

Appendix 3 – Leadership Risk Register as at 26/05/2020

Level of risk	How the risk should be managed
<b>High Risk</b> (16-25)	<b>Requires active management</b> to manage down and maintain the exposure at an acceptable level. Escalate upwards.
<b>Medium Risk</b> (10 -15)	<b>Contingency Plans</b> - a robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile.
<b>Low Risk</b> (1 – 9)	<b>Good Housekeeping</b> - may require some risk mitigation to reduce the likelihood if this can be done cost effectively, but good housekeeping to ensure that the impact remains low should be adequate. Re-assess frequently to ensure conditions remain the same.

Risk Scorecard – Residual Risks						
		Probability				
		1 - Remote	2 - Unlikely	3 - Possible	4 - Probable	5 - Highly Probable
Impact	5 - Catastrophic			L09	L19 & L20	
	4 - Major			L04, L07, L08, L10, L11, L12 & L18	L01	
	3 - Moderate		L16	L02, L05, L14, L18 & L21	L15	
	2 - Minor					
	1 - Insignificant					

Risk Definition	
Leadership	Strategic risks that are significant in size and duration, and will impact on the reputation and performance of the Council as a whole, and in particular, on its ability to deliver on its corporate priorities
Operational	Risks to systems or processes that underpin the organisation’s governance, operation and ability to deliver services

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2020/21																	
L01 -	<b>Financial resilience –</b> Failure to react to external financial impacts, new policy and increased service demand. Poor investment and asset management decisions.	Reduced medium and long term financial viability  Reduction in services to customers  Increased volatility and inability to manage and respond to changes in funding levels  Reduced financial returns (or losses) on investments/assets  Inability to deliver financial efficiencies  Inability to deliver commercial objectives (increased income)  Poor customer service and satisfaction  Increased complexity in governance arrangements  Lack of officer capacity to meet service demand  Lack of financial awareness and understanding throughout the council	4	4	16	Medium Term Revenue Plan reported regularly to members.  Balanced medium term and dynamic ability to prioritise resources  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 Oxfordshire Treasurers' Association's work streams  Review of best practice guidance from bodies such as CIPFA, LGA and NAO  Treasury management and capital strategies in place  Investment strategies in place  Regular financial and performance monitoring in place  Independent third party advisers in place  Regular bulletins and advice received from advisers  Property portfolio income monitored through financial management arrangements on a regular basis  Asset Management Strategy in place and embedded.  Transformation Programme in place to deliver efficiencies and increased income in the future	Fully effective Partially effective Not effective	Councillor Tony Illot	Lorna Baxter	Dominic Oakeshott	4	4	16	↑	Key staff recruited to and review of workload and capacity across the team. Additional resilience and resource for financial accounting and reporting engaged through external partners and agencies. Assessment of national picture undertaken and being reported through senior managers and members highlighting the medium term challenges.  Investment strategy approach agreed and operating and all potential investments now taken through the working groups prior to formal sign off. Robust review and challenge of our investment options to be regularly undertaken through our usual monitoring processes.  Timeliness and quality of budget monitoring particularly property income and capital improving. Financial Systems replacement project underway. LEAN review of budget monitoring undertaken with significant engagement from within the wider business. Asset Management Strategy being reviewed and refreshed.  Review of BUILD! to ensure procurement and capital monitoring arrangements are in place and development of forward programme - work still underway.  Finance support and engagement with programme management processes continuing.  Further integration and development of Performance, Finance and Risk reporting Regular involvement and engagement with senior management across County as well as involvement in Regional and National finance forums.  Regular member meetings, training and support in place and regularly reviewed. Briefings provided on key topics to members with particular focus on key skills for specific committees such as audit committee.  New approach to budget setting introduced linked to service planning. Additional challenge added into the process to ensure robustness of estimates  Regular utilisation of advisors as appropriate.  Internal Audits being undertaken for core financial activity and capital as well as service activity  Assessment of national picture via Pixel and LG Futures has identified that the funding available in later years is likely to be significantly reduced, adding longer term resilience challenges.	Maintaining focus in this area with ongoing review, staff and member training and awareness raising.  Investment options considered as and when they arise, MTFs and budget setting being developed to enhance the scrutiny and quality of investments.  Financial System Solution Project continuing to consider future finance system options, incorporating budget management via Lean, extension of Civica and new procurement.  Review underway  Review in hand.  Finance business partners involved with reflection locally on outcomes.  Integrated reporting has been embedded  Engagement with a number of national and regional networks to ensure we are as up-to-date as we can be in relation to potential funding changes from 2020/21 and impact on our MTFs.  Regular training will be undertaken.  Budget setting for 2020/21 underway.  Review of borrowing approach being considered alongside our financial advisors Regular reporting of progress on internal audits considered by the committee  Medium/long term position assessed as significantly worse, increasing risk alongside the capacity needed to work on activity to reduce spending levels. Budget setting for 2021/22 will begin at the Budget Planning Committee in March 2020 in order to ensure full and thorough consideration of the budget in conjunction with members to alleviate the challenges over the medium term. The impact of the UK national Budget on 11 March 2020 and the medium term impact of the reduction in the Bank Base rate by 0.5% on 11 March 2020 will be assessed.  The impact of Covid19 has changed the financial outlook for the Council, with regular updates helping to outline the impact on the Council both in the short, medium and longer term. The Council currently anticipates a significant, short, medium and long term funding shortfall in overall terms, requiring the use of/depletion of Council reserves. Set alongside the anticipated funding reductions due to start from 2021-22 the financial resilience of the Council could be severely impacted.	Risk reviewed - 19/05/2020 - Residual impact score increased from 3 to 4, comments updated.

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L02 -	<b>Statutory functions</b> – Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.	Legal challenge Loss of opportunity to influence national policy / legislation Financial penalties Reduced service to customers	3	4	12	Embedded system of legislation and policy tracking in place, with clear accountabilities, reviewed regularly by Directors Clear accountability for responding to consultations with defined process to ensure Member engagement National guidance interpreting legislation available and used regularly Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit Internal Audit Plan risk based to provide necessary assurances Strong networks established locally, regionally and nationally to ensure influence on policy issues Senior Members aware and briefed regularly in 1:1s by Directors	Partially Fully Fully Partially Partially Partially Fully Partially	Councillor Barry Wood	Steve Jorden	Nick Graham	3	3	9	↔	Establish corporate repository and accountability for policy/legislative changes Review Directorate/Service risk registers Ensure Committee forward plans are reviewed regularly by senior officers Ensure Internal Audit plan focusses on key leadership risks Develop stakeholder map, with Director responsibility allocated for managing key relationships Standardise agendas for Director / PFH 1:1s New legislation and Government guidance in response to COVID19 will assist service adjustment Allocate specific resource to support new projects/policies or statutory requirements e.g. GDPR	Service plans for 2019-20 received and currently being reviewed. Performance framework for 2020-21 to be agreed. Review of Leadership Risk Register and Risk Strategy for 2020-21 in progress.	Risk reviewed 19/05/20 - no changes
L04 -	<b>CDC Local Plan</b> - Failure to ensure sound, up to date local plan remains in place for Cherwell resulting in poor planning decisions such as development in inappropriate locations, inability to demonstrate an adequate supply of land for housing and planning by appeal	Poor planning decisions leading to inappropriate growth in inappropriate place. Negative (or failure to optimise) economic, social, community and environmental gain Negative impact on the council's ability to deliver its strategic objectives, including its commitments within the Oxfordshire Housing & Growth Deal Increased costs in planning appeals Reputational damage with investor community of Cherwell as a good place to do business created by uncertainty/ lack of policy clarity	4	4	16	Local Development Scheme (LDS) is actively managed and reviewed, built into Service Plan, and integral to staff appraisals of all those significantly involved in Plan preparation and review Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity. Some additional resource budgeted for 20/21. Delegations to Chief Exec agreed to ensure timely decisions On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies	Partially Partially Partially Fully Partially	Councillor Colin Clarke	Paul Feehily	David Peckford	3	4	12	↔	Regular review meetings on progress and critical path review Regular Corporate Director and Lead Member briefings LDS updated as required with programme management approach adopted to ensure progress against plan LDS timeline built into Directorate level objectives (e.g. via Service Plans) and incorporated into SMART targets within staff appraisals Authority Monitoring Reports continue to be prepared on a regular annual basis.	The Local Development Scheme was updated in March 2020. It includes the programmes for the Partial Review of the Local Plan, the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canalside Supplementary Planning Document and work on a Community Infrastructure Level (CIL). COVID19 may affect the progress made by the central plan team on the Oxon Plan. However, the residual risk score of '12' has not been changed as the risk of consequential delay for the district Local Plan has already been considered. Significant delay may require re-consideration of the risk. The 2019 Annual Monitoring Report was approved by the Executive on 7/1/2020.	Risk reviewed 19/05/2020 - no changes.
L05 -	<b>Business Continuity</b> - Failure to ensure that critical services can be maintained in the event of a short or long term incident affecting the Councils' operations	Inability to deliver critical services to customers/residents Financial loss Loss of important data Inability to recover sufficiently to restore non-critical services before they become critical Loss of reputation	4	4	16	Business continuity strategy in place Services prioritised and recovery plans reflect the requirements of critical services ICT disaster recovery arrangements in place Incident management team identified in Business Continuity Strategy All services undertake annual business impact assessments and update plans Business Continuity Plans tested	Fully Fully Fully Partially Fully Partially	Councillor Andrew McHugh	Rob MacDougall	Richard Webb	3	3	9	↔	Business Continuity Statement of Intent and Framework agreed by CEDR Cross-council BC Steering Group meets regularly to identify BC improvements needed ICT transition to data centre and cloud services have reduced likelihood of ICT loss and data loss Corporate ownership and governance sits at senior officer level BC impact assessments and BCPs in place for all teams and peer reviewed by OCC's Emergency Planning team Progress report was provided to CEDR in March 2019 BC assurance framework under development	The council's extended leadership team are providing business continuity status reports for their critical services on a twice weekly during the current covid-19 pandemic. Remote working enables most teams to work effectively from home and sustain services whilst also avoid unnecessary social contacts. Command structures are in place for managing the council's response to the pandemic in line with the BC framework. Business continuity impacts are being identified, managed locally and escalated if necessary to the joint OCC/ CDC silver group and supporting cells. Recovery planning includes consideration of the response to a second wave of the virus.	Risk Reviewed 19/05/2020 - Comments updated
L07 -	<b>Emergency Planning (EP)</b> - Failure to ensure that the local authority has plans in place to respond appropriately to a civil emergency fulfilling its duty as a category one responder	Inability of council to respond effectively to an emergency Unnecessary hardship to residents and/or communities Risk to human welfare and the environment Legal challenge Potential financial loss through compensation claims Ineffective Cat 1 partnership relationships	4	4	16	Key contact lists updated monthly. Emergency Planning Lead Officer defined with responsibility to review, test and exercise plan and to establish, monitor and ensure all elements are covered Added resilience from cover between shared Environmental Health and Community Safety Teams as officers with appropriate skill Senior management attend Civil Emergency training Multi agency emergency exercises conducted to ensure readiness On-call rota established for Duty Emergency Response Co-ordinators Active participation in Local Resilience Forum (LRF) activities	Fully Partially Fully Fully Fully Fully Fully	Councillor Andrew McHugh	Rob MacDougall	Richard Webb	3	4	12	↔	Emergency plan contacts list being updated monthly and reissued to all duty managers. OCC Emergency Planning providing expert advice and support under a partnership arrangement. Accountability for both OCC and CDC's arrangements now sit with the Chief Fire Officer who reviews the arrangements with the Assistant Director. Supporting officers for incident response identified in the emergency plan and wallet guide Drop in training session now taking place monthly (from June) covering a range of topics. Senior managers have attended multi-agency exercises and duty manager training with OCC senior managers. On-call rota being maintained Authority represented at the Local Resilience Forum	Emergency plans enacted and command structures established with partner organisations to support the response to the Covid-19 pandemic. The council is also maintaining its duty director rota for any other emergency incidents that might arise.	Risk Reviewed 19/05/2020 - No changes.

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L08 -	Health and safety - Failure to comply with health and safety legislation, corporate H&S policies and corporate H&S landlord responsibilities	<p>Fatality, serious injury &amp; ill health to employees or members of the public</p> <p>Criminal prosecution for failings</p> <p>Financial loss due to compensation claims</p> <p>Enforcement action – cost of regulator (HSE) time</p> <p>Increased agency costs</p> <p>Reduction in capacity impacts service delivery</p> <p>Reputational Impact</p>	5	4	20	<p>New Health &amp; Safety Corporate HS&amp;W Policy and Corporate Arrangements &amp; guidance in place as part of the newly adopted HSE's recommended called 'HSG65' Management System HSG 65. Organisations have a legal duty to put in place suitable arrangements to manage health &amp; safety.</p> <p>Clearly identified accountability and responsibilities for Health and Safety established at all levels throughout the organisation</p> <p>Corporate H&amp;S Manager &amp; H&amp;S Officer in post to formalise the H&amp;S Management System &amp; provide competent H&amp;S advice &amp; assistance to managers &amp; employees.</p> <p>Proactive monitoring of Health &amp; Safety performance management internally</p> <p>Effective induction and training regime in place for all staff</p> <p>Positive Health &amp; Safety risk aware culture</p> <p>Corporate Health &amp; Safety meeting structure in place for co-ordination and consultation</p> <p>Corporate body &amp; Member overview of Health &amp; Safety performance</p> <p>Assurance that third party organisations subscribe to and follow Council Health &amp; Safety guidelines and are performance managed where required</p>	<p>Partially</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Partially</p> <p>Partially</p> <p>Partially</p> <p>Fully</p> <p>Fully</p>	Councillor Lynn Pratt	Yvonne Rees	Ceri Harris	3	4	12	↔	<p>A Corporate Health, Safety and Wellbeing Policy was ratified BPM meeting on 17th June 2019, it is due for review no later than June 2021. The Corporate Arrangements are subject to a continuing programme of updates to ensure they remain up to date and relevant to council business.</p> <p>Following the ratification of the Corporate Health, Safety and Wellbeing Policy all Assistant Directors have been asked to complete a Departmental Risk Assessment Checklist. The Checklist identified the areas of risk within the department and whether there is a risk assessment in place to cover the risks.</p> <p>As Health and Safety Officers are in place no further action is required and risk mitigated.</p> <p>A 2-year internal Health and Safety Audit programme is in place covering the period until May 2021. The health and safety internal audit programme covers all elements of our overall H&amp;S management system to ensure compliance with legislative standards. This is temporarily on hold due to the Coronavirus Lockdown</p> <p>Management of H&amp;S training will now be included within the new eLearning programme which is in the process of being procured. A central list of risk assessments is to be created to enable more proactive monitoring of risk assessment across the council. Risk Assessment Workshop training is being developed. Robust training already in place in Environmental Services.</p> <p>Good awareness in higher risk areas of the business, e.g. Environmental Services. However other areas need improved awareness of risk assessment process. This needs to be achieved by a review of training needs across CDC and the mandatory training of managers on risk assessment. Property team have undertaken a review of CDC owned operational properties to ensure health and safety compliance is fully maintained in line with the legislative compliance requirements.</p> <p>Currently the Council has no formal committee structure in place for the consultation of health safety with staff.</p> <p>Quarterly reporting to ELT and to the Portfolio Holder by the Corporate Health and Safety Manager</p> <p>Robust procurement process that requires health and safety documentation and commitment to be proven prior to engagement of contractors.</p>	<p>The Executive Leadership Team (ELT) receives a quarterly report from the Corporate H&amp;S Manager.</p> <p>Corporate Health and Safety Team to ensure all departments to responds to the Departmental Risk Assessment Checklist and to follow up with departments on areas of concern. Responses are being collated on a central spreadsheet which will become the database of all risk assessments across the Council.</p> <p>These two posts are established posts and budgeted accordingly to secure future funding for continuity.</p> <p>The H&amp;S team are conducting health and safety inspections internally across all services and teams. To date a total of 17 audits have been carried out across the Council however, the audits are currently on hold due to Corona Virus. The audit reports have been provided to the relevant service managers, including recommendations, advise and timescales for remediation.</p> <p>Final sign off from the HR/Training Manager for training procurement and implementation due. Final tweaks being made prior to launch of eLearning package</p> <p>A review has been undertaken of all CDC owned properties to ensure that fire risk assessments, water hygiene surveys and asbestos surveys have been completed where required. A compliance review of tenanted properties leased by CDC is also under way to ensure that the tenants are managing the property in accordance with legislative requirements.</p> <p>A proposal for the formation of a Health and Safety Committee to report to the ELT will be submitted to ELT in April 2020. The purposed of this committee, if ratified, will monitor the activities of the Corporate Health and Safety Team and to act as a scrutiny committee for the Corporate Arrangements.</p> <p>Reporting dates have been agreed and adhered to.</p> <p>Corporate Health and Safety has scheduled to undertake a review of Procurement process to ensure compliance.</p>	Risk reviewed 19/05/2020 - Mitigating actions and Comments updated

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L09 -	<b>Cyber Security</b> - If there is insufficient security with regards to the data held and IT systems used by the councils and insufficient protection against malicious attacks on council's systems then there is a risk of: a data breach, a loss of service, cyber- ransom.	<p>Service disruption</p> <p>Financial loss / fine</p> <p>Prosecution – penalties imposed</p> <p>Individuals could be placed at risk of harm</p> <p>Reduced capability to deliver customer facing services</p> <p>Unlawful disclosure of sensitive information</p> <p>Inability to share services or work with partners</p> <p>Loss of reputation</p>	4	5	20	<p>File and Data encryption on computer devices</p> <p>Managing access permissions and privileged users through AD and individual applications</p> <p>Consistent approach to information and data management and security across the councils</p> <p>Effective information management and security training and awareness programme for staff</p> <p>Password security controls in place</p> <p>Robust information and data related incident management procedures in place</p> <p>Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services</p> <p>Appropriate plans in place to ensure ongoing PSN compliance</p> <p>Adequate preventative measures in place to mitigate insider threat, including physical and system security</p> <p>Insider threat mitigated through recruitment and line management processes</p> <p>Cookie pop-ups on the website</p> <p>Increased threat to security during Covid-19 period in part due to most staff working from home.</p>	<p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Partially</p> <p>Fully</p>	Councillor Ian Corkin	Claire Taylor	David Spilsbury	3	5	15	↔	<p>The cyber-essentials plus certification has now been passed.</p> <p>Accounts, Audit &amp; Risk Committee Members updated and given a presentation on Cyber Security November 2019</p> <p>The Regional Police Cyber Security Advisor gave the IT management team two training sessions (full cyber awareness Oct18 and table top DR exercise Nov18) followed by a series of all-Council staff awareness sessions in January 2019. Mop-up on e-learning options now being explored by IT and HR.</p> <p>Implemented an intrusion prevention and detection system.</p> <p>Agreed Terms of Reference and re-implementation of the security forum as the Information Governance Group, with meetings to be held on a minimum quarterly basis chaired by the Information Governance Manager. Information Governance support is now provided to Cherwell as part of a joint working relationship with Oxfordshire County Council. An action for the next month will be to ensure there are effective partnership working arrangements in place under this new service.</p> <p>Cyber Awareness e-learning available and will be part of new starters induction training.</p> <p>Cyber Security issues regularly highlighted to all staff.</p> <p>External Health Check undertaken January 2020, no high risk security issues highlighted.</p> <p>Internal Audit commencing a cyber security audit May/June 2020</p> <p>Implementation using Cookiebot in progress with 3rd party website provider.</p> <p>Additional IT security advice provided for all staff during the Covid-19 working at home period including online coronavirus related scams</p>	<p>Cyber security incidents are inevitable. The only way to manage this risk is to have effective controls and mitigations in place including audit and review.</p>	Risk Reviewed 19/05/20 - Mitigation actions updated.
L10 -	<b>Safeguarding the vulnerable (adults and children)</b> - Failure to follow our policies and procedures in relation to safeguarding vulnerable adults and children or raising concerns about their welfare	<p>Increased harm and distress caused to vulnerable individuals and their families</p> <p>Council could face criminal prosecution</p> <p>Criminal investigations potentially compromised</p> <p>Potential financial liability if council deemed to be negligent</p>	4	4	16	<p>Safeguarding lead in place and clear lines of responsibility established</p> <p>Safeguarding Policy and procedures in place</p> <p>Information on the intranet on how to escalate a concern</p> <p>Mandatory training and awareness raising sessions are now in place for all staff.</p> <p>Safer recruitment practices and DBS checks for staff with direct contact</p> <p>Action plan developed by CSE Prevention group as part of the Community Safety Partnership</p> <p>Data sharing agreement with other partners</p> <p>Attendance at Children and Young People Partnership Board (CYPPB)</p> <p>Annual Section 11 return compiled and submitted as required by legislation.</p> <p>Engagement with Joint Agency Tasking and Co-ordinating Group (JATAC) and relevant Oxfordshire County Council (OCC) safeguarding sub group</p> <p>Engagement at an operational and tactical level with relevant external agencies and networks</p>	<p>Partially</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Partially</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p>	Councillor Barry Wood	Ansaf Azhar	Nicola Riley	3	4	12	↔	<p>Ongoing internal awareness campaigns</p> <p>Ongoing external awareness campaigns</p> <p>Annual refresher and new training programmes including training for new members</p> <p>Continue to attend groups focused on tackling child exploitation</p>	<p>The new HR payroll system ( was expected in April 2020 postponed ) will hold training records. The new safeguarding officer will ensure there is appropriate take-up of training across staff and members. Safeguarding Policy annual review in place. Close monitoring of Training needs/changes to roles and need for enhanced safeguarding training requirements. During C-19 staff working from home Internet safety brief on keeping children safe at home via LOOP. Joint working with safeguarding officers from local District councils New online training supplier Incorporating safeguarding as part of the 9 compulsory training sessions.</p>	Risk Reviewed 16/05/2020 - No changes.

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L11 -	<b>Sustainability of Council owned companies and delivery of planned financial and other objectives</b> - failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives	Unclear governance leading to lack of clarity and oversight in terms of financial and business outcomes  Non achievement of business and finance outcomes directly or indirectly impacting on other council services  Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies	3	4	12	Annual business planning in place for all companies to include understanding of the link between our objectives being delivered and financial impact for the council  Financial planning for the companies undertaken that will then be included within our own Medium term financial plan  Ensure strong corporate governance mechanisms are in place  Sound monitoring in place of both business and financial aspects of the companies and the impact on overall council performance  Training in place for those undertaking roles relating to the companies	Fully  Fully  Partially  Fully  Partially	Councillor Tony Illot	Steve Jorden	Jonathan MacWilliam	3	4	12	↔	Additional oversight from senior managers including performance dashboards at CEDR  Specific company support skills (company secretary) being developed within the council  Review of governance of companies underway to ensure appropriate structures are in place  Regular meetings in place with all companies to ensure issues are effectively managed and, where necessary escalated	COVID-19 impact being felt by all three companies.  CSN under pressure processing changes to NDR etc. as part of government relief package for businesses  Graven hill site closed in line with government restrictions. Impact on sales and business plan being monitored through regular discussions  Crown House has been completed but no residents have moved in in line with  All three companies being impacted by situation and close review of ongoing business plans needed as government restrictions are reviewed. As lock down restrictions are eased each company should look to recover lost ground within its annual business plan where appropriate.	Risk reviewed - 19/05/2020 - Mitigating actions and comments updated
L12 -	<b>Financial sustainability of third party suppliers including contractors and other partners</b> - the failure of a key partner of supplier impacting on the business of the council	The financial failure of a third party supplier or partner results in the inability or reduced ability to deliver a service to customers.  Failure to ensure the necessary governance of third party relationships (council businesses, partners, suppliers) are in place to have sufficient oversight of our suppliers	3	4	12	Ensure contract management in place review and anticipate problems within key service suppliers and partners  Business continuity planning arrangements in place in regards to key suppliers  Ensuring that proactive review and monitoring is in place for key suppliers to ensure we are able to anticipate any potential service failures	Partially  Partially  Partially	Councillor Tony Illot	Lorna Baxter	Wayne Welsby	3	4	12	↔	Meetings take place when required with suppliers to review higher risk areas.  Some review of appropriate information in regards to key supplier performance through trade press, information from networks in place.	Council departments monitor suppliers financial stability as part of their contract management responsibilities. In addition, through collaboration with Oxfordshire CC, a joint Provision Hub will be established in FY20/21 that will put in place greater commercial skills and controls across the two authorities. This will result in improved monitoring and management of commercial contract risk across the council's supply chain. In addition, a Provider Cell has been established to provide oversight of procurement and contract matters in response to Covid19. To support this, a complete new data set of CDC spend (FY2019/20 Qtr. 1, 2 & 3) has been produced and placed in the Provider Cell files in MS Teams which can be accessed by CDC members of the Provider Cell. This spreadsheet also includes a financial credit risk score of all suppliers with a spend above £40k. Contracts Managers are expected to put in place appropriate mitigation plans to manage any identified risks identified.  In addition, Castle Quay 1 - Due diligence and credit reports carried out on a monthly basis for all suppliers and contractors for any advance warnings being flagged up.  Castle Quay 2- Due diligence and credit report carried out on McLaren on a bi-monthly basis for any advance warnings being flagged up on updated credit reports.	Risk reviewed 19/05/2020 - No changes.
L14 -	<b>Corporate Governance</b> - Failure of corporate governance leads to negative impact on service delivery or the implementation of major projects providing value to customers.	Threat to service delivery and performance if good management practices and controls are not adhered to.  Risk of ultra vires activity or lack of legal compliance  Risk of fraud or corruption  Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control.  Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the councils.  Inability to support Council's democratic functions / obligations (e.g. remote public meetings, remote voting).  Elements of the COVID-19 response may be compromised, delayed or not taken forwards.	4	4	16	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.  Clear accountability and resource for corporate governance (including the shareholder role).  Integrated budget, performance and risk reporting framework.  Corporate programme office and project management framework. Includes project and programme governance.  Internal audit programme aligned to leadership risk register.  Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.  HR policy framework.  Annual governance statement process under review and deadline delayed by Government.  Business Continuity Plans are in place which ensure that appropriate structures and leadership are put in place at the outset of the CV-19 response.  Control measures implemented throughout 2019/20 and updates on key issues reported (e.g. Property/Security) reported to Audit & Governance Committee as requested by Members.	Partially  Partially  Partially  Partially  Partially  Partially	Councillor Barry Wood	Yvonne Rees	Nick Graham	3	3	9	↔	Standing item at senior officer meetings – regular review of risk and control measures  Implementation of corporate programme office – May 2018  Full review of HR policy to be undertaken during 2018/19  Monitoring Officer to attend management team meetings  Annual Governance Statement process under review (reviewing previous actions and identifying new) and draft Corporate Lead Statements which identify potential actions for 2020/21 are being produced for review by the Corporate Governance Assurance Group - on schedule.	S113 Agreement terminates on 16 January 2019. Collaboration Agreement being developed. Executive and Cabinet will consider its adoption on 7 and 14 January 2019 respectively. Service schedules are being developed for all services that require ongoing joint working - and these are programmed to be in place by 16 January 2019.	Risk reviewed 19/05/20 - Controls updated.

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2020/21							Fully effective Partially effective Not effective										
L15 -	<b>Oxfordshire Growth Deal (contract with HMG)</b> The complex external environment for Growth Deal creates a number of risks that might impact on both the partnership and CDCs ability to deliver on its contractual obligations.	Failure to meet its obligations as a partner within the Growth Deal could see Cherwell as a factor in Government holding back some or all of its funding and/or cease to extend the arrangement beyond 2023.  Infrastructure milestone delivery late (for infrastructure linked to accelerated housing)  Accelerated housing numbers delivered late, outside of the programme time scale  Delivery of Infrastructure projects fail to accelerate housing delivery as commercial pressures impact house builders Delivery of affordable houses below programme targets as GD contributions insufficient to attract sufficient builders/ registered providers Oxfordshire Plan delivered late	5	5	25	Established programme structure and partnership ethos to support effective programme delivery  Engagement with housing developers to understand their commercial constraints.  Engage with developers to ascertain which sites would benefit most from infrastructure delivery  Identify potential "top up" schemes to supplement GD affordable housing scheme  Utilise effective Programme controls to facilitate prompt escalation of issues to enable appropriate decision making and delivery timescale review  Develop Year 3 Plans of Work to detail the expected delivery by CDC for Year 3 of the Growth Deal Programme; building on the experiences and knowledge gained during Year 2.	Fully  Partially  Partially  Fully  Fully  Partially	Councillor Barry Wood	Robert Jolley	Jonathan MacWilliam	4	3	12	↔	A CDC GD programme and programme board capability  Work stream plans of work (work stream brief, schedule, RAID log)  Structured engagement with developers to better understand their needs  Appropriate escalation of issues to agree programme flexibilities where required Improved collaboration working with partners  Securing approval of a resourced GD Y3 plan to be delivered in a collaborative partnership environment	With the easing of Lock down restrictions, construction work on sites has recommenced. The operating restrictions will, however, impact the speed of delivery as will the delayed impact on the supply chain. The medium to long term impact on the demand side of the housing market will take time to manifest which reduce developers commitment to maintaining housing trajectories. If there is a down turn in the market there is potential for a positive impact as developers increase the number of social housing units they release, selling additional units to RPs as a way to off load unsold stock.	Risk reviewed 18/05/2020 - Description of risk, potential impact, controls, control assessment, mitigating actions and comments updated.
L16 -	<b>Joint Working</b> That the challenges and risks associated with joint working outweigh the benefits and impacts on the provision of services to residents and communities.	Opportunities for joint working take longer to develop than planned delaying potential service improvements for residents and communities. Resources are allocated to the development of proposals, reducing the capacity of the Council to deliver on its priorities and plans, impacting on quality of services delivered to residents and communities.  Uncertainty around joint working could lead to reduced staff morale and potentially increase staff turnover. Benefits to be realised from joint working business cases do not materialise or take longer to deliver than planned.	3	3	9	S113 agreement in place with Oxfordshire County Council  Partnership Working Group established with OCC to oversee the development of joint working proposals.  Robust programme and project management methodologies in place.	Fully  Fully  Fully	Councillor Ian Corkin	Yvonne Rees	Claire Taylor	2	3	6	↔	Regular reporting on joint working proposals to the senior management team.	Joint senior appointments in the customers and organisational development directorate have been completed. The business case for a joint strategy and communications service is in its implementation phase.  The partnership working group will review a schedule of projects for the next phase of development at their next meeting. The Audit plan for 2020/21 will ensure joint working arrangements are included.	Risk reviewed - 20/05/20 - no changes. Plans are on-going.
L17 -	<b>Separation</b> That the separation of joint working arrangements with South Northamptonshire Council impacts on the provision of services to residents and communities.	Separation of joint working arrangements result in reduced capacity and resilience to deliver services.  Services being delivered to SNC are impacted by re-organisation in Northamptonshire, impacting on the quality of services delivered to residents and communities	3	3	9	On-going service delivery arrangements to SNC set out clearly and underpinned by the Collaboration Agreement with protocols in place for dealing with any emerging issues.  Robust programme and project management frameworks in place.	Fully  Fully	Councillor Ian Corkin	Yvonne Rees	Claire Taylor	3	3	9	↑	Regular reporting on joint working proposals to the senior management team.	The majority of services have now separated or been moved into a service delivery arrangement. Although Customer Services has now been separated, there is a lack of clarity of CSN and IT in the transition into the unitary. Plans are being prepared to ensure both areas are ready to separate in line with unitary deadlines.  Work has begun to explore the impact of local government reorganisation on the jointly owned arm's length company that delivers revenues and benefits services. This will require additional resource and oversight if a decision to separate is taken.	Risk reviewed - 20/05/20 - Residual slightly elevated (impact to 3 from 2) and comments updated.
L18 -	<b>Workforce Strategy</b> The lack of effective workforce strategies could impact on our ability to deliver Council priorities and services.	Limit our ability to recruit, retain and develop staff  Impact on our ability to deliver high quality services Overreliance on temporary staff Additional training and development costs	3	4	12	Analysis of workforce data and on-going monitoring of issues  Key staff in post to address risks (e.g. strategic HR business partners) Weekly Vacancy Management process in place Ongoing service redesign will set out long term service requirements .	Partially effective  Fully  Fully  Partially	Councillor Ian Corkin	Claire Taylor	Karen Edwards	3	3	9	↑	Development of relevant workforce plans .  Development of new L&D strategy, including apprenticeships. Development of specific recruitment and retention strategies. New IT system is being implemented to improve our workforce data. The ability to interrogate and access key data (ongoing) in order to inform workforce strategies.	Training on workforce planning for the HR team planned to start in Jan/Feb 2020.	Risk reviewed 20/05/2020 - Residual risk slightly elevated (from 2 to 3)

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2020/21																	
L19 -	<b>Covid-19 Community and Customers</b> Significant spread of the Covid-19 19 virus results in potential impacts in terms of customers and communities. Including community resilience, ability to access services, consequences of prolonged social distancing or isolation, economic impacts to business, including but not limited to the visitor economy.	Possible reductions in frontline service delivery, events, meetings and customer contact.  Economic hardship impacting local business and potentially the local workforce.  Impact on vulnerable residents who may find it harder to access services.  Increased demand on both frontline and enabling services.  Prolonged risk of social isolation and the mental and physical consequence thereof.	5	4	20	Business Continuity Plans have been reviewed and tested to ensure the ongoing delivery of priority services  Remote (home based) working in place, to facilitate self isolation and limit impact on service delivery.  Communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response.  Regular updates from Director of Public Health, shared internally and externally. Partnership communications. Partnership communications enhanced and regular conversations convened.  Regular teleconference with local councils and emergency services discussing updates, concerns and best practice. (in-line with usual business continuity and emergency planning protocols). Mutual aid where appropriate with regional Thames Valley partners enable a tactical response to community resilience..  Tactical response to community resilience.  Creation of a dedicated telephony helpline to support the most clinically extremely vulnerable (shielded) residents in the county and operating extended hours each day  Provision of additional body storage as temporary place of rest to support the current mortuary provision.  Face to face customer events e.g. wedding ceremony, library provision ceased in line with government guidance  Engagement with suppliers to manage impacts across the supply chain.	Fully  Partially  Fully  Partially  Fully  Fully  Fully  Fully  Partially	Councillor Barry Wood	Yvonne Rees	Simon Furlong	4	4	16	↓	Ongoing review and implementation of Council and partnership business continuity and emergency planning arrangements.  The council will respond to new modelling figures provided by either Public Health England or Ministry of Housing, Communities and Local Government regarding excess deaths in the community  As the current lockdown is eased, we will review the impact and take the necessary steps to follow the latest guidelines and instructions  Customer contact demand will continue to be monitored and resource allocated to key priorities  Contract tracing and testing to be implemented to identify localised outbreaks.  Scenario planning to inform BCP for a local outbreak  Engagement with PHE and the DPH to manage localised outbreak scenarios	The nature of the risk is such that national public health guidelines will determine the councils' response. The councils will enact any support schemes as set out by national government as they emerge.	Risk reviewed 20/05/2020 - Residual probability risk slightly reduced (from 5 to 4) Controls and mitigating actions updated.
L20 -	<b>Covid-19 Business Continuity</b> Significant staff absence due to the Covid-19 19 virus results in potential impacts on frontline service delivery and the ability to run the councils' business on a day to day basis.	Possible reductions in frontline service delivery, events, meetings and customer contact.  Potential confusion amongst staff with regards to how to plan and respond to reduced service availability, professional support and maintain business as usual.  Requirement to reprioritise service delivery.  Requirement to offer mutual aid to partner organisations.  Potential impact in the medium to long term resilience of staff may result in wider wellbeing issues.	5	5	25	Business Continuity Plans have been reviewed and tested  Remote working in place  Staff communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response.  Regular updates from Director of Public Health, shared internally and externally.  Regular teleconference with local councils and emergency services discussing updates, concerns and best practice. (in-line with usual business continuity and emergency planning protocols).  Regular communication messages following Public Health advice  Sanitisers in washrooms  Agile working being tested further across services, ensuring equipment and access is in place.  Posters around the offices encouraging regular hand washing. Hand sanitisers available in washrooms and shared spaces.  Stocks of laptops being maintained	Fully  Partially  Fully  Fully  Fully  Fully  Partially  Fully  Fully	Councillor Barry Wood	Yvonne Rees	Claire Taylor	5	4	20	↔	Ongoing review and implementation of Council and partnership business continuity and emergency planning arrangements.	The nature of the risk is such that national public health guidelines will determine the councils' response. Various scenario planning for organisational readiness for Covid-19 peaks is underway.	Risk reviewed 20/05/2020 - No change.
L21-	<b>Post Covid-19 Recovery</b> - challenges associated with adverse impact on customers, our workforce and the budget.	Long term response to the current covid-19 pandemic  Requirement to review service delivery  Budget implications	4	4	16	Work underway, a governance programme is currently under development.  Working through a new corporate programme underpinned by policy research.  Working through the budget	Partially  Partially  Partially	Councillor Barry Wood	Yvonne Rees	Claire Taylor	3	3	9	NEW	Governance programme to be shared and implemented.  CEDR and ELT working towards new corporate programme liaising with Insight and policy support.		Risk added 20/05/2020

#### L04 - Local Plan Risk

The latest Local Development Scheme is that approved by the Executive in March 2020. It includes the programmes for the Partial Review of the Local Plan, the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canalside Supplementary Planning Document and work on a Community Infrastructure Level (CIL).

#### Partial Review

The Partial Review of the Local Plan (which seeks to help Oxford with its unmet housing need) is being independently examined. The Planning Inspector's preliminary views were received in July 2019 and were largely supportive. He recommended the deletion of a single proposed strategic housing allocation (land south east of Woodstock) and requested additional work for the re-distribution of the affected 410 homes. The necessary Main Modifications were consulted upon from 8 November to 20 December 2019. The modifications were approved by the Council on 24 February 2020 and submitted to the planning Inspector the following day. His final report is awaited. The Inspector will consider whether the Plan is 'sound' and legally compliant. No issues of legal compliance have been identified to date and in light of his preliminary advice, there is a **low risk** that he will find the Plan 'unsound'.

#### Oxfordshire Plan 2050

A Growth Deal commitment. The Plan is being prepared by a central Plan team appointed through the Oxfordshire Growth Board.. The Council contributes to the plan-making process as a partner with a view to it being adopted as part of the Development Plan upon completion.

Public consultation on an Issues Paper ended on 25 March 2019. A public 'call for location ideas' ended on 12 April. The central Plan team is evidence gathering and scoping 'spatial options' for Plan development. On 24 September 2019 the Oxfordshire Growth Board agreed a new timetable for completion of the Plan. This allows for further stakeholder engagement in Autumn/Winter 2019/20; public consultation on a formal Options Paper in June/July 2020; and, consultation on a proposed Plan at the end of 2020. The intention is to submit the Plan for Examination in March 2021. As the Plan covers five Local Planning Authority areas, is not under the immediate control of Cherwell officers and can be affected by wider regional influences, it had been considered that there was a **medium to high risk** that that the programme would be delayed. This has increased to **high risk** due to COVID19.

#### Local Plan Review

The timetable for the district-wide Local Plan review in the new Local Development Scheme requires:

- commencement in April 2020
- Consultation on Issues: July-August 2020
- Consultation on Options: February-March 2021
- Consultation on a draft Plan: October-November 2021

Additional staffing budget has been secured to help deliver this programme. The **risk to the programme is considered to be low** subject to the required staffing levels being achieved. The influence of the Oxfordshire Plan and its risk of delay to the district Plan raises the risk to **medium with mitigation**.

#### Banbury Canalside Supplementary Planning Document

The timetable for the Banbury Canalside SPD as set out in the new Local Development Scheme requires:

- preparation: March-September 2020
- formal consultation: September-October 2020
- adoption: December 2020

Additional staffing budget has been secured to help deliver this programme. The **risk to the programme would be low** subject to the required staffing levels being achieved. COVID19 and associated difficulties of site planning make this a **medium risk**.

#### Community Infrastructure Levy (CIL)

The timetable for CIL as set out in the new Local Development Scheme is aligned to Local Plan preparation. It requires:

- re-commencement: March 2021
- focused consultation on a draft charging schedule: October-November 2021
- formal consultation on a draft charging schedule: July-August 2022
- potential (if approved) submission of charging schedule: November 2022

Additional staffing budget has been secured to help deliver this programme. The **risk to the programme is low** subject to the required staffing levels being achieved.