whistle Blowing Policy have been updated to take account of the joint working arrangements and these policies are available to view on the Councils intranet sites.
RC14 Managing Data & Information	Gavin Halligan-Davis	CDC and SNC	Lack of effective data quality and information governance results in: • Poor quality information underpinning decision making • Lack of understanding regarding performance issues • Poor quality corporate governance • Lack of transparency/accountability to both the members and the public This could result in: • Legal challenge • Reputational damage • Increased costs, waste or reduced performance	High 16	R	Medium 9	A	RC14a : Audit and data quality health checks RC14b : Annual target setting process RC14c : Annual PMF review RC14d : Data quality policies in place	High 16	R	Medium 9	A	↔	Risk reviewed and controls in place. Risk remains unchanged

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Partnership Risks														
RP04 Cherell Local Strategic Partnership	Kevin Lerner	CDC	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	Medium 9	A	Medium 6	A	RP04a : Annual self assessment of performance RP04b : Annual "Reference Group" conference to report to and gain guidance from the wider community RP04c : CDC officer time dedicated to servicing the partnership and maintaining links between partners	Medium 9	A	Medium 6	A	⇒	
RP05 CDC safer Communities Partnership	Mike Grant	CDC	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 • Duplication of work • Less effective / efficient work • Less public confidence • Failure to achieve partnership objectives	Medium 9	A	Low 4	G	RP05a : CSCP effective meetings RP05b : Elected member representation at district and county groups RP05c : Continued support of JATAC RP05d : CSCP strategy RP05e : CSCP action plan compliance	Medium 9	A	Low 4	G	⇒	Risk reviewed there are no changes to the risk this month
RP06 Local Enterprise Partnerships Oxford Region	Adrian Colwell	CDC	The risk is the failure of the Local Enterprise Partnerships to establish themselves as effective bodies locally and in relations with National Government. The consequences may be reduced funding for the local area and failure to fully exploit economic growth, development and infrastructure provision opportunities. A related risk is the ability/inability of Cherwell District Council to influence the work of the Partnerships to the benefit of the District.	High 16	R	High Medium 12	A !	RP06a : Partnership Work Programme / Forward Plan RP06b : Resource provision for Partnership work. Senior management and Member Involvement	High 16	R	High Medium 12	A !	⇒	Both Local Enterprise Partnerships are at an early stage of development. CDC is active in both to ensure they support the achievement of local economic priorities
RP07 Oxfordshire Waste Partnership - Financial Arrangements	Ed Potter	CDC	Financial arrangements exist to regulate funds flowing between the collection authorities in Oxfordshire and the disposal authority (Oxfordshire County Council). These are legally binding. However Oxfordshire County Council have indicated that they are not prepared to continue all these payments (landfill diversion payments) in the future, indicating from April 2013. This could threaten the future of the Oxfordshire Waste Partnership.	High 16	R	High Medium 12	A !	RP07a : Working with other collection authority partners. The County Council has one vote, the collection authorities have five. RP07b : Full participation in the partnership to address any moves made by the County Council to reduce payments. RP07c : The County Council could walk away from the partnership which would mean the County Council would only pay recycling credits. However this is unlikely. RP07d : The chair of the OWP has moved from Oxfordshire County Council to South Oxfordshire from May 2012	High 16	R	High Medium 12	A !	⇒	A paper on the financial arrangements going to the Chief Exec meeting in mid July
RP08 Health & Wellbeing Boards	Ian Davies	CDC	A new health and well being structure is being set up with county councils being given the responsibility to lead. This includes health, social care and the general well being in the widest context. CDC and SNC have notable contributions to make through their leisure, community safety, housing and health improvement services, regulatory functions such as planning, licensing and environmental health and its services to young people and older people. Unclear with a CC lead how DC services contribute and influence. There is a specific risk that the previous Supporting People budget, so crucial to much of the homelessness preventative work, will be broken up within this structure.	Medium 9	A	Medium 9	A	RP08a : 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 for a forum with no clear guidance on the contribution mechanism of that to the county structure.	Medium 9	A	Medium 9	A	⇒	Ongoing multi agency activities in the targeted wards. All local government tiers involved. Review undertaken of priority actions and new multi agency opportunities. OCC's Early Intervention Hub now integrated into the programme
RP09 Local Enterprise Partnerships (South East Midlands)	Adrian Colwell	CDC and SNC	The risk is the failure of the Local Enterprise Partnerships to establish themselves as effective bodies locally and in relations with National Government. The consequences may be reduced funding for the local area and failure to fully exploit economic growth, development and infrastructure provision opportunities. A related risk is the ability / inability of Cherwell District Council to influence the work of the Partnerships to the benefit of the District.	High 16	R	Medium 12	A	RP09a : Partnership Work Programme / Forward Plan RP09b : Resource provision for Partnership work RP09c : Senior management and Member Involvement	High 16	R	Medium 12	A	⇒	Both Local Enterprise Partnerships are at an early stage of development. CDC is active in both to ensure they support the achievement of local economic priorities

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RP10 Police & Crime Commissioner and Police & Crime Panel (Thames Valley & Northamptonshire)	Chris Rothwell	CDC and SNC	<p>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.</p> <p>Loss/reduction of funding to Community Safety. Becomes isolated from PCC. Leading to failure to achieve corporate objectives and loss of reputation</p> <ul style="list-style-type: none"> Failure to deliver local priorities Failure to achieve PCC objectives Less effective / efficient work Less public confidence 	Medium 9	A	Low 4	G	<p>RP10a : Effective local Community Safety Partnership meetings</p> <p>RP10b : Elected member representation at PCP</p> <p>RP10c : Elected Member representation at Northamptonshire and Oxfordshire Board (OSCP) arrangements.</p> <p>RP10d : Elected Member representation at CSP</p> <p>RP10e : Alignment with PCC Policing Plan</p> <p>RP10f : Elected membership in accordance with agreed PCP steering group policy</p>	Medium 9	A	Low 4	G	⇒	Member representatives nominated to PCP. Northampton Partnership working on the plans and briefings ready for the November elections.

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Low		<p>Review Periodically This risk is unlikely to require further mitigating actions, but the status should be reviewed quarterly to ensure that conditions have not changed.</p>
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