| 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, L1, L22 & L21 | L01,L17, L19 & L20 | |
| | 3 - Moderate | | L16 | L02, L05, L14,L15 & L18 | L08 | |
| | 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. | Fully | | | | | | | | Review of workload and capacity across the team. Interim Capital Accountant post recruited to. Interim Accountant recruited and permanent recruitment completed with new starter mid-March.  Assessment of national picture undertaken and being reported through senior managers and members highlighting the medium term challenges.  Recruited to a further interim accountant post to support with the new business grant schemes that have been introduced as a result of lockdown restrictions.  Significant handover between interim closedown lead and Strategic Finance Business Partner to maximise knowledge transfer and reduce impact of reduction in resource. | 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  New interim Accountant began in November to bring capacity to assist with anticipated additional test and trace and business grants workload. | Risk reviewed - 11/03/21 - Mitigations and comments updated |
| | | Reduction in services to customers | | | | Balanced medium term and dynamic ability to prioritise resources | Fully | | | | | | | | Investment strategy approach agreed and operating and all potential investments now  taken through the working groups prior to formal sign off.  Robust review and challenge of our investment options to be regularly undertaken through our usual monitoring processes. | Investment options considered as and when they arise, MTFS and budget setting being developed to enhance the scrutiny and quality of investments. | |
| | | Increased volatility and inability to manage and respond to changes in funding levels | | | | Highly professional, competent, qualified  staff | Partially | | | | | | | | Timeliness and quality of budget monitoring particularly property income and capital improving.  Financial Systems replacement project underway.  LEAN review of budget monitoring undertaken with significant engagement from within the wider business. | Financial System Solution Project continuing to consider future finance system options, incorporating budget management via Lean, extension of Civica and new procurement. | |
| | | Reduced financial returns (or losses) on investments/assets | | | | Good networks established locally, regionally and nationally | Fully | | | | | | | | Asset Management Strategy being reviewed and refreshed. | Review underway | |
| | | Inability to deliver financial efficiencies | | | | National guidance interpreting legislation available and used regularly | Fully | | | | | | | | Review of BUILD! to ensure procurement and capital monitoring arrangements are in place and development of forward programme - future work has been placed on hold as part of a capital pipeline of schemes not currently included in the capital programme | 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.  2021/22 Budget set, a review of the process is due to take place and revised process developed for 2022/23. | 2021/22 budget set.  Review of the 2021/22 budget setting process being planned. | |
| | | | | | | 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. 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. | |
| | | | | | | Asset Management Strategy in place and embedded. Transformation Programme in place to deliver efficiencies and increased income in the future | Partially Fully | | | | | | | | Financial forecasts of resources for 2021/22 have assumed a reduction in resources that will be available from business rates compared to February 2020 assumptions. The budget for 2021/22 has been agreed with savings proposals identified to address these reductions.  Close monioring of the delivery of the savings programme will take place throughout 2021/22 with mitigations required if slippage is identified.  If resources fell significantly below the 2021/22 forecast level then a review of which reserves could be made available to mitigate this would be required (e.g. due to greater ongoing impact of Covid-19 or due to further economic shocks in the short-term).  A similar approach to reviewing reserve availability could be adopted if the cost of goods we purchase were to increase.  A business rates reset is assumed from 2022/23 which will significantly reduce the resources available to the Council.  Should resources from business rates fall much below this (e.g. due to any further ongoing impacts to the economy) then resources would be supplemented by a "safety net" payment from the Government under the current regime.  The budget process for 2022/23 will need to begin shortly after setting the 2021/22 budget to identify further savings necessary to operate within this level of resources. | 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.  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. Chancellor's Spending Review confirmed the delay of the business rates reset.  Only a 1 year SR so no additional certainty of funding and any additional Covid related funding is likely to be for one year only. Provisional local government finance settlement has announced some one-off funding to support local government in 2021/22. The Council set its 2021/22 budget on 22 April 2021 and now needs to monitor the delivery of the budget and begin preparations for the 2022/23 budget process | |

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| 2020/21 | | | Probability | Impact | Rating | | Fully effective / Partially effective / Not effective | | | | Probability | Impact | Rating | | | | |
| L02 - | **Statutory functions –** Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for. | Legal challenge | 3 | 4 | 12 | Embedded system of legislation and policy tracking In place, with clear accountabilities, reviewed regularly by Directors. | Partially | Councillor Barry Wood | Anita Bradley | Sukdave Ghuman | 3 | 3 | 9 | ↔ | Establish corporate repository and accountability for policy/legislative changes. | Corporate Performance framework for 2020-21 to be agreed. | Risk reviewed 11/03/21 - Comments updated |
| | | Loss of opportunity to influence national policy / legislation | | | | Clear accountability for responding to consultations with defined process to ensure Member engagement | Fully | | | | | | | | Review Directorate/Service risk registers. | Review of Leadership Risk Register and Risk Strategy for 2021-22 in progress. | |
| | | Financial penalties | | | | National guidance interpreting legislation available and used regularly | Fully | | | | | | | | Ensure Committee forward plans are reviewed regularly by senior officers. | Planning for statutory changes resulting from EU transition. Legal advice provided upon emerging issues. Following withdrawal from EU, development in legislation is closely monitored and implemented e.g. subsidy control being reviewed (formally state aid regime). | |
| | | Reduced service to customers | | | | Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed. | Partially | | | | | | | | Ensure Internal Audit plan focusses on key leadership risks. | Opportunities for joint working with OCC being explored for Legal, Finance and Strategic Capability (corporate services). | |
| | | | | | | 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 relationships. | Currently this risk in under review due to new Director in position. | |
| | | | | | | 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 (template in place) | | |
| | | | | | | 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 | | | | | | | | Allocate specific resource to support new projects/policies or statutory requirements e.g. GDPR. | | |
| | | Inability to deliver council's plans | | | | Senior Members aware and briefed regularly in 1:1s by Directors | Partially | | | | | | | | Learning and development opportunities identified and promoted by the Chief Executive. | | |
| | | Inability to realise commercial opportunities or efficiencies | | | | Arrangements in place to source appropriate interim resource if needed | Fully | | | | | | | | Regular communications from Chief Executive. Quarterly staff briefings from Assistant Directors. | | |
| | | Reduced resilience and business continuity | | | | Ongoing programme of internal communication | Fully | | | | | | | | External support secured for key corporate projects including CDC/OCC joint working, Growth Deal and IT Transformation Programme. | | |
| | | Reduced staff morale, increased workload and uncertainty may lead to loss of good people | | | | Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required. | Fully | | | | | | | | | | |
| | | | | | | 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 | | | | | | | | | | |

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| 2020/21 | | | | | | | | | | | | | | | | | |
| 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 | Jane Portman | 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 Levy (CIL). The Partial Review of the Local Plan was adopted by Council on 7 Sept 2020. A legal challenge to the Plan is to be heard by the courts in June 2021. An issues consultation for the Local Plan Review was completed on 14 Sept 2020 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. Work on the Local Plan Review is continuing but the precise timetable is under review. Potential national changes to the planning system may affect how plans are prepared. They may also influence a decision on whether or not to proceed with work on CIL. The 2020 Annual Monitoring Report has been published. | Risk reviewed 10/03/2021 - Comments updated |
| | | 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. | | |
| 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, statement of intent and framework in place | Fully | Councillor Andrew McHugh | Rob MacDougall | Richard Webb | 3 | 3 | 9 | ↔ | Business Continuity Statement of Intent and Framework agreed by CEDR | Business continuity status reports being collated and reviewed weekly in view of increased infection rates and new national restrictions. Staff reassignment process re-established to provide rapid response where demands or absences may result in critical service failure. The Council has continued to provide critical services throughout the lockdown periods. Remote working enables most teams to work effectively from home and sustain services whilst also avoid unnecessary social contacts. The EU Exit deal reduced potential impacts of EU Exit on service delivery and no impacts have been identified. A new incident management framework is in development. | Risk Reviewed 08/03/2021 - Controls, mitigating actions and 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 | | |
| | | | | | | | | | | | | | | | Updated Incident management framework in development | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Probability | Impact | Rating | | Fully effective Partially effective Not effective | | | | Probability | Impact | Rating | | | | |
| 2020/21 | | | | | | | | | | | | | | | | | |
| 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 | Emergency Plan in place and 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 are still in place and operating now new national restrictions have been implemented. Recovery work continues. 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 and the emergency contact numbers have been tested. Contact arrangements for out of hours incidents have been reviewed following recent isolated flooding as a result of high levels of rainfall. The end of EU Exit transition did not result in any new emergency incidents locally. A new incident management plan is being developed to align the council's response arrangements more closely to the county councils. | Risk Reviewed 08/03/2021 - Controls and mitigations and 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 | Fully | | | | | | | | 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 | | | | | | | | Refreshed incident management plan under development to align with OCC | | |
| | | Potential financial loss through compensation claims | | | | Multi agency emergency exercises conducted to ensure readiness | Partially | | | | | | | | 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 and to be updated to reflect recent staffing changes | | |
| | | | | | | 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 | 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 | ↔ | The Corporate Health, Safety and Wellbeing Policy was ratified BPM meeting on 17th June 2020. The Corporate arrangements are in the process of being reviewed and updated to ensure they are in line with Oxfordshire County Council . When updated these will be uploaded onto the intranet. | The Health and Safety Assurance Board receives a quarterly report from the Corporate H&S Manager. | Risk reviewed 02/03/21 - Mitigating actions and comments updated |
| | | Criminal prosecution for failings | | | | Clearly identified accountability and responsibilities for Health and Safety established at all levels throughout the organisation | Fully | | | | | | | | Following the ratification of the Corporate Health, Safety and Wellbeing Policy all Assistant Directors wereasked 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. So far 9 departments have responded. Following the departure of the Interim Director of Finance/ Health and Safety Champion and the appointment of Corporate Director – Commercial Development, Assets and Investment who has become the Corporate Health and Safety Champion, the Corporate Health and Safety Policy will be reviewed and aligned with OCC's. Once completed this will go to CEDR for ratification by CEDR. | 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 and H&S Officer in post to formalise the H&S Management System & provide competent H&S advice and assistance | 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. The full programme of audits was temporarily on hold due to the Coronavirus Lockdown, however health and safety checks on the front line operations of Environmental Services and workplace inspections have now recommenced. | The H&S team are conducting health and safety inspections internally across all services and teams. To date a total of 9 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 | | | | | | | | | Implementation of a new e-learning package has commenced. Modules have been assigned to staff based on their positions. Deadline for completion of these modules was January 2020. Modules include training on Health and Safety, DSE, Manual Handling, Lone working etc. | |
| | | 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 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 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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| | | | Probability | Impact | Rating | | Fully effective Partially effective Not effective | | | | Probability | Impact | Rating | | | | |
| 2020/21 | | | | | | | | | | | | | | | | | |
| 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 11/03/21 - No changes |
| | | 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 and table top DR exercise) followed by a series of all-Council staff awareness sessions in 2019. 2020 Cyber Security now included in mandatory e-learning for all staff to be completed by 31.12.2020. Members given a Cyber training session with the Police Cyber Security Advisor. | | |
| | | 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. | | |

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| 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 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 01/03/2021. No changes in risk categorisations |
| | | 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 safeguarding board sub groups as necessary to maintain high levles of awreness eithin the system and compliance with latest practice | | |
| | | | | | | Community Safety Partnership reflect the actions needed to reduce exploitation | Partially | | | | | | | | Continue to support work across the district regarding exploitation through slavery, county lines, domestic violence | | |
| | | | | | | Data sharing agreement with other partners | Fully | | | | | | | | | | |
| | | | | | | Attendance at Children and Young People Partnership Board (CYPPB) | Fully | | | | | | | | Regular internal cross departmental meetings to discuss safeguarding practice | | |
| | | | | | | Annual Section 11 return compiled and submitted as required by legislation. | Fully | | | | | | | | Action plan acted upon and shared with Overview and scrutiny committee once a year | | |
| | | | | | | 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 | | | | | | | | | | |
| 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 | 3 | 4 | 12 | Annual business planning in place for all companies to include understanding of the link between our objectives being delivered and financial impact for the council | Fully | 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. | COVID-19 and resulting operational environment impacting all three companies . Continuing restrictions undermining confidence in the building/ sales/rental markets | Risk reviewed 09/03/21 Potential Impact, Mitigating actions and Comments updated |
| | | Non achievement of business and finance outcomes directly or indirectly impacting on other council services | | | | Financial planning for the companies undertaken that will then be included within our own Medium term financial plan | Fully | | | | | | | | Resilience and support being developed across business to support and enhance knowledge around council companies. | CSN continue to handle increased demands through various grant schemes and increased benefit enquiries | |
| | | Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies | | | | Ensure strong corporate governance mechanisms are in place | Partially | | | | | | | | Skills and experience being enhanced to deliver and support development, challenge and oversight. | Gravenhill resumed development within the current restrictions. Looking at schemes to assist buyers. | |
| | | Potential impact of local government re-organisation (Northamptonshire) on CSN (see Risk L17) | | | | Sound monitoring in place of both business and financial aspects of the companies and the impact on overall council performance | Fully | | | | | | | | Work with one company to ensure long term support arrangements are put in place. | Crown House nearing full occupation ahead of forecast (adjusted for first lockdown). First years trading will identify overall financial impact of pandemic | |
| | | | | | | Training in place for those undertaking roles relating to the companies | Partially | | | | | | | | Ongoing shareholder meetings key to understanding impact of Northamptonshire reorganisation | Governance review completed and accepted by Shareholder committee. Action plan being developed to ensure all identified improvements are implemented appropriately. | |

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| 2020/21 | | | | | | | | | | | | | | | | | |
| 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 | Partially | Councillor Tony Illot | Steve Jorden | Jeremy Richards | 3 | 4 | 12 | ↔ | Service areas to hold meetings as required with suppliers to review higher risk areas and ensure risks are being managed. Reminders to be sent to all who have Procurement/Contract Management responsibility to regularly meet with key suppliers and partners to gain early understanding of the effects a second wave of COVID-19, and lockdown, would have on supply. | Through collaboration with Oxfordshire CC, a joint Provision Hub has been established, and went live 04.01.2021 and has put in place greater commercial skills and controls across the two authorities. Specifically, a Procurement and Contract Management Intelligence team has been established, and responsibility for financial checks and controls around the supply base  sits within that team. This will result in improved monitoring and management of commercial contract risk across the council's supply chain. | Risk reviewed 10/03/21 - Comments updated |
| | | | | | | Business continuity planning arrangements in place in regards to key suppliers | Partially | | | | | | | | 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. | | |
| | | | | | | Ensuring that proactive review and monitoring is in place for key suppliers to ensure we are able to anticipate any potential service failures | Partially | | | | | | | | | | |
| | | Reduced resilience and business continuity | | | | Programme Board and Project Team established to deliver separation. | Fully | | | | | | | | Legal advice sought with regards to the employment implications of re-organisation and separation proposals. | Reviews of service delivery arrangements with SNC to take place between October-December 2019. | |
| | | Reduced staff morale, increased workload and uncertainty may lead to loss of good people | | | | S113 agreement in place with Oxfordshire County Council | Fully | | | | | | | | Separation tracker and risk register to be circulated at all senior management meetings. | Strategic Capability proposal considered by Partnership Working Group in August. | |
| | | Opportunities for joint working with OCC take longer to develop than planned delaying potential service improvements for residents and communities. | | | | Partnership Working Group established with OCC to oversee the development of joint working proposals. | Fully | | | | | | | | Collaboration Agreement to underpin joint working with SNC following the end of the s113 in place. | Proposals for two Joint Corporate Directors between CDC and OCC approved in July. | |
| | | Northamptonshire re-organisation impacts on services being delivered to SNC from CDC, impacting on the quality of services delivered to residents and communities. | | | | 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. | Partially | | | | | | | | | | |
| | | | | | | Regular review and sharing of partnership activity / engagement at senior officer meetings. | Partially | | | | | | | | | | |

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| 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. | 4 | 4 | 16 | Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc. | Partially | Councillor Barry Wood | Yvonne Rees | Anita Bradley | 3 | 3 | 9 | ↔ | Standing item at senior officer meetings – regular review of risk and control measures. | 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). | Risk reviewed 11/03/21- No changes |
| | | Risk of ultra vires activity or lack of legal cor | | | | Clear accountability and resource for corporate governance (including the shareholder role). | Partially | | | | | | | | | Monitoring Officer undertook a focused Constitution review during the Autumn, closely with members. Changes were agreed and being implemented, particularly to Meeting Procedure Rules. Full Council also agreed to an Annual Review of the Constitution each Autumn, led by the Overview and Scrutiny Committee with Full Council receiving a report for decision | |
| | | Risk of fraud or corruption | | | | Integrated budget, performance and risk reporting framework. | Partially | | | | | | | | | Model Code of Conduct has been published by LGA and all Oxon Council Monitoring Officers have met to give initial consideration. Agreed that Oxon authorities ideally wish to adopt a consistent Code across the county, and across all tiers. As such, working plan is for Monitoring Officers to achieve a draft to take through each Council post-election with a view to implementation by May 2022. | |
| | | Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control. | | | | Corporate programme office and project management framework. Includes project and programme governance. | Partially | | | | | | | | | Monitoring Officer to attend management team meetings. | | |
| | | Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the councils. | | | | Internal audit programme aligned to leadership risk register. | 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.        Corporate Governance Assurance Group mapping governance processes to ensure visibility and refresh. | | |
| | | Inability to support Council's democratic functions / obligations (e.g. remote public meetings, remote voting). | | | | Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc. | Partially | | | | | | | | | | | |
| | | Elements of the COVID-19 response may be compromised, delayed or not taken forwards. | | | | HR policy framework. | Partially | | | | | | | | | | | |
| | | | | | | Annual governance statement process under way for 2020/21 under oversight of the Corporate Governance Assurance Group (CGAG) for Cherwell and Oxon. The Group is taking an aligned approach (with Oxon CC) to working up a revised and complementary Annual Governance Statement which also connects more fully and earlier with ELT and CEDR. | Partially | | | | | | | | | | | |
| | | | | | | 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. | Partially | | | | | | | | | | | |
| | | | | | | CGAG also mapping respective (CDC/Oxon CC) governance processes to achieve alignment and efficiency where appropriate. Annual Review of the Constitution will take place each Autumn led by the Overview & Scrutiny Committee and approved by Full Council | | | | | | | | | | | |
| 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. | 4 | 5 | 20 | Established programme structure and partnership ethos to support effective programme delivery. | Fully | Councillor Barry Wood | Robert Jolley | Jonathan MacWilliam | 3 | 3 | 9 | ↔ | A CDC GD programme and programme board capability. | Year 4 Plans of Work submitted to SRO for review. Some housing sites experiencing challenges, relating to the infrastructure workstream, are to be discussed at the forthcoming Cherwell Growth Deal Programme Board meeting on 30th March 2021. | Risk reviewed 09/03/2021 - Comments updated |
| | | Infrastructure milestone delivery late (for infrastructure linked to accelerated housing). | | | | Engagement with housing developers to understand their commercial constraints. | Partially | | | | | | | | | Work stream plans of work (work stream brief, schedule, RAID log) . | | |
| | | Accelerated housing numbers delivered late, outside of the programme time scale | | | | Engage with developers to ascertain which sites would benefit most from infrastructure delivery. | Partially | | | | | | | | | Structured engagement with developers to better understand their needs. | | |
| | | Delivery of Infrastructure projects fail to accelerate housing delivery as commercial pressures impact house builders. | | | | Identify potential "top up" schemes to supplement GD affordable housing scheme. | Fully | | | | | | | | | Appropriate escalation of issues to agree programme flexibilities where required. | | |
| | | Delivery of affordable houses below programme targets as GD contributions insufficient to attract sufficient builders/ registered providers. | | | | 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. | | |
| | | Oxfordshire Plan delivered late | | | | Develop Year 4 Plans of Work to detail the expected delivery by CDC for Year 4 of the Growth Deal Programme; building on the experiences and knowledge gained during previous years. | Partially | | | | | | | | | Ongoing work with partners to realistically reflect deliverable schemes within programme time frame. | | |

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| 2020/21 | | | | | | | | | | | | | | | | | |
| 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. HR polices in place to enable joint working proposals to be delivered | The appointment process for the joint Corporate Director Environment and Place has been completed with the post holder starting in March 20201. The Audit plan for 2021 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 commenced in role. | Risk reviewed – 10/03/21 No change |
| | | 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. | | | | Robust programme and project management methodologies in place. | Fully | | | | | | | | | | |
| | | Benefits to be realised from joint working business cases do not materialise or take longer to deliver than planned. | | | | Regular meetings of the OCC Cabinet and CDC Executive in place to oversee development of partnership. | Fully | | | | | | | | | | |
| L17 - | **Separation** That the separation of joint working arrangements with South Northamptonshire Council impacts on the provision of services to residents and communities. | Separation of joint working arrangements result in reduced capacity and resilience to deliver services. Specific impacts on Revenues & Benefits and IT services which are the only remaining shared services. | 4 | 4 | 16 | 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 has been sought with regards to governance and technical advice has been sought regarding technology. CEDR level shareholder and governance roles clarified with regards to shared services delivery company CSN. | Partially | Councillor Ian Corkin | Yvonne Rees | Claire Taylor | 4 | 4 | 16 | ↔ | Regular reporting on joint working proposals to the senior management team and briefings to Executive BPM. | The majority of services have now separated or been moved into a new service delivery arrangement. Although Customer Services has now been successfully separated, there is a lack of clarity with regards to 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. West Northants Council have still not yet set out any long term vision for the delivery of revenues and benefits and therefore their aspirations for CSN. Whilst we have governance arrangements and contracts in place to oversee the delivery of the service the uncertainty associated with the current situation can only be partially managed, hence the unmitigated score of 16. With regards to IT a fully worked up proposal has been developed to ensure SNC ICT can be migrated to the new unitary. This approach has been externally validated. CDC remains a positive partner to SNC with regards to ICT and is pressing for a clear timeframe to ensure separation is smooth and delivered during 2021. Without a clear agreement as to timeframes there remains a risk that CDC will be required to support SNC's ICT migration which could prevent closer joint working with OCC. However, there is not a greater risk posed to CDC business continuity, security or operational delivery associated with this risk. Work has begun exploring options for payroll migration, there is a risk that the aspirations of WNC are not matched by resource to deliver at their required pace. | Risk reviewed – 10/03/21 risk rating remains heightened and unchanged. Commentary updated |
| | | Services being delivered to SNC are impacted by re-organisation in Northamptonshire, impacting on the quality of services delivered to residents | | | | 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. IT has build a new reporting system with a RAG rating to update each area indicating and/or forecasting significant staff pressures when they happen due to COVID-19. This data is monitored weekly at Silver. HR monitors and report sickness absence data on a weekly basis. | Training on workforce planning for the HR team planned to start across both CDC and OCC during Quarter 4. | Risk reviewed 10/03/2021 - 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. | |

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| **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 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 plans has taken place to adjust for COVID19 disruption and impacts of the 2nd wave of infection. Outbreak planning and Standard Operating Procedures completed and table top exercising has been completed and the learning has been incorporated into plans. 21/22 Business Impact Assessments due to be completed by end of March 21 as part of the annual business continuity cycle. | 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 and the Council has set up Command and Control structures to response to the 2nd wave of the pandemic. Community Testing is now avialble to all staff. | Risk reviewed 08/03/21 - Comments 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 | | | | | | | | | | |
| | | 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 | | | | | | | | | | |
| | | 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 | | | | | | | | | | |
| | | | | | | 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. | Fully | | | | | | | | | | |
| | | | | | | Engagement with suppliers to manage impacts across the supply chain. | Partially | | | | | | | | | | |

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| 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. | 5 | 4 | 20 | Business Continuity Plans have been reviewed and tested. | Fully | Councillor Barry Wood | Yvonne Rees | Claire Taylor | 4 | 4 | 16 | ↔ | Ongoing review and implementation of Council and partnership business continuity and emergency planning arrangements. Full health, safety and HR response in place. IT remote working arrangements are sustainable. | The nature of the risk is such that national public health guidelines will determine the councils' response. Progress establishing the local outbreak plans and the Health Protection Board support mitigation of risk. Requirements of national lockdown arrangements are in place. Staffing absence is monitored weekly. Risk heightened due to increased incidence of Covid-19 in the district | Risk reviewed – 10/03/21 Comments updated |
| | | Potential confusion amongst staff with regards to how to plan and respond to reduced service availability, professional support and maintain business as usual. | | | | 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. | Partially | | | | | | | | | Risk heightened due to rising rates of Covid infection locally. Whilst workforce incidence remains low, the impact of lockdown and the national Covid pathway requires flexibility within the workforce and with regards to service operations. Following review and the ongoing lockdown there remains no change to this risk. | |
| | | Requirement to reprioritise service delivery. | | | | Remote working in place. | Fully | | | | | | | | | | | |
| | | Requirement to offer mutual aid to partner organisations. | | | | Staff communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response. | Fully | | | | | | | | | | | |
| | | Potential impact in the medium to long term resilience of staff may result in wider wellbeing issues. | | | | Regular updates from Director of Public Health, shared internally and externally. | Fully | | | | | | | | | | | |
| | | | | | | Regular teleconference with local councils and emergency services discussing updates, concerns and best practice. (in-line with usual business continuity and emergency planning protocols). | Fully | | | | | | | | | | | |
| | | | | | | Regular communication messages following Public Health advice. | Fully | | | | | | | | | | | |
| | | | | | | Sanitisers in washrooms. | Partially | | | | | | | | | | | |
| | | | | | | Agile working being tested further across services, ensuring equipment and access is in place. | Fully | | | | | | | | | | | |
| | | | | | | Posters around the offices encouraging regular hand washing. Hand sanitisers available in washrooms and shared spaces. | Fully | | | | | | | | | | | |

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| | | | Probability | Impact | Rating | | Fully effective Partially effective Not effective | | | | Probability | Impact | Rating | | | | |
| **2020/21** | | | | | | | | | | | | | | | | | |
| 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 | 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. | Partially | Councillor Barry Wood | Yvonne Rees | Claire Taylor | 4 | 3 | 12 | ↔ | Governance programme to be shared and implemented. | Work is ongoing to support recovery from Covid, necessarily focused on support for voluntary groups and implementing the various grants and support arrangements available. Moving into a national lockdown and increased incidence of Covid-19 locally means that post Covid recovery is concurrent with newly re-up-stood response arrangements, this requires ongoing flexibility with regards service delivery and recovery plans. | Risk reviewed 10/03/21 Risk reviewed and comments updated |
| | | Requirement to review service delivery | | | | Working through a new corporate programme underpinned by policy research. | Partially | | | | | | | | CEDR and ELT working towards new corporate programme liaising with Insight and policy support. | Work is underway in partnership with Oxfordshire County Council to explore the role economic development will take in supporting the recovery and proposals are under development. | |
| | | Budget implications | | | | In year Budget will be considered by Executive in August to ensure the Council remains in a financially sustainable position in year. | Partially | | | | | | | | In year budget on track. | The COMF (contain outbreak management fund) allocation to Cherwell has confirmed and plans are under development to ensure effective allocation of this grant to reduce the incidence of COVID in Cherwell and support the community. | |
| L22 | **Elections May 2021** – delivery of safe and legally sound elections on 6 May 2021 | Non delivery of a legal and transparent election process resulting in legal challenge, undemocratic process and or complaints. Loss of confidence from participants if polling stations and count venue aren't deemed Covid safe, leading to a risk of low voter turnout, problems recruiting staff and compromised engagement from candidates/agents. | 5 | 4 | 20 | Corporate wide approach taken to delivering the election with specialists from service areas supporting different aspects. | Fully | Returning officer | Yvonne Rees | Steve Jorden | 3 | 4 | 12 | ↔ | Plan and risk register in place and regularly reviewed Weekly project board meetings chaired by the Returning Officer. All polling stations inspected for Covid compliance | The Elections Project Board meet weekly to go through issues and agree actions. Key risks are around Covid compliance of polling stations and reluctance of some schools to allowing elections on site. All polling stations are being visited and checked for Covid compliance against Gov guidelines, with appropriate mitigations being put in place. Further risk of insufficient staff to run polling stations and count due to concerns over Covid. Various comms channels being used to appoint sufficient Polling Station staff, including working through the LEP. Discussions taking place about the possibility of putting count staff in bubbles so as to limit impact of any Covid related illness Briefing held for Election Agents (10/03/21) and another planned for 12 April - so communication plan in place. | Risk reviewed 11/03/21 - Comments updated |
| | | New councillors not elected | | | | Specific risk register for the election in place and regularly reviewed | Fully | | | | | | | | Election project plan and detailed risk register in place. | | |
| | | Legal challenge | | | | | | | | | | | | | Staff working on the election at all levels receive relevant and appropriate training | | |

| L04 - Local Plan Risk |
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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. A legal challenge to the Plan is to be heard by the courts in June 2021.

**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 preparing 'spatial options' for Plan development.  On 24 November 2020, the Oxfordshire Growth Board agreed a further revision to the timetable for completion of the Plan.  This allows for public consultation on a formal Options Paper in Summer 2021, consultation on a proposed Plan in Spring 2022, submission for Examination in September 2022 and adoption in 2023.  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 therefore continuing risk of some 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 was prepared and completed in accordance with the LDS.  Work has continued in considering the representations received.  However, in view of the delay to the Oxfordshire Plan process, and in light of a necessary internal review of resources and service demands,  the precise timetable for the Local Plan  is having to be reconsidered.  Expected national changes to the planning system could also 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

Work on CIL has not yet recommenced due to other priorities.  Expected changes to the planning system may affect the decision whether or not to proceed.