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		
	4 - Major			L04, L07, L11, L12 & L17	L01 & L19	
	3 - Moderate		L16	L02, L05, L14, L18 & L21	L08,L15,L20	
	2 - Minor				L10	
	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		Fully effective / Partially effective / Not effective				Probability	Impact	Rating				
2020/21																	
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				Medium Term Revenue Plan reported regularly to members.									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 - 13/08/2020 - No changes
		Reduction in services to customers				Balanced medium term and dynamic ability to prioritise resources	Fully / 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										
		Poor customer service and satisfaction				Participate in Oxfordshire Treasurers' Association's work streams	Fully								Finance support and engagement with programme management processes continuing.	Finance business partners involved with reflection locally on outcomes.	
		Increased complexity in governance arrangements				Review of best practice guidance from bodies such as CIPFA, LGA and NAO	Fully								Further integration and development of Performance, Finance and Risk reporting	Integrated reporting has been embedded	
		Lack of officer capacity to meet service demand				Treasury management and capital strategies in place	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 financial awareness and understanding throughout the council				Investment 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.	
			4	4	16	Regular financial and performance monitoring in place	Fully	Councillor Tony Illot	Lorna Baxter	Michael Furness	4	4	16	↔	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. All Member briefing to update on latest position taking place on 21 July.	
						Independent third party advisers in place	Fully								Regular utilisation of advisors as appropriate.	Review of borrowing approach being considered alongside our financial advisors	
						Regular bulletins and advice received from advisers	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	
						Property portfolio income monitored through financial management arrangements on a regular basis	Partially								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.	
						Asset Management Strategy in place and embedded.	Partially									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. Awaiting further economic update from the Chancellor during June 2020 and Spending Review in the autumn.	
						Transformation Programme in place to deliver efficiencies and increased income in the future	Fully										

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2020/21																	
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 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 Partially Fully Partially	Councillor Barry Wood	Steve Jorden	Sukdave Ghuman	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 17/08/20 - further checks in place internally resulting in no change to residual risk.
L03 -	**CLOSED RISK** ~~Organisational Capacity - Ability to deliver Council priorities and services impacted by increased workload and reduced capacity/resilience following end of joint working arrangements with South Northamptonshire Council.~~	Financial impact due to use of agency staff, possible impact on customers and frontline service delivery if capacity risks are not managed. Inability to deliver council's plans Inability to realise commercial opportunities or efficiencies Reduced resilience and business continuity Reduced staff morale, increased workload and uncertainty may lead to loss of good people	4	4	16	Weekly HR Vacancy Control process in place to ensure appropriate resourcing decisions are made. Arrangements in place to source appropriate interim resource if needed Ongoing programme of internal communication Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required. CDC Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key organisational matters including resourcing. Partnership Working Group established with OCC to oversee joint working opportunities.	Partially Fully Fully Fully Partially Partially	Councillor Barry Wood	Yvonne Rees	Claire Taylor	3	3	9		Weekly CEDR and monthly ELT meetings with clear escalation pathways for issues to be resolved. Learning and development opportunities identified and promoted by the Chief Executive. Regular communications from Chief Executive. Quarterly staff briefings from Assistant Directors. External support secured for key corporate projects including CDC/OCC joint working, Growth Deal and IT Transformation Programme.	Proposals for two Joint Corporate Directors between CDC and OCC approved. Opportunities for joint working with OCC being explored for Legal, Finance and Strategic Capability (corporate services).	Risk reviewed 20/11/19 - Removed
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 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 (LDS) 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). The Examination of the Partial Review of the Local Plan ended on 6 August 2020 with receipt of the Inspector's Report. On 2 June 2020, the Oxfordshire Growth Board agreed a further revision to the timetable for completion of the Oxfordshire 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 would require re-consideration of the risk. Consultation on a district-wide Local Plan Review Issues Paper commenced on 31 July 2020 in accordance with the LDS programme. The 2019 Annual Monitoring Report was approved by the Executive on 7/1/2020.	Risk reviewed 11/08/2020 - Comments updated.

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2020/21																	
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 provided business continuity status reports for their critical services weekly during the covid-19 lockdown. These demonstrated that the council could continue to provide critical services throughout the period. Remote working enables most teams to work effectively from home and sustain services whilst also avoid unnecessary social contacts. A process for restoration of services is in place and being implemented across the teams. A lessons learned process has commenced to ensure business continuity plans are updated to reflect recent learning and to prepare for any second wave of the virus of local lockdown.	Risk Reviewed 10/08/2020 - 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.	The Emergency Plans which were enacted and command structures established with partner organisations to support the response to the Covid-19 19 pandemic have now progressed to a recovery phase. Specific attention is being given to the plans for managing local outbreaks or increased infection rates. Partners are liaising with organisers of events to ensure they have robust infection management arrangements in place and that there is awareness of all the events being planned. The council is maintaining its duty director rota for any other emergency incidents that might arise.	Risk Reviewed 10/08/2020 - Comments amended.
		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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2020/21																	
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 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.	The Executive Leadership Team (ELT) receives a quarterly report from the Corporate H&S Manager.	Risk reviewed 14/08/2020 - No changes
		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 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 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.	
		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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2020/21			Probability	Impact	Rating		Fully effective Partially effective Not effective				Probability	Impact	Rating				
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 10/08/20 - Control assessment 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								Internal Audit completed a cyber audit in June 2020 with no major issues or significant risks identified. The findings have an agreed action plan in place.		
						Cookie pop-ups on the website	Fully								Cookiebot live on website for users to confirm cookie preferences.		
						Increased threat to security during Covid-19 period in part due to most staff working from home.	Fully								Joint OCC/CDC Cyber Security Officer started work August 2020		
															Additional IT security advice provided for all staff during the Covid-19 working at home period including online coronavirus related scams. Update provided to Accounts, Audit & Risk Committee Members July 2020.		
L10 -	**Safeguarding the vulnerable (adults and children)** - Failure to follow our policies and procedures in relation to and service delivery that 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	Fully	Councillor Barry Wood	Ansaf Azhar	Nicola Riley	2	4	8	↔	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 13/08/2020 - No changes
		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								Attendance at safeguarding boards and participation in learning events		
						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	Fully										
						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

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 | ↔ | 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 continue to handle increased demands through various grant schemes and increased benefit enquiries

Gravenhill resumed development within the current restrictions. Looking at schemes to assist buyers

Occupation of Crown House continues with letting agents active in the market

Regular liaison with the Shareholder Representative to ensure full understanding of ongoing pandemic impact | Risk reviewed - 13/082020 - Comments updated |
| L12 - | **Financial sustainability of third-party suppliers including contractors and other partners Supply** chain management ensuring effective delivery through the supply chain | The financial failure of a third party supplier or partner results in the inability or reduced ability to deliver a service to customers. A reduced supply market could also result in increased costs due to the council's'; loss of competitive advantage. | 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 | ↔ | Service areas to hold meetings as required with suppliers to review higher risk areas and ensure risks are being managed.

The Procurement Team is now providing ELT members and identified Contract Mangers a monthly update of all suppliers with spend above £25k c/w a credit risk rating score to enable contract managers to manage any identified risks, with support from the Procurement Team. Furthermore, as a result of Covid-19 the likelihood of this risk is deemed to have increased and thus the procurement and finance team now hold a weekly joint meeting to consider funding solutions to support At Risk Suppliers in accordance with the national guidance note PPN04/20. | Risk is being managed by service area contract managers c/w the provision of a monthly report and the weekly joint procurement and finance meeting. | Risk reviewed 11/08/2020 - Risk description, potential impact, mitigating actions and comments updated. |
| L13 - | ~~CLOSED RISK 18/11/19 - Separation and Joint Working - Separation of joint services with SNC and development of joint working partnership with OCC impacts on the provision of services to residents and communities.~~ | Inability to deliver Council priorities and plans, impacting on quality of services delivered to residents and communities.

Reduced resilience and business continuity

Reduced staff morale, increased workload and uncertainty may lead to loss of good people

Opportunities for joint working with OCC take longer to develop than planned delaying potential service improvements for residents and communities.
Northamptonshire re-organisation impacts on services being delivered to SNC from CDC, impacting on the quality of services delivered to residents and communities. | 5 | 4 | 20 | Agreed programme of separation in place between CDC and SNC

Programme Board and Project Team established to deliver separation.

S113 agreement in place with Oxfordshire County Council

Partnership Working Group established with OCC to oversee the development of joint working proposals.

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.

Regular review and sharing of partnership activity / engagement at senior officer meetings | Fully

Fully

Fully

Fully

Partially

Partially | Councillor Barry Wood | Yvonne Rees | Claire Taylor | 4 | 3 | 12 | ↔ | Standing item at senior officer meetings - regular review of risk and control measures.

Legal advice sought with regards to the employment implications of re-organisation and separation proposals.

Separation tracker and risk register to be circulated at all senior management meetings.

Collaboration Agreement to underpin joint working with SNC following the end of the s113 in place. | All services have now either been separated or moved into service delivery arrangements with SNC.

Reviews of service delivery arrangements with SNC to take place between October-December 2019.

Strategic Capability proposal considered by Partnership Working Group in August.

Proposals for two Joint Corporate Directors between CDC and OCC approved in July. | Risk reviewed 01/11/19 - Removed |

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
2020/21			Probability	Impact	Rating		Fully effective Partially effective Not effective				Probability	Impact	Rating				
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	Councillor Barry Wood	Yvonne Rees	Steve Jorden	3	3	9	↔	Standing item at senior officer meetings – regular review of risk and control measures	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 13/08/20 - No changes
						Clear accountability and resource for corporate governance (including the shareholder role).	Partially										
						Integrated budget, performance and risk reporting framework.	Partially								Implementation of corporate programme office – May 2018		
						Corporate programme office and project management framework. Includes project and programme governance.	Partially								Full review of HR policy to be undertaken during 2018/19		
						Internal audit programme aligned to leadership risk register.	Partially								Monitoring Officer to attend management team meetings		
						Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.	Partially								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.		
						HR policy framework.	Partially										
						Annual governance statement process under review and deadline delayed by Government.	Partially										
						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.											
L15 -	**L15 Oxfordshire Growth Deal - (contract with HMG)**	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	Fully	Councillor Barry Wood	Robert Jolley	Jonathan MacWilliam	4	3	12	↔	A CDC GD programme and programme board capability	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. Any Government incentives (Stamp Duty variations etc.) may impact the developers negotiations with RPs.	Risk reviewed 10/08/2020 - No changes.
						Engagement with housing developers to understand their commercial constraints.	Partially								Work stream plans of work (work stream brief, schedule, RAID log)		
						Engage with developers to ascertain which sites would benefit most from infrastructure delivery	Partially								Structured engagement with developers to better understand their needs		
						Identify potential "top up" schemes to supplement GD affordable housing scheme	Fully								Appropriate escalation of issues to agree programme flexibilities where required		
						Utilise effective Programme controls to facilitate prompt escalation of issues to enable appropriate decision making and delivery timescale review	Fully								Improved collaboration working with partners		
						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								Securing approval of a resourced GD Y3 plan to be delivered in a collaborative partnership environment		
L16 -	**Joint Working** That the challenges and risks associated with joint working between Cherwell and OCC, 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.	3	3	9	S113 agreement in place with Oxfordshire County Council Partnership working group meets quarterly programme management in place	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 now in place. 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 - 20/08/20 - No changes.
		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.				Partnership Working Group established with OCC to oversee the development of joint working proposals.	Fully										
		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.				Robust programme and project management methodologies in place.	Fully										

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2020/21																	
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. Specific impacts on Revenues & Benefits and IT services which are the only remaining shared services.	3	4	12	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. Currently SNC are not able to confirm end date or transitional arrangements for these shared services going into West Northamptonshire Unitary. This created a level of uncertainty for Cherwell, plans are being prepared for separation on the assumption that West Northants will seek to deliver their own IT, Revs and benefits services. Legal advice is being sort with regards to governance and technical advice is being sort regarding technology.	Partially	Councillor Ian Corkin	Yvonne Rees	Claire Taylor	3	4	12	↔	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. IT separation project underway with SNC in early stages of development.	Risk reviewed - 20/08/20 - No changes.
		Services being delivered to SNC are impacted by re-organisation in Northamptonshire, impacting on the quality of services delivered to residents and communities				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	3	4	12	Analysis of workforce data and on-going monitoring of issues	Partially	Councillor Ian Corkin	Claire Taylor	Karen Edwards	3	3	9	↔	Development of relevant workforce plans .	Training on workforce planning for the HR team planned to start across both CDC and OCC during Quarter 3.	Risk reviewed 24/08/2020 - No changes
		Impact on our ability to deliver high quality services				Key staff in post to address risks (e.g. strategic HR business partners)	Fully								Development of new L&D strategy, including apprenticeships.		
		Overreliance on temporary staff				Weekly Vacancy Management process in place	Fully								Development of specific recruitment and retention strategies.		
		Additional training and development costs				Ongoing service redesign will set out long term service requirements	Partially								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.		
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.	5	4	20	Business Continuity Plans have been reviewed and tested to ensure the ongoing delivery of priority services	Fully	Councillor Barry Wood	Yvonne Rees	Rob MacDougall	4	4	16	↔	Ongoing review and implementation of Council and partnership business continuity and emergency planning arrangements. COVID19 security on building are being put in place to support the restart of services and this is being coordinated by the Organisational Recovery Steering Group and CEDR An urgent review of business continuity plan is currently underway and will be completed in August to adjust for COVID19 disruption and possible further outbreaks. Outbreak planning is underway with Standard Operating Procedures being created for key risk areas which will be tested at the start of September	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. Easing of lockdown restrictions balanced against the risk of localised outbreaks is somewhat reducing the risk of people being unable to access services	Risk reviewed 31/07/20 - Mitigating actions and commentary updated.
		Economic hardship impacting local business and potentially the local workforce.				Remote (home based) working in place, to facilitate self isolation and limit impact on service delivery.	Partially								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		
		Impact on vulnerable residents who may find it harder to access services.				Communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response.	Fully										
		Increased demand on both frontline and enabling services.				Regular updates from Director of Public Health, shared internally and externally. Partnership communications. Partnership communications enhanced and regular conversations convened.	Partially								Customer contact demand will continue to be monitored and resource allocated to key priorities		
		Prolonged risk of social isolation and the mental and physical consequence thereof.				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..	Fully								Contract tracing and testing to be implemented to identify localised outbreaks.		
						Tactical response to community resilience.	Fully										
						Creation of a dedicated telephony helpline to support the most clinically extremely vulnerable (shielded) residents in the county and operating extended hours each day	Fully								Scenario planning to inform BCP for a local outbreak Engagement with PHE and the DPH to manage localised outbreak scenarios		
						Provision of additional body storage as temporary place of rest to support the current mortuary provision.	Fully										
						Face to face customer events e.g. wedding ceremony, library provision ceased in line with government guidance	Fully										
						Engagement with suppliers to manage impacts across the supply chain.	Partially										

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2020/21																	
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.	5	4	20	Business Continuity Plans have been reviewed and tested Guidance has been prepared for managers to support agile working. A survey is taking place to ensure we are meeting remote working needs, facilities management are working to create covid compliant work spaces. 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.	Fully Partially Fully Fully Fully Fully Fully Partially Fully Fully	Councillor Barry Wood	Yvonne Rees	Claire Taylor	3	4	12	↓	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. Inherent (from 25 to 20) and residual risk reduced (20 to 16) due to Covid occurrence currently reduced. Risk will increase as / if further peaks or local outbreak are likely. Progress establishing the local outbreak plans and the Health Protection Board support mitigation of risk.	Risk reviewed 20/08/2020 - Scores decreased, controls and comments updated.
L21-	**Post Covid-19 Recovery -** 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. Executive has agreed a recovery strategy working is underway to transition from an emergency planning environment to recovering environment. Working through a new corporate programme underpinned by policy research. In year Budget will be considered by Executive in August to ensure the Council remains in a financially sustainable position in year.	Partially Partially Partially	Councillor Barry Wood	Yvonne Rees	Claire Taylor	3	3	9	↔	Governance programme to be shared and implemented. CEDR and ELT working towards new corporate programme liaising with Insight and policy support. In year budget on track.	Action completed.	Risk reviewed 20/08/2020 - Mitigating actions updated.

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 Inspector's report for the Examination of the Partial Review of the Local Plan (which seeks to help Oxford with its unmet housing need) was received on 6 August and has been published. The Inspector concludes that with modifications (as suggested by the Council) the Plan is 'sound'. Officers are now preparing to report to Members.

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 2 June 2020, the Oxfordshire Growth Board agreed a further revision to the timetable for completion of the Plan. This allows for further stakeholder engagement in September 2020; public consultation on a formal Options Paper in January 2021; and, consultation on a proposed Plan in September 2021. The intention is to submit the Plan for Examination in January 2022. 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
- Consultation of a Proposed Submission Plan: July-August 2022
- Submission for Examination: November 2022

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. An issues consultation commenced on 31 July 2020.

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.   There has been some slippage in re-commencing the work.

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. There has been some slippage in re-commencing the work.