

| Ref No | Date risk added | SNC or CDC | Owner | Updater | Risk Name | Risk Description | 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 | Review Q3 | Date Closed If applicable | | |
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| S1 | 01/04/2013 | Common | KL | | Policy and legislative change | The councils fail to adequately respond to the implications of changing national policy resulting in loss of opportunity, reputational damage or legal challenge | Political / Social / Economic | 4 | 5 | 20 | The emerging new policy and legislative agenda continues to be tracked by professionally qualified officers | Oct-13 | 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 | 2 | 4 | 8 | 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 | No legal challenge has been made to any decision by either Council alleging misapplication of the law | The legal challenge to a planning approval at CDC was successfully defended. No other pending legal challenges exist at CDC or SNC. | | | |
| S3 | 01/04/2013 | Common | MH | | Financial resilience | The impact of external financial shocks, new policy and increased service demand reduces the councils medium and long term financial viability | Political / Social / Economic | 4 | 4 | 16 | Medium Term Financial Strategy Complete | Oct-13 | 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 workstreams 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 | MTFS reviewed as part of the 14/15 Budget process. The impact of the 14/15 settlement announcement being analysed. | | | |
| S4 | 01/04/2013 | Common | MH | | Capital Investment and Asset Management | Poor investment and asset management results in the councils' not maximising financial return or losing income. | Political / Social / Economic | 3 | 4 | 12 | | | Treasury management policies in place Investment strategies in place Regular financial and performance monitoring in place Independent third party advisers in place and different ones used at each council Regular bulletins and advice received from advisers Fund managers in place Property portfolio income monitored through financial management arrangements on a regular basis Experienced professionally qualified staff employed at both councils | 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 review and draft treasury strategy for 14/15 being consulted on. Funds with funds manager to be returned and managed in house. | | | |
| S5 | 01/04/2013 | SNC | AC | | SNC Managing Growth and capitalising on opportunities | Failure to capitalise on the growth agenda results in lost opportunities in terms of economic, community and infrastructure development and financial gains (e.g. business rates retention). The ultimate impact is long term and impacts upon the strategic objectives of the council and quality of life for local residents and communities. | Political / Social / Economic | 4 | 4 | 16 | | | Master planning process Core strategy Economic development strategy Inward investment plan | 2 | 3 | 6 | JCS approved at JPC | Planning Policy and Regeneration Strategy Committee | Revised Joint Core Strategy approved for consultation at 16th Dec 2013 JPC meeting, completion of examination in March 2014 and adoption of JCS protects against speculative development. | | | |
| S6 | 01/04/2013 | SNC | CS | | Moat Lane Development | Failure to deliver the project results in loss of economic benefit, local dissatisfaction and reputational damage to the Council. Failure to realise economic opportunities Reputational damage Increased costs (if failure to deliver within the programme timescales) Negative impact on the local environment (site of a special monument) | Customer Citizen / Service Delivery / Operational | 4 | 5 | 20 | Contract went unconditional early in October and the project has now moved to the development phase. The project board has also received a presentation on the design and build concept, and have considered an initial development programme. The Project Board will now receive in due course a revised risk register and initial consultation proposals. Risk reviewed, actions considered and no change to risk controls or rating | | 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 | Stage 1 commenced as planned | Project governance and detailed risk register | | | | |
| S6b | 29/07/2013 | SNC | CS | | Moat Lane - stage 1 start date | Risk of delay to the start date of the first phase | Resource / Financial / Human | 4 | 3 | 12 | The project board have agreed a commencement date on site of 2nd December this was achieved. Provisional date for piling to commence is the 6th January and completion of the first phase is now anticipated March 2015. Confirmed development plan to be considered by project board shortly, and revised roles confirmed for officers. Audit committee have been updated regarding risk issues on the 21st November. | 06/01/2013 | | | | 1 | 1 | 1 | Stage 1 commenced as scheduled. | Project governance | Piling commenced 6 January 2014 as scheduled Risk closed 31st December 2013 - new Risk relating to potential stage 1 delays will be reported in Quarter 4. | Jan 2014 |

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| S7 | 01/04/2013 | SNC | AC | | HS2 | Failure to engage on HS2 matters and failure to plan to mitigate potential impacts of HS2 result in: A higher negative impact on the district in terms of environment, disruption and economy than would be the case if the best mitigation outcomes are achieved. Failure to be seen to be acting in the best interests of the district and attempting to influence decision making may also have an impact on the council's reputation. | Political / Social / Economic | 5 | 5 | 25 | 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 | 4 | 4 | 16 | | | Community Forums ceased in September 2013. Consultation event with parishes undertaken in October. HS2 Ltd team will continue bi-lateral discussions and Petition Management in respect of the Hybrid Bill published 25/11/2013. SNC is focused on preparation of mitigation strategy as basis for Petition in 2014. | |
| S8 | 01/04/2013 | Common | CR | | Customer Service Improvement | Failure to increase internet usage or self service and improve customer service processes results in higher costs and decreased customer satisfaction | Customer Citizen / Service Delivery / Operational | 4 | 3 | 12 | A capital bid has been submitted for work on CRM system and integrating on a shared council basis and for new Customer Portal | | 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. | Web redesign timing not aligned with Moat Lane and move to self service. Decisions on Customer Portal and CRM for both councils still to be made. Gov Metric contract renewed as joint application with savings on costs. Use to be extended to all customer facing teams (SNC) | |
| S9 | 01/04/2013 | SNC | AC | | Silverstone Masterplan | Failure to capitalise on the opportunities afforded to the district through the Silverstone development and failure to manage the risks associated with the programme result in: • Failure to maximise long term economic benefit to the district • Negative impact on the a43 – (impact of transport risks) • Negative impact on council's reputation | Political / Social / Economic | 4 | 4 | 16 | 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 | | Silverstone Masterplan coordination group established. | The new owners of Silverstone are considering the development trajectory is for the site. They have committed to the delivery of the Development Brief, which includes - 4,800 additional jobs, 3 hotels (39,847m2), a development area of 122,519m2 Business Park/62,662m2 tech park and the focus on the creation of a High Performance Engineering cluster | |
| S10 | 01/04/2013 | SNC | AC | | SNC Local Plan | 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. | Political / Social / Economic | 4 | 5 | 20 | Parish briefings being organised. | 24/01/2013 | 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 | | | Consultation on the Issues stage of the Local Plan began on 28th October 2013 and runs to 24th Jan 2014. Briefings held for Members with Parishes. A number of Parishes have already responded to SNC. | |
| S11 | 01/04/2013 | SNC | EP | | SNC Changes to Waste Collection | Failure to deliver effective changes to waste collection results in higher costs, reduced recycling rates, loss of council's reputation or procurement challenge | Customer Citizen / Service Delivery / Operational | 4 | 4 | 16 | Lagan/Bartec integration | 30/11/2013 | Project Manager & Project Structure identified to manage the change. Representation across the organisation for the project teams including Communications, Finance, HR to ensure risks are fully understood and the relevant skills and knowledge of the teams are sufficient to deliver the change. | 2 | 3 | 6 | | Project governance | The scheme is now fully in place - recycling rate has risen significantly. Calls have now been returned to the Customer Service Centre | Close Jan 14 |

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| S12 | 01/04/2013 | CDC | ID | | Deprivation and Health Inequalities | Failure to deliver the Brighter Futures in Banbury programme results in long term health and deprivation objectives not being met | Political / Social / Economic | 3 | 3 | 9 | 2013/14 Priorities established | | Long term commitment to support local people and communities as many issues can only be addressed on this basis Multi agency actions with clear and common objectives Additional funding from Government grants to supplement current resources 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 I 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. | |
| S13 | 01/04/2013 | CDC | KC | | Bicester Eco-Town | Failure to deliver the project results in loss of economic benefit, local dissatisfaction and reputational damage to the council | Political / Social / Economic | 4 | 4 | 16 | | | Planning policy development through Local Plan Eco Town Project plan & related partnerships working with private & public sector partners Programme Board in place Lead Member in place | 3 | 3 | 9 | | Programme Governance, performance management | All risks reviewed at SDB meeting in October. Work on exemplar site to commence January 2014. | |
| S14 | 01/04/2013 | CDC | AC | | CDC Local Plan | Failure to ensure sound local plan is submitted results in inappropriate growth in inappropriate places. This leads to negative (or failure to optimise) economic, social, community and environmental gain. There is also potential negative impact on the council's ability to deliver its strategic objectives and manage its reputation. | Political / Social / Economic | 4 | 5 | 20 | Local Plan 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 | 3 | 4 | 12 | | | Executive approved draft submission of the Local Plan in October as did Full Council on 21 October. The Plan is being submitted to the Secretary of State on 24th January 2014. | |
| S15 | 16/08/2013 | CDC | AC | | 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. | 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 | | | County SHMA preparation is well advanced. Due for publication in Jan 2014. Risk of major increase in housing numbers proposed is receding. | |
| S16 | 01/04/2013 | CDC | KC | | Bicester Town Centre Development | Failure to deliver the project results in loss of economic benefit, local dissatisfaction and reputational damage to the council | Political / Social / Economic | 3 | 4 | 12 | Phase 2 Due to commence in 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 | Phase 1 delivered Phase 2 to commence May 2014 | Project Governance | Contractor appointed to deliver Phase 2. Discussions being held with Stakeholders on design. Project Board for Phase 2 will meet bi-monthly | |
| S17 | 01/04/2013 | CDC | ID | | Horton Hospital | Failure to retain Horton services locally results in loss of local services and less access to health care for local people | Political / Social / Economic | 4 | 4 | 16 | | | 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 | 4 | 12 | | | Concern locally about the withdrawal of emergency abdominal surgery. Other operational issues have been highlighted by local General Practitioners (GP's). The Oxfordshire Clinical Commissioning Group Commissioning Strategy aims to influence the future vision for the Horton. Change, whether driven by technology, funding reductions of clinical practices is inevitable in all hospitals but strong resistance locally due to concern over hospital's status and services. | |
| C1 | 01/04/2013 | Common | CR | JF | 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 | Business Continuity | 4 | 5 | 20 | Hand over to public protection manager to align BCP and emergency planning | Dec-13 | 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 | Handover work in progress | Audit and business continuity plan refresh quarter 4 | Handover work in progress : see also reference to ICT disaster recovery C2A - risk reviewed separately for SNC ICT. | |

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| C2 | 01/04/2013 | CDC | JP | GJ | ICT loss of systems | Failure of ICT services including telephones and remote access. Leading to a negative impact on customers, loss of business continuity and cost to the council (in terms of resources and reputation). | Business Continuity | 4 | 4 | 16 | Achieved ISO 22301 accreditation | | BCP Plan Disaster recovery arrangements (CDC) Recovery site (CDC) Back up of systems Process and standards (compliance regime) | 3 | 3 | 9 | | External accreditation | BCP controls reviewed by external accreditator. Controls remain effective | |
| C2a | 01/04/2013 | SNC | JP | GJ | ICT loss of systems | Failure of ICT services including telephones and remote access. Leading to a negative impact on customers, loss of business continuity and cost to the council (in terms of resources and reputation). | Business Continuity | 4 | 4 | 16 | Original combined risk now separated into one risk for each Council due to issues raised relating specifically to SNC | | BCP Plan Disaster recovery arrangements (Limited) Recovery site (CDC) Back up of systems Process and standards (compliance regime) | 3 | 4 | 12 | | External accreditation | Awaiting feedback on submitted proposals | |
| C3 | 01/04/2013 | Common | MH | | Corporate Fraud | Lack of corporate governance and control results in fraud from either within or outside the councils. | Legal & Professional | 4 | 4 | 16 | | | 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 | SFIS (Single Fraud Investigation Service) implementation date post October 2014 - potential emerging risk to be discussed during Q4 in connection with this risk | Budget and financial strategy committee (SNC) Budget Planning Committee (CDC) Executive, Cabinet, Audit Committee and Accounts, Audit and risk Committee, Scrutiny Committees | Risk reviewed, no changes to controls or risk rating at this time. | |
| C4 | 01/04/2013 | Common | JP | CT | Managing Data and Information | Poor data quality or lack of relevant information results in poor decision making | Legal & Professional | 4 | 4 | 16 | Audit planned for December 2013 | 31/01/2014 | Audit and data quality health checks Annual target setting process Annual PMF review Data quality policies in place | 3 | 3 | 9 | Data Quality Audit currently being undertaken - report anticipated during Q4. | Audit, data quality checks as part of performance management framework. | Risk reviewed - no change. Data Quality Audit currently being undertaken | |
| C5 | 01/04/2013 | Common | KL | | Member Decision Making | That members do not have access to information and support to make effective decisions | Legal & Professional | 4 | 4 | 16 | Scrutiny member development event via Parliamentary Outreach Service organised to increase effectiveness of Scrutiny Committees. Interim Head of Finance and Procurement to be engaged to cover for departure of permanent post holder | Oct 13 Sept 13 | 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 | The new Member reporting template for both Councils now includes the mandatory insertion of legal implications arising from the recommended decision. | No decision has been made by either Council which is inconsistent with the policy framework or legal requirements | No successful legal challenges have been made to any decision at either Council in the year to date. | |

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| C6 | 01/04/2013 | SNC | JP | | Moat Lane Relocation and Change | 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. | Customer Citizen / Service Delivery / Operational | 5 | 4 | 20 | A project board is in place and meeting frequently. The senior client on the Moat Lane Regeneration project is in regular and very close communication with the OC&R Project Manager, and closely involved with all aspects of OC&R where it relation to the relocation Risks are routinely reported to the project board and a risk mitigation budget is proposed. | | Project Team, Project Board, Stakeholder engagement strategy | 3 | 4 | 12 | | Project Board, Senior Sponsor | The project continues to be managed in accordance with the Council's project management approach and board meetings are held monthly. The start of work on site (the Community Building design and build element of the Moat Lane Regeneration Project) will prompt a review of how the next stage of this project is delivered to ensure there is no duplication or gaps between the two. Junkfest now complete. Options for backscanning (and associated storage and retrieval) are now being looked at. Engagement with furniture suppliers continues; the sponsor has signed off the ICT network and power requirements for SNC. Building works for Tove depot have been all costed and get under way at the beginning of January. Discussions are ongoing with partners on signage, design and marketing/ naming of the building. A meeting has been planned for early January to kick off the plans for relocation and related business continuity. ICT resourcing remains the highest risk, and the budget requirement will be finalised and sources confirmed in January. A significant engagement with JMT to secure the necessary business lead on removal and changed working practices is planned for early February. | |
| C7 | 01/04/2013 | Common | MH | | Joint Working | Failure to implement and manage joint working results in not meeting savings targets or a decline in performance and/or reputational damage | 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 | Recruitment to Joint Transformation Team in progress | Executive, Cabinet, Joint Arrangements Steering Group | No change to risk rating. Interviews and appointments being progressed for Joint Transformation Team. | |
| C8 | 01/04/2013 | Common | JP | JF | Communications | Failures to manage internal and external communications results in reputational damage to the council or reduced performance/staff morale | Reputation / Communication | 4 | 4 | 16 | Social media 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 | An updated Corporate Communications Strategy is being developed to reflect the changes within the team over the current municipal year. A supporting web strategy will also be developed. An acceptable usage policy has been developed for social media and all communications staff have permissions to respond to enquiries via this channel, this includes remote access to ensure comments can be responded to or deleted if they are deemed to be inappropriate. Regular communications team meetings are held to discuss current and upcoming issues and to manage our action and responses accordingly. | SNC members communications panel, CDC member lead for communications, Quarterly performance reporting, CDC annual satisfaction survey includes comprehensive communications section. | Risk reviewed, controls in place and adhered to - no change to risk rating | |
| C9 | 01/04/2013 | Common | JP | CT | Equalities | Failure to comply with equalities legislation results in legal challenge, costs and reputation damage | Legal & Professional | 4 | 4 | 16 | Military event planned for SNC 25 Nov 2013. CDC events are on track. | Dec-13 | 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 | | Annual update to cabinet and Executive. Quarterly performance reporting. EIA rolling programme and action plan. Steering group to co-ordinate work. | No change to risk controls/rating at this time. Tailored training programme to be developed for affected service areas. JMT received briefing on the outcomes of the review of the Public Sector Equality Duty. All controls continue to be maintained and in place. | |
| C10 | 01/04/2013 | Common | JP | DB | Health and Safety | Failure to comply with health and safety legislation leads to injury, sickness, absence and litigation against the council | Legal & Professional | 4 | 5 | 20 | | | Both 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 changes to risk controls or risk scores | |
| C11 | 01/04/2013 | Common | CR | JF | 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. | Customer Citizen / Service Delivery / Operational | 3 | 4 | 12 | EP are reviewed quarterly and provided to our partners in the TVLRF. Desk top exercises have been undertaken on implementation of both EP and BC plans in Cherwell and across Oxfordshire | | 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 changes to controls or risk rating | |

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| C12 | 30/06/2013 | CDC | AP | | CDC Planning (Major Applications) | That planning performance (major planning applications) does not meet the planning inspectorate threshold and is subject to special measures | Reputation / Communication | 5 | 4 | 20 | Approach reviewed in light of government proposals and a set of actions agreed to address performance on majors. Actions have resulted in improved performance, without prejudicing the stated philosophy of supporting growth. | | *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 | Improvement plan actions continue to be carried out. Developers being encouraged to have as much information ready in advance of the applications being submitted | Head of Service and Director oversight | Performance sustained and is well above target at 80% | |
| P1 | 01/04/2013 | SNC | CR | | SNC Community Safety Partnership | The partnership doesn't add value to the work of the council Undertakes projects that don't align with strategic objectives of the council. Council is unable to influence the partnership's agenda. Leading to failure to achieve corporate objectives and loss of reputation | Customer Citizen / Service Delivery / Operational | 3 | 3 | 9 | | | 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 | | | Achievement against targets continues to be good and selected councillors are included in the distribution of performance bulletin. Days of Action have taken place in Towcester and Deanshanger with further days planned: local councillors have been involved with these and are appreciative of the impact. CPU staff have good engagement with the PCC, ensuring SNC have a voice in the decision-making process. | |
| P2 | 01/04/2013 | Common | CR | | 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 | Political / Social / Economic | 3 | 3 | 9 | Community Safety Partnership meetings on-going. Chair of CSP sits on PCP and OSCP. CSP strategy and action plan refreshed to reflect PCC policing plan | | 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 action plan results reported via OCC quarterly funding agreed for 2014-15 | PCC subject to scrutiny by PCP. CDC chair of CSP sits on PCP | PCC grant reduction mitigated by CSP reserves. PCC intent on CCTV reductions negotiations ongoing. PCC developing new priorities around CSE, Trafficking and genital mutilation | |
| P3 | 01/04/2013 | CDC | CR | KL | 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 | Political / Social / Economic | 3 | 3 | 9 | Forward priorities to be agreed | | Annual self assessment of performance (annual report) 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 | 3 | 6 | 5 Key Priorities agreed | Reference Group | Forward priorities agreed based on reference Group outcomes. Risks reviewed, no change to ratings. | |
| P4 | 01/04/2013 | CDC | CR | | 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 | Political / Social / Economic | 3 | 3 | 9 | CSCP meetings on-going chaired by deputy Leader. Strategy updated to reflect PCC policing plan. | | CSCP effective meetings, Elected member representation at district and county groups, Continued support of JATAC, CSCP strategy, CSCP action plan compliance. | 2 | 2 | 4 | CSCP meeting quarterly, funding secured 2014-15 OSCB CSEplan adopted PCC priorities met | PCC / OCC to audit spending, CSP reports to OSCP an subject to CDC,PCC and PCP scrutiny | Risk reviewed, actions updated no change to risk rating. | |
| P5 | 01/04/2013 | CDC | AC | | 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. | Political / Social / Economic | 4 | 4 | 16 | | | Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement | 3 | 4 | 12 | | | CDC contributing to development of the SEP. Close liaison continues No changes to risk rating. | |
| P6 | 01/04/2013 | CDC | EP | | Oxfordshire Waste Management Partnership | 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. | Political / Social / Economic | 4 | 4 | 16 | An agreement on flow of funding has been made - reduction in landfill diversion payments commence from April 2014 , falling by 25% each year until 2017. The payments are no longer linked to performance | | Working with other collection authority partners. The County Council has one vote, the collection authorities have five. Full participation in the partnership to address any moves made by the County Council to reduce payments. The County Council could walk away from the partnership which would mean the County Council would only pay recycling credits. However this is unlikely. The chair of the OWP has moved from Oxfordshire County Council to South Oxfordshire from May 2012 | 2 | 3 | 6 | | | Oxfordshire County Council indicating that they no longer wish being in the Oxfordshire Waste Partnership from April 2015. Oxfordshire County Council fund 50% of the partnership. | |

| Ref No | Date risk added | SNC or CDC | Owner | Updater | Risk Name | Risk Description | 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 | Review Q3 | Date Closed If applicable | |
|--------|-----------------|------------|-------|---------|--|---|-------------------------------|----------------------|-----------------|------------|--|----------|---|----------------------|-----------------|----------|---|--|---|--|--|
| P7 | 01/04/2013 | Common | CR | | 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. | Political / Social / Economic | 3 | 3 | 9 | Shadow boards have become functioning boards during this quarter. Structures and relationships have become clearer and working groups are being established. Priorities have been agreed for localities. | | 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 | 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. | Spending in localities is determined by the Board. There is limited opportunity for Districts to directly influence. | Concerns to highlight the lack of communication between the Board and the Local Fora have been raised. Forum is picking up on local priorities including welfare reform, road deaths & ageing population. Risks reviewed, actions updated, no change to rating. | | |
| P8 | 01/04/2013 | Common | AC | | South Midlands LEP | The partnership doesn't add value to the work of the councils, undertakes projects that don't align with strategic objectives or the council is unable to influence the partnership's agenda. | Political / Social / Economic | 4 | 4 | 16 | | | Partnership Work Programme / Forward Plan, Resource provision for Partnership work, Senior management and Member Involvement | 3 | 4 | 12 | | | Close liaison and extensive engagement continues with Board members representation. | Participation in the development of the SEMLEP strategy and services by officers at all levels. Current areas of development include the EU Strategy and SEP with SNC leading on the development of the Logistics Strategy for SEMLEP. 14 project bids lodged involving SNC and CDC. | |
| P9 | 01/04/2013 | SNC | AC | | SNC Joint Planning Unit (JPU) | Failure to effectively manage the council's partnership with the JPU results in a failure to adopt a sound local plan. This relates to strategic risk s10 as without a sound local plan the long term strategic objectives of the council will be jeopardised and there is a potential negative impact on the council's reputation. | Political / Social / Economic | 4 | 4 | 16 | | | 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 | | | Risk reviewed, no changes to risk ratings | | |