Level of risk	How the risk should be managed
High Risk (16-25)	**Requires active management** to manage down and maintain the exposure at an acceptable level. Escalate upwards.
Medium Risk (10 -15)	**Contingency Plans** - a robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile.
Low Risk (1 – 9)	**Good Housekeeping** - 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			L01, LO4, L07, LO8, L11, L12 & L18		
	3 - Moderate		L16	L02, LO5, & L14	L10 L15	
	2 - Minor			L17		
	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 (Fully effective / Partially effective / Not effective)	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				
2019/20																	
L01 -	**Financial resilience** – 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	4	4	16	Medium Term Revenue Plan reported regularly to members.	Fully	Councillor Tony Illot	Lorna Baxter	Dominic Oakeshott	4	3	12	↔	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.	Maintaining focus in this area with ongoing review, staff and member training and awareness raising.	Risk reviewed - 16/04/2020 - Risk Owner and Comments updated.
		Reduction in services to customers				Balanced medium term and dynamic ability to prioritise resources	Fully								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.	Investment options considered as and when they arise, MTFS and budget setting being developed to enhance the scrutiny and quality of investments.	
		Increased volatility and inability to manage and respond to changes in funding levels				Highly professional, competent, qualified staff	Partially								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.	Financial System Solution Project continuing to consider future finance system options, incorporating budget management via Lean, extension of Civica and new procurement.	
		Reduced financial returns (or losses) on investments/assets				Good networks established locally, regionally and nationally	Fully								Asset Management Strategy being reviewed and refreshed.	Review underway	
		Inability to deliver financial efficiencies				National guidance interpreting legislation available and used regularly	Fully								Review of BUILD! to ensure procurement and capital monitoring arrangements are in place and development of forward programme - work still underway.	Review in hand.	
		Inability to deliver commercial objectives (increased income)				Members aware and are briefed regularly	Fully								Finance support and engagement with programme management processes continuing.	Finance business partners involved with reflection locally on outcomes.	
		Poor customer service and satisfaction				Participate in Oxfordshire Treasurers' Association's work streams	Fully								Further integration and development of Performance, Finance and Risk reporting	Integrated reporting has been embedded	
		Increased complexity in governance arrangements				Review of best practice guidance from bodies such as CIPFA, LGA and NAO	Fully								Regular involvement and engagement with senior management across County as well as involvement in Regional and National finance forums.	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.	
		Lack of officer capacity to meet service demand				Treasury management and capital strategies in place	Fully								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.	Regular training will be undertaken.	
		Lack of financial awareness and understanding throughout the council				Investment strategies in place	Fully								New approach to budget setting introduced linked to service planning. Additional challenge added into the process to ensure robustness of estimates	Budget setting for 2020/21 underway.	
						Regular financial and performance monitoring in place	Fully								Regular utilisation of advisors as appropriate.	Review of borrowing approach being considered alongside our financial advisors	
						Independent third party advisers in place	Fully								Internal Audits being undertaken for core financial activity and capital as well as service activity	Regular reporting of progress on internal audits considered by the committee	
						Regular bulletins and advice received from advisers	Fully								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.	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.	
						Property portfolio income monitored through financial management arrangements on a regular basis	Partially										
						Asset Management Strategy in place and embedded.	Partially									The impact of Covid19 has changed the financial outlook for the Council, although there are too many variables to fully determine both the medium and long term impacts. The Council is recording the additional costs and losses of income as a result of the many changes introduced during the last weeks of the financial year and is providing regular reports to Government showing the extent of the financial impact of Covid19 on the Council.	
						Transformation Programme in place to deliver efficiencies and increased income in the future	Fully										

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2019/20																	
L02 -	**Statutory functions –** 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 — Partially Clear accountability for responding to consultations with defined process to ensure Member engagement — Fully National guidance interpreting legislation available and used regularly — Fully Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed — Partially Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place — Partially Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit — Partially Internal Audit Plan risk based to provide necessary assurances — Partially Strong networks established locally, regionally and nationally to ensure influence on policy issues — Fully Senior Members aware and briefed regularly in 1:1s by Directors — 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 08/04/20 - Risk reviewed, mitigation actions updated, Risk owner updated
L04 -	**CDC Local Plan** - 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 — Partially Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity. — Partially Some additional resource budgeted for 20/21. — Partially Delegations to Chief Exec agreed to ensure timely decisions — Fully On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies — 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 and updated 06/04/2020. Comments added

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2019/20																	
L05 -	**Business Continuity** - 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	4	4	16	Business continuity strategy in place	Fully	Councillor Andrew McHugh	Rob MacDougall	Richard Webb	3	3	9	↔	Business Continuity Statement of Intent and Framework agreed by CEDR	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 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.	Risk Reviewed 08/04/2020 - Comments updated
		Financial loss				Services prioritised and recovery plans reflect the requirements of critical services	Fully								Cross-council BC Steering Group meets regularly to identify BC improvements needed		
		Loss of important data				ICT disaster recovery arrangements in place	Fully								ICT transition to data centre and cloud services have reduced likelihood of ICT loss and data loss		
		Inability to recover sufficiently to restore non-critical services before they become critical				Incident management team identified in Business Continuity Strategy	Partially								Corporate ownership and governance sits at senior officer level		
		Loss of reputation				All services undertake annual business impact assessments and update plans	Fully								BC Impact assessments and BCPs in place for all teams and peer reviewed by OCC's Emergency Planning team		
						Business Continuity Plans tested	Partially								Progress report was provided to CEDR in March 2019 BC assurance framework under development		
L07 -	**Emergency Planning (EP)** - 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	4	4	16	Key contact lists updated monthly.	Fully	Councillor Andrew McHugh	Rob MacDougall	Richard Webb	3	4	12	↔	Emergency plan contacts list being updated monthly and reissued to all duty managers.	Emergency plans enacted and command structures established with partner organisations to support the response to the Covid-19 19 pandemic. The council is also maintaining its duty director rota for any other emergency incidents that might arise.	Risk Reviewed 08/04/2020 - Comments updated
		Unnecessary hardship to residents and/or communities				Emergency Planning Lead Officer defined with responsibility to review, test and exercise plan and to establish, monitor and ensure all elements are covered	Partially								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.		
		Risk to human welfare and the environment				Added resilience from cover between shared Environmental Health and Community Safety Teams as officers with appropriate skill	Fully								Supporting officers for incident response identified in the emergency plan and wallet guide		
		Legal challenge				Senior management attend Civil Emergency training	Fully								Drop in training session now taking place monthly (from June) covering a range of topics.		
		Potential financial loss through compensation claims				Multi agency emergency exercises conducted to ensure readiness	Fully								Senior managers have attended multi-agency exercises and duty manager training with OCC senior managers.		
		Ineffective Cat 1 partnership relationships				On-call rota established for Duty Emergency Response Co- ordinators	Fully								On-call rota being maintained		
						Active participation in Local Resilience Forum (LRF) activities	Fully								Authority represented at the Local Resilience Forum		

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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	Fatality, serious injury & ill health to employees or members of the public	5	4	20	New Health & Safety Corporate HS&W Policy and Corporate Arrangements & 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 & safety.	Partially	Councillor Lynn Pratt	Yvonne Rees	Ceri Harris	3	4	12	↔	A new Corporate Health, Safety and Wellbeing Policy was ratified BPM meeting on 17th June. The Corporate arrangements are in the process of being updated. At the time of updating this document 33 out of the 44 Corporate Arrangements have been reviewed and updated. The completed Corporate Arrangements have now been uploaded onto the intranet.	The Executive Leadership Team (ELT) receives a quarterly report from the Corporate H&S Manager.	Risk reviewed 08/04/2020 - Commentary updated
		Criminal prosecution for failings				Clearly identified accountability and responsibilities for Health and Safety established at all levels throughout the organisation	Fully								Following the ratification of the new 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.	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.	
		Financial loss due to compensation claims				Corporate H&S Manager & H&S Officer in post to formalise the H&S Management System & provide competent H&S advice & assistance to managers & employees.	Fully								As Health and Safety Officers are in place no further action is required and risk mitigated.	These two posts are established posts and budgeted accordingly to secure future funding for continuity.	
		Enforcement action – cost of regulator (HSE) time				Proactive monitoring of Health & Safety performance management internally	Fully								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&S management system to ensure compliance with legislative standards. This is temporarily on hold due to the Coronavirus Lockdown	The H&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. The audit reports have been provided to the relevant service managers, including recommendations, advise and timescales for remediation.	
		Increased agency costs				Effective induction and training regime in place for all staff	Partially								Management of H&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.	Final sign off from the HR/Training Manager for training procurement and implementation due. Final tweaks being made prior to launch of eLearning package	
		Reduction in capacity impacts service delivery				Positive Health & Safety risk aware culture	Partially								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.	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.	
		Reputational Impact				Corporate Health & Safety meeting structure in place for co-ordination and consultation	Partially								Currently the Council has no formal committee structure in place for the consultation of health safety with staff.	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.	
						Corporate body & Member overview of Health & Safety performance	Fully								Quarterly reporting to ELT and to the Portfolio Holder by the Corporate Health and Safety Manager	Reporting dates have been agreed and adhered to.	
						Assurance that third party organisations subscribe to and follow Council Health & Safety guidelines and are performance managed where required	Fully								Robust procurement process that requires health and safety documentation and commitment to be proven prior to engagement of contractors.	Corporate Health and Safety has scheduled to undertake a review of Procurement process to ensure compliance.	

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2019/20																	
L09 -	**Cyber Security** - 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.	Service disruption	4	5	20	File and Data encryption on computer devices	Fully	Councillor Ian Corkin	Claire Taylor	David Spilsbury	3	5	15	↔	The cyber-essentials plus certification has now been passed.	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.	Risk Reviewed 07/04/20 - Controls and mitigation actions updated.
		Financial loss / fine				Managing access permissions and privileged users through AD and individual applications	Fully										
		Prosecution – penalties imposed				Consistent approach to information and data management and security across the councils	Fully								Accounts, Audit & Risk Committee Members updated and given a presentation on Cyber Security November 2019		
		Individuals could be placed at risk of harm				Effective information management and security training and awareness programme for staff	Fully								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.		
		Reduced capability to deliver customer facing services				Password security controls in place	Fully								Implemented an intrusion prevention and detection system.		
		Unlawful disclosure of sensitive information				Robust information and data related incident management procedures in place	Fully								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.		
		Inability to share services or work with partners				Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services	Fully								Cyber Awareness e-learning available and will be part of new starters induction training.		
		Loss of reputation				Appropriate plans in place to ensure ongoing PSN compliance	Fully								Cyber Security issues regularly highlighted to all staff.		
						Adequate preventative measures in place to mitigate insider threat, including physical and system security	Fully								External Health Check undertaken January 2020, no high risk security issues highlighted.		
						Insider threat mitigated through recruitment and line management processes	Fully										
						Cookie pop-ups on the website	Partially								Implementation using Cookiebot in progress with 3rd party website provider.		
						Increased threat to security during Covid-19 period in part due to most staff working from home.	Fully								Additional IT security advice provided for all staff during the Covid-19 working at home period including online coronavirus related scams		
L10 -	**Safeguarding the vulnerable (adults and children)** - Failure to follow our policies and procedures in relation to safeguarding vulnerable adults and children or raising concerns about their welfare	Increased harm and distress caused to vulnerable individuals and their families	4	4	16	Safeguarding lead in place and clear lines of responsibility established	Partially	Councillor Barry Wood	Ansaf Azhar	Nicola Riley	3	4	12	↑	Ongoing internal awareness campaigns	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..	Risk Reviewed 01/04/2020 - Risk score changed and commentary updated.
		Council could face criminal prosecution				Safeguarding Policy and procedures in place	Fully								Ongoing external awareness campaigns		
		Criminal investigations potentially compromised				Information on the intranet on how to escalate a concern	Fully								Annual refresher and new training programmes including training for new members		
		Potential financial liability if council deemed to be negligent				Mandatory training and awareness raising sessions are now in place for all staff.	Fully										
						Safer recruitment practices and DBS checks for staff with direct contact	Fully								Continue to attend groups focused on tackling child exploitation		
						Action plan developed by CSE Prevention group as part of the Community Safety Partnership	Partially										
						Data sharing agreement with other partners	Partially										
						Attendance at Children and Young People Partnership Board (CYPPB)	Fully										
						Annual Section 11 return compiled and submitted as required by legislation.	Fully										
						Engagement with Joint Agency Tasking and Co-ordinating Group (JATAC) and relevant Oxfordshire County Council (OCC) safeguarding sub group	Fully										
						Engagement at an operational and tactical level with relevant external agencies and networks	Fully										

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L11 -	**Sustainability of Council owned companies and delivery of planned financial and other objectives** - 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 — Fully Financial planning for the companies undertaken that will then be included within our own Medium term financial plan — Fully Ensure strong corporate governance mechanisms are in place — Partially Sound monitoring in place of both business and financial aspects of the companies and the impact on overall council performance — Fully Training in place for those undertaking roles relating to the companies — Partially		Councillor Tony Illot	Steve Jorden	Jonathan MacWilliam	3	4	12	⟷	Changes in the shareholder support side line management been put in place. Additional oversight and capacity from senior managers including performance dashboards at CEDR Resilience and support being developed across business to support and enhance knowledge around council companies Skills and experience being enhanced to deliver and support development, challenge and oversight. Work with one company to ensure long term support arrangements are put in place.	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 Gravenhill 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 line with All three companies being impacted by situation and close review of ongoing business plans needed as government restrictions are reviewed.	Risk reviewed - 20/04/2020 - Risk Owner and commentary
L12 -	**Financial sustainability of third party suppliers including contractors and other partners** - 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 pace 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 — Partially Business continuity planning arrangements in place in regards to key suppliers — Partially Ensuring that proactive review and monitoring is in place for key suppliers to ensure we are able to anticipate any potential service failures — 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 27/04/2020 - Comments updated
L14 -	**Corporate Governance** - 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. — Partially Clear accountability and resource for corporate governance (including the shareholder role). — Partially Integrated budget, performance and risk reporting framework. — Partially Corporate programme office and project management framework. Includes project and programme governance. — Partially Internal audit programme aligned to leadership risk register. — Partially Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc. — Partially HR policy framework. — Partially Annual governance statements 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. — Partially 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.		Councillor Barry Wood	Yvonne Rees	Nick Graham	3	3	9	⟷	Standing item at senior officer meetings – regular review of risk and control measures Review of constitution to take place 2018/19 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 o be in placed by 16 January 2019.	Risk reviewed 20/04/20 - Potential Impact, Controls and mitigating actions updated.

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment (Fully effective / Partially effective / Not effective)	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
2019/20			Probability	Impact	Rating						Probability	Impact	Rating				
L15 -	**Oxfordshire Growth Deal (contract with HMG)** As a result of a lack of experience of this scale and nature of partnership delivery there is a risk that inadequate levels of control will be applied by the Partnership to Oxfordshire Housing and Growth Deal governance, resourcing and delivery and that CDC (and its partners) will fail to meet its publicly stated Contractual commitments to its Partners and Government over the 5-year term.	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 to plan late Cost of infrastructure to accelerate circa 6500 homes within 5-year term significantly beyond 2018 budget cost estimate DC GVA: no defined metrics in HGDDP but linked to homes accelerated/infrastructure/affordable homes delivered/JSSP progress and delivery [JSSP] Delete [Affordable Houses] Delete [Productivity] Delete	5	5	25	Appointment of an interim advisor to guide and support delivery of the GD programme and risk management controls	Fully	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) Appropriate engagement with members in support of their advisory/scrutiny at GD Board level Governance and performance management Improved collaboration working with partners to hold them to account for their part of delivery Securing approval of a resourced GD Y3 plan to be delivered in a collaborative partnership environment	With the wide ranging restrictions in place Growth Deal is impacted in multiple ways. With the curtailment of construction the delivery of accelerated housing and affordable units is severely impacted. Evidence gathering for the Oxfordshire Plan is compromised and, with the impact on the economy, work on the Cherwell Industrial Strategy has been paused to create capacity to support local businesses. A request has been submitted to central government to review the overall programme time scale. Clearly there will be an impact if key personnel are affected by illness due to COVID-19 or other reasons.	Risk reviewed 06/04/2020 - Narrative updated to reflect the COVID-19 impact on programme.
						Recognition of issues in CDC GD arrangements and delivery of a 6-week review to identify and propose an action plan to manage and bring the issues within control (see 6-week plan)	Partially										
						Establish CDC organisational fit of GDC GD as a programme capability reporting to CEDR through the Place Board	Fully										
						Secured approval for CDC GD next stage plan at CEDR 17/12/18 which targets setting up CDC GD programme board, work stream capability and leadership supported by CDC Transformation PMO by end March 19 (see Board paper and Next stage Plan Proposal)	Fully										
						Built on CDC PMO RAID principles and developed initial RAID logs for each work stream (capture risks, issues, dependencies and assumptions) to help define "gives and gets" as a basis for holding all to account for defined and transparent baseline delivery.	Fully										
						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.	Partially										
L16 -	**Joint Working** 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	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 - 11/05/20 - no changes.
						Partnership Working Group established with OCC to oversee the development of joint working proposals.	Fully										
						Robust programme and project management methodologies in place.	Fully										
L17 -	**Separation** 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.	Fully	Councillor Ian Corkin	Yvonne Rees	Claire Taylor	3	2	6	↔	Regular reporting on joint working proposals to the senior management team.	All services apart from Customer Services have now separated or been moved into a service delivery arrangement. Customer service is on track for an April separation after council tax billing has been completed, This will ensure customer service capacity is not impacted during the busy period. This work is on track. 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 - 11/05/20 - No changes.
						Robust programme and project management frameworks in place.	Fully										
L18 -	**Workforce Strategy** 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	Partially effective	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.	Training on workforce planning containing as part of recovery phase.	Risk reviewed 11/05/2020 - no changes.
						Key staff in post to address risks (e.g. strategic HR business partners)	Fully										
						Weekly Vacancy Management process in place	Fully										
						Ongoing service redesign will set out long term service requirements .	Partially effective										

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment (Fully effective / Partially effective / Not effective)	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
2019/20			Probability	Impact	Rating						Probability	Impact	Rating				
L19 -	**Covid-19 Community and Customers** 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 — Fully Remote working in place, to facilitate self isolation and limit impact on service delivery. — Partially Communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response. — Fully Regular updates from Director of Public Health, shared internally and externally. Partnership communications. — Partially 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. — Fully Tactical response to community resilience. — Fully Engagement with suppliers to manage impacts across the supply chain. — Partially		Councillor Barry Wood	Yvonne Rees	Simon Furlong	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. The councils will enact any support schemes as set out by national government as they emerge.	Risk added 11/05/2020
L20 -	**Covid-19 Business Continuity** 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. Assess critical services and consider alternative methods of delivery	5	5	25	Business Continuity Plans have been reviewed and tested — Fully Remote working in place — Partially Staff communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response. — Fully Regular updates from Director of Public Health, shared internally and externally. — Fully Regular teleconference with local councils and emergency services discussing updates, concerns and best practice. (in-line with usual business continuity and emergency planning protocols). — Fully Regular communication messages following Public Health advice — Fully Sanitisers in washrooms/corporate buildings. — Fully Agile working being tested further across services, ensuring equipment and access is in place. — Partially Posters around the offices encouraging regular hand washing. Hand sanitisers available in washrooms and shared spaces. — Fully Improved understanding of the risk factors across the workforce identified through COVID-19 data. — Partially Stocks of laptops being maintained — 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.	The nature of the risk is such that national public health guidelines will determine the councils' response. Risk controls and mitigating action updated.	Risk added 13/03/2020 11/05/20

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 beeen 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 mitgation.**

Banbury Canalside Supplemenatry Planing Document

The timetable for the Banbury Canalside SPD as set out in the new Local Developmnet Scheme requires:
- preparation: March-September 2020
- formal consultation: September-October 2020
- adoption: December 2020

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