Appendix 1 – Leadership Risk Register as at 08/10/2020

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	L01, L17 & L19	
	3 - Moderate		L16	L02, L05, L14, L15, L18 & L21	L08 & 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.									Review of workload and capacity across the team. Beginning interim recruitment process of vacant capital post. 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. Moving to a risk based approach to budget monitoring in order to address workload issues and vacancies in the team, as well as exploring joint working opportunities with OCC	Risk reviewed - 07/10/2020 - 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 Review in hand.	
		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.	Finance business partners involved with reflection locally on outcomes.	
		Inability to deliver commercial objectives (increased income)				Members aware and are briefed regularly	Fully								Finance support and engagement with programme management processes continuing.	Integrated reporting has been embedded	
		Poor customer service and satisfaction				Participate in Oxfordshire Treasurers' Association's work streams	Fully								Further integration and development of Performance, Finance and Risk reporting	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.	
		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.	Regular training will be undertaken.	
		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.	Budget setting for 2020/21 underway. Budget and Business Planning Process Report considered by BPC on 29 September and Executive on 5 October.	
		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	Review of borrowing approach being considered alongside our financial advisors	
						Regular financial and performance monitoring in place	Fully								Regular utilisation of advisors as appropriate.	Regular reporting of progress on internal audits considered by the committee	
						Independent third party advisers in place	Fully	Councillor Tony Illot	Lorna Baxter	Michael Furness							
			4	4	16	Regular bulletins and advice received from advisers	Fully				4	4	16	↔	Internal Audits being undertaken for core financial activity and capital as well as service activity		
						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. The ongoing impact of Covid on business rates and council tax income will be carefully monitored. When the Spending Review is announced this will be analysed to assess what implications this may have for the Council. 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. The Council agreed a revised budget for 2020/21 to address the short term impacts of Covid-19 and provided its Budget and Business Planning Process 2021/22 - 2025/26 report to Executive on 5 October 2020. Awaiting further economic update from the Chancellor via Spending Review in the autumn.	
						Asset Management Strategy in place and embedded.	Partially										
						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.	Partially	Councillor Barry Wood	Steve Jorden	Sukdave Ghuman	3	3	9	↔	Establish corporate repository and accountability for policy/legislative changes.	Service plans for 2019-20 received and currently being reviewed. Performance framework for 2020-21 to be agreed.	Risk reviewed 07/10/20 - No changes
						Clear accountability for responding to consultations with defined process to ensure Member engagement									Review Directorate/Service risk registers		
						National guidance interpreting legislation available and used regularly	Fully								Ensure Committee forward plans are reviewed regularly by senior officers	Review of Leadership Risk Register and Risk Strategy for 2020-21 in progress.	
						Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly	Fully / Partially								Ensure Internal Audit plan focusses on key leadership risks		
						Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place	Partially								Develop stakeholder map, with Director responsibility allocated for managing key		
						Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit	Partially								Standardise agendas for Director / PFH 1:1s		
						Internal Audit Plan risk based to provide necessary assurances	Partially								New legislation and Government guidance in response to COVID19 will assist service adjustment		
						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								Allocate specific resource to support new projects/policies or statutory requirements e.g. GDPR		
L03 -	**CLOSED RISK** ~~Organisational Capacity - Ability to deliver Council priorities and impacted by workload and capacity/resilience following end of joint working with South Northamptonshire Council.~~	Financial impact due to use of agency staff, possible impact on customers and frontline service delivery if capacity risks are managed.	4	4	16	Weekly HR Vacancy Control process in place to ensure appropriate resourcing decisions are made.	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.	Proposals for two Joint Corporate Directors between CDC and OCC approved.	Risk reviewed 20/11/19 - Removed
		Inability to deliver council's plans				Arrangements in place to source appropriate interim resource if needed	Fully								Learning and development opportunities identified and promoted by the Chief Executive.	Opportunities for joint working with OCC being explored for Legal, Finance and Strategic Capability (corporate services).	
		Inability to realise commercial opportunities or efficiencies				Ongoing programme of internal communication	Fully								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.		
		Reduced resilience and business continuity				Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required.	Fully										
		Reduced staff morale, increased workload and uncertainty may lead to loss of good people				CDC Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key organisational matters including resourcing.	Partially										
						Partnership Working Group established with OCC to oversee joint working opportunities.	Partially										
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.	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	Councillor Colin Clarke	Paul Feehily	David Peckford	3	4	12	↔	Regular review meetings on progress and critical path review	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 Levy (CIL). The Partial Review of the Local Plan was adopted by Council on 7 Sept. An issues consultation for the Local Plan Review was completed on 14 Sept in accordance with the LDS timetable. Re-starting work on the Canalside SPD has been delayed and the timetable for the Oxon Plan process is outside the Council's direct control. Officers are considering the proposed national changes to the planning system which could affect how plans are prepared. This may also influence a decision on whether or not to proceed with work on CIL.	Risk reviewed 07/10/2020 - Comments updated
															Regular Corporate Director and Lead Member		
															LDS updated as required with programme 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.		
		Negative (or failure to optimise) economic, social, community and environmental gain				Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity.	Partially								Regular Corporate Director and Lead Member briefings		
		Negative impact on the council's ability to deliver its strategic objectives, including its commitments within the Oxfordshire Housing & Growth Deal.				Some additional resource budgeted for 20/21.	Partially								LDS updated as required with programme management approach adopted to ensure progress against plan		
		Increased costs in planning appeals				Delegations to Chief Exec agreed to ensure timely decisions	Fully								LDS timeline built into Directorate level objectives (e.g. via Service Plans) and incorporated into SMART targets within staff appraisals		
		Reputational damage with investor community of Cherwell as a good place to do business created by uncertainty/ lack of policy clarity				On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies	Partially								Authority Monitoring Reports continue to be prepared on a regular annual basis.		

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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 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. EU Exit planning is recommencing in advance of the end of the transition period.	Risk Reviewed 08/10/2020 - 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 pandemic have now progressed to a recovery phase with close monitoring of the increasing rates of infection nationally and locally. 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. Contact arrangements of out of hours incidents are being reviewed following recent isolated flooding as a result of high levels of rainfall.	Risk Reviewed 08/10/2020 - 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		
		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		
		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	Health & Safety Corporate HS&W Policy and Corporate Arrangements & guidance in place as part of the HSE's recommended 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 by 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 08/10/2020 - 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. These two posts are established posts and budgeted accordingly to secure future funding for continuity. 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.	
		Financial loss due to compensation claims				Corporate H&S Manager and H&S Officer in post to formalise the H&S Management System & provide competent H&S advice and assistance to managers & employees.	Fully								As Health and Safety Officers are in place no further action is required and risk mitigated.		
		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. The full programme of audits is temporarily on hold due to the Coronavirus Lockdown, however health and safety checks on the front line operations of Environmental Services have recommenced as of July 2020.		
		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

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. | |
		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		
		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 once stability has been achieved following COVID 19. The purposed of this committee, if ratified, will monitor the activities of the Corporate Health and Safety Team and to	
						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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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. The Microsoft Multi-Factor Authentication system has been introduced to provide a enhanced level of cyber security.	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 08/10/20 - Mitigating 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		
		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	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 Safeguarding Officer is working closely with HR colleagues to ensure that training and recording are up to date and generally processes are understood and being applied. Higher levels of exploitation concerns have been recorded through the pandemic to date and multi-agency work continues in order to contain impacts.	Risk Reviewed 08/10/2020 - 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								Continue to support work across the district regarding exploitation through slavery, county lines, domestic violence		
						Attendance at Children and Young People Partnership Board (CYPPB	Fully										
						Annual Section 11 return compiled and submitted as required by legislation.	Fully								Regular internal cross departmental meetings to discuss safeguarding practice		
						Engagement with Joint Agency Tasking and Co-ordinating Group (JATAC) and relevant Oxfordshire County Council (OCC) safeguarding subgroup	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 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 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 and resulting operational environment impacting 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 operational issues. Review of governance arrangements, including roles and responsibilities on going and due to report back within the next month	Risk reviewed - 05/10/2020 No changes
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 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.	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.	Risk reviewed 01/10/20 - No changes
L13 -	**CLOSED RISK** 18/11/19 - ~~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~~	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 Northamptonshire re-organisation impacts on services being delivered to SNC from CDC, impacting on the quality	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 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	Risk reviewed 01/11/19 - Removed

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				
2020/21																	
L14 -	**Corporate Governance** - Failure of corporate governance leads to negative impact on service delivery or implementation of major projects providing value to customers.	Threat to service delivery and performance if good management practices and controls are not adhered to.	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

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 actions for 2020/21 are being produced for review Corporate Governance Assurance Group - on schedule. | In January 2019, Council agreed to enter into a Compromise Agreement with South Northants DC to ensure the continuation of key aspects of service delivery that required ongoing joint working (following the ending of the partnership S113 Agreement).

Monitoring Officer undertaking a focused Constitution review during Autumn, closely with members, scrutiny involvement with any recommendations for change presented to Full Council.

Review of Constitution underway through Scrutiny. Final recommendations to be presented to Full Council in Dec 2020
Members Code of Conduct being reviewed in line with National proposed model | Risk reviewed 08/10/20 - Comments updated |
| | | 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. | | | | Clear accountability and resource for corporate governance (including the shareholder role).

Integrated budget, performance and risk reporting framework. | Partially

Partially | | | | | | | | | | |
| | | Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the councils. | | | | Corporate programme office and project management framework. Includes project and programme governance.

Internal audit programme aligned to leadership risk register. | Partially

Partially | | | | | | | | | | |
| | | 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. | | | | Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.

HR policy framework.

Annual governance statement process completed for 2019/20.

Joint Corporate Governance Assurance Group (CGAG) for Cherwell and Oxon is working up a revised and complementary Annual Governance Statement process for 2020/21, which also connects more fully and earlier with ELT and CEDR.

CGAG also mapping respective (CDC/Oxon CC) governance processes to achieve alignment and efficiency where appropriate | Partially

Partially

Partially

Partially | | | | | | | | | | |
| 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 | 4 | 5 | 20 | Established programme structure and partnership ethos to support effective programme delivery

Engagement with housing developers to understand their commercial constraints.
Engage with developers to ascertain which sites would benefit most from infrastructure delivery

Identify potential "top up" schemes to supplement GD affordable housing scheme

Utilise effective Programme controls to facilitate prompt escalation of issues to enable appropriate decision making and delivery timescale review
Develop Year 3 Plans of Work to detail the expected delivery by CDC for Year 3 of the Growth Deal Programme; building on the experiences and knowledge gained during Year 2. | Fully

Partially

Partially

Fully

Fully

Partially | Councillor Barry Wood | Robert Jolley | Jonathan MacWilliam | 3 | 3 | 9 | ↑ | A CDC GD programme and programme board capability

Work stream plans of work (work stream brief, schedule, RAID log)
Structured engagement with developers to better understand their needs

Appropriate escalation of issues to agree programme flexibilities where required

Improved collaboration working with partners

Ongoing work with partners to realistically reflect deliverable schemes within programme time frame | Overall and residual probability reduced to reflect both the Homes from Infrastructure and Affordable Housing workstreams actively addressing those sites with potential to slip either by identifying alternative sites as replacements or by re-prioritising the schemes to ensure those most likely are actioned earliest. | Risk reviewed 05/10/20 - Comments and probability scores updated |
| 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.

Resources are allocated to the development of proposals, reducing the capacity of the Council to deliver on its priorities and plans, impacting on quality of services delivered to residents and communities.
Uncertainty around joint working could lead to reduced staff morale and potentially increase staff turnover.
Benefits to be realised from joint working business cases do not materialise or take longer to deliver than planned. | 3 | 3 | 9 | S113 agreement in place with Oxfordshire County Council Partnership working group meets quarterly programme management in Place

Partnership Working Group established with OCC to oversee the development of joint working proposals.
Robust programme and project management methodologies in place. | Fully

Fully

Fully | Councillor Ian Corkin | Yvonne Rees | Claire Taylor | 2 | 3 | 6 | ↔ | Regular reporting on joint working proposals to the senior management team. | Joint senior appointments in the customers and organisational development directorate have been completed. The business case for a joint strategy and communications service is 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. Plans are in place to consider further opportunities for joint working and these are reported to the Partnership Working Group. The Joint MO and Director for Law and Governance has just been confirmed by both councils. | Risk reviewed - 08/09/20 - No changes. |

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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	4	4	16	↔	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. A proposal to separate IT as SNC transitions into West Northants has been agreed by SNC but West Northants has not yet engaged. There is a risk that prolonged delay will prevent CDC working with OCC on future proposals. Work is ongoing to ensure the proposal is progressed.	Risk reviewed 06/10/2020 - 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 effective	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 4.	Risk reviewed 06/10/2020 - Comments updated
		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. Development of specific recruitment and retention strategies. New IT system is being implemented to improve our workforce data. The ability to interrogate and access key data (ongoing) in order to inform workforce strategies.		
		Overreliance on temporary staff				Weekly Vacancy Management process in place	Fully										
		Additional training and development costs				Ongoing service redesign will set out long term service requirements	Partially										
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.		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 by the end of October to adjust for COVID19 disruption and possible further outbreaks. Outbreak planning and Standard Operating Procedures completed and virtual table top review carried out at beginning 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. Oxfordshire Health Protection Board is operating effectively to monitor and manage local outbreaks with a number of successful interventions already carried out	Risk reviewed 08/10/20 - Minor amendments to Mitigating Action comments.
		Possible reductions in frontline service delivery, events, meetings and customer contact.				Remote (home based) 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										
		Economic hardship impacting local business and potentially the local workforce.				Regular updates from Director of Public Health, shared internally and externally. Partnership communications. Partnership communications enhanced and regular conversations convened.	Partially										
		Impact on vulnerable residents who may find it harder to access services.				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										
		Increased demand on both frontline and enabling services.				Mutual aid where appropriate with regional Thames Valley partners enable a tactical response to community resilience	Fully										
		Prolonged risk of social isolation and the mental and physical consequence thereof.				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										
						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 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 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 survey is taking place to ensure we are meeting remote working 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 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 06/10/20 - No changes
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 06/10/20 - No changes

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 Cherwell Local Plan was adopted by Council on 7 September 2020. It is now part of the statutory development plan.

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 2019. 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, there is risk of delay.

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

An issues consultation commenced on 31 July 2020. There is some risk to the programme in terms of the availability of staff resources and due to the dependency on the Oxfordshire Plan process. The risk of delay is presently considered to be medium with mitigation. Expected national changes to the planning system could affect how the plan is completed.

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

Staff resources have been focused on Local Plan work which has led to delay in re-commencing work on the SPD. A corporate review of the work needed for Canalside is also taking place which could affect whether/how the SPD is taken forward.

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

The risk to the programme is low subject to the required staffing levels being achieved. However, expected changes to the planning system may affect whether or not to proceed.