

Appendix 3 – Leadership Risk Register as at 01/05/2022

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			L07		
	4 - Major		L06- L08 -	L03 - L04 - L05 - L10 - L15 - L20	L01 - L16	
	3 - Moderate		L09 -	L02 - L11 - L17-L18	L19	L12
	2 - Minor					
	1 - Insignificant					

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

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2021/22																	
L01 -	Financial resilience – Failure to react to external financial impacts, new policy and increased service demand. Poor investment and asset management decisions.	Reduced medium and long term financial viability	4	4	16	Medium Term Revenue Plan reported regularly to members.	Fully	Councillor Tony Illot	Michael Furness	Joanne Kaye	4	4	16	↔	Review of workload and capacity across the team. Permanent Capital Accountant in post. New Finance Business Partner Corporate started in October. Permanent appointment made to support VAT and S106. Support to the corporate accountant started at the end of November. 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 and council tax rebate. Also finalising an agreement for external provider to carry out necessary checks for council tax rebate scheme.	Maintaining focus in this area with ongoing review, staff and member training and awareness raising. New financial system helping to support the monitoring process. Interim resource retained to support test and trace and business grants and council tax rebate scheme.	Risk reviewed - 08/04/22 - Potential Impact, 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 up and running providing improved management information.	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 inability to deliver financial efficiencies				Good networks established locally, regionally and nationally	Fully								Asset Management Strategy being reviewed and refreshed.		
		Inability to deliver commercial objectives (increased income)				National guidance interpreting legislation available and used regularly	Fully								Review of BUILD1 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		
		Poor customer service and satisfaction				Members aware and are briefed regularly	Fully								Finance support and engagement with programme management processes continuing.	Finance business partners involved with reflection locally on outcomes.	
		Increased complexity in governance arrangements				Participate in Oxfordshire Treasurers' Association's work streams	Fully								Further integration and development of Performance, Finance and Risk reporting.	Integrated reporting has been embedded	
		Lack of officer capacity to meet service demand				Review of best practice guidance from bodies such as CIPFA, LGA and NAO	Fully								Regular involvement and engagement with senior management across County as well as involvement in Regional and National finance forums.	Engagement with a number of national and regional networks to ensure we are as up-to-date as we can be in relation to potential funding changes from 2023/24 and impact on our MTFS.	
		Lack of financial awareness and understanding throughout the council				Treasury management and capital strategies in place	Fully								Regular member meetings, training and support in place and regularly reviewed. Briefings provided on key topics to members with particular focus on key skills for specific committees such as audit committee.	Regular training will be undertaken.	
		Increased inflation in the costs of capital schemes				Investment strategies in place	Fully								2021/22 Budget set, a review of the process to be discussed at budget planning committee (13/7/21) and revised process to be developed for 2022/23. Updated budget monitoring for 2021/22 with a greater focus on savings delivery.	2021/22 budget set. Review of the 2021/22 budget setting process being planned.	
		Increased inflation in revenue costs				Regular financial and performance monitoring in place	Fully								Regular utilisation of advisors as appropriate.	Review of borrowing approach being considered alongside our financial advisors.	
						Independent third party advisers in place	Fully								Internal Audits being undertaken for core financial activity and capital as well as service activity.	Regular reporting of progress on internal audits considered by the committee.	
						Regular bulletins and advice received from advisers	Fully								Analysis of Spending Review 2022/23 - 2024/25 indicated an increase in resources to local government as a sector. However no local authority specific announcements so unclear whether to what extent this could result in additional resources to the Council. No announcement made about business rates reset so this could still result in a significant loss of resources.	No detail in the Spending Review to be able to plan for additional resources with any confidence - must wait for Local Government Finance Settlement to understand the detail behind the announcement.	
	Property portfolio income monitored through financial management arrangements on a regular basis	Partially															

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2021/22																	
						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 was agreed with savings proposals identified to address these reductions. Close monitoring of the delivery of the savings programme took place throughout 2021/22 with mitigations required if slippage was identified. Council agreed a balanced 2022/23 budget at its meeting on 28 February 2022. If resources were to fall significantly below the 2022/23 forecast level the Council has made a number of contingencies available in 2022/23 and, if required, 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. Ongoing impacts would be addressed as part of the 2023/24 budget process. A business rates reset is assumed from 2023/24 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 has begun with savings proposals set out that would enable the Council necessary to operate within the forecast level of resources. Where the Government has issued consultations on future approaches to funding local government CDC has responded to ensure its views are considered. New capital bids submitted will be questioned to ensure increases in cost assumptions have been reflected.	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. The Council issued a consultation on its budget proposals for 2022/23 on 2 December which, if implemented, would deliver a balanced budget. The Government has announced that a 3 year Spending Review for 2022/23 - 2024/25 will be announced on 27 October 2021. This provided the resource envelope for Government Departments to operate in and has set out an overall increase in local government spending power over the three year period, but did not expect to provide any specific funding allocations for individual local authorities. Further specific local authority funding details are expected as part of the local government finance settlement in mid to late December 2022.		
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 Inability to deliver council's plans Inability to realise commercial opportunities or efficiencies Reduced resilience and business continuity Reduced staff morale, increased workload and uncertainty may lead to loss of good people	3	4	12	Embedded system of legislation and policy tracking in place, with clear accountabilities, reviewed regularly by Directors. Clear accountability for responding to consultations with defined process to ensure Member engagement National guidance interpreting legislation available and used regularly Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed. Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit Internal Audit Plan risk based to provide necessary assurances Strong networks established locally, regionally and nationally to ensure influence on policy issues. In addition two Directors hold leading national roles. Senior Members aware and briefed regularly in 1:1s by Directors Arrangements in place to source appropriate interim resource if needed Ongoing programme of internal communication Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required. CDC Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key organisational matters including	Partially Fully Fully Fully Partially Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully	Councillor Barry Wood	Shahin Ismail	Sukdave Ghuman	3	3	9	↔	Establish corporate repository and accountability for policy/legislative changes taking into consideration all of the Council's functions. Review Directorate/Service risk registers. Ensure Committee forward plans are reviewed regularly by senior officers. Ensure Internal Audit plan focusses on key leadership risks. Allocate specific resource to support new projects/policies or statutory requirements e.g. GDPR. Learning and development opportunities identified and promoted by the Chief Executive and Directors. Regular communications from Chief Executive. Quarterly staff briefings from Assistant Directors. External support secured for key corporate projects including Growth Deal and IT Transformation Programme.	Development in legislation continues to be closely monitored as implemented e.g. subsidy control (formerly state aid regime) being reviewed and government guidance tracked as it is developed and published . Additional steps are under way to develop a regular review of legislative developments that will be service team focused to enhance awareness of statutory obligations and legal developments. Risk in process to be fully reviewed, to be completed in April 2022	Risk reviewed - 12/04/2022 - Risk owner and Comments Updated
L03 -	CDC Local Plan - Failure to ensure sound, up to date local plan remains in place for Cherwell resulting in poor planning decisions such as development in inappropriate locations, inability to demonstrate an adequate supply of land for housing and planning by appeal	Poor planning decisions leading to inappropriate growth in inappropriate place. Negative (or failure to optimise) economic, social, community and environmental gain Negative impact on the council's ability to deliver its strategic objectives, including its commitments within the Oxfordshire Housing & Growth Deal Increased costs in planning appeals Reputational damage with investor community of Cherwell as a good place to do business created by uncertainty/ lack of policy clarity	4	4	16	Local Development Scheme (LDS) is actively managed and reviewed, built into Service Plan, and integral to staff appraisals of all those significantly involved in Plan preparation and review Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity. Delegations to Chief Exec agreed to ensure timely decisions On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies	Partially Partially Fully Partially	Councillor Colin Clarke	Nathan Elvery	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. 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 September 2021. It includes the programmes for the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canalside Supplementary Planning Document and work on a Community Infrastructure Levy (CIL). An Options Consultation for the Oxon Plan was undertaken in Summer 2021. The programme for completion is presently under review. An issues consultation for the Cherwell Local Plan Review was completed on 14 Sept 2020. An Options consultation was undertaken from 29 September to 10 November 2021. The Local Plan timetable may need to be revised to respond to that for the Oxon Plan. The programmes for work on the Canalside SPD and CIL are aligned to the Local Plan review timetable.	Risk reviewed 08/04/2022 - Risk owner updated

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2021/22																	
L04-	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 Financial loss/ increased costs Loss of important data Inability to recover sufficiently to restore non-critical services before they become critical Loss of reputation Reduced service delivery capacity in medium term due to recovery activity	4	4	16	Business continuity strategy, statement of intent and framework in place and all arrangements overseen by a Business Continuity Steering Group Services prioritised and recovery plans reflect the requirements of critical services ICT disaster recovery arrangements in place with data centre and cloud services reducing likelihood of ICT loss and data loss Incident management team identified in Business Continuity Framework All services undertake annual business impact assessments and update plans Business Continuity Plans tested annually All services maintain business continuity plans	Fully Fully Fully Partially Partially Partially Fully	Councillor Andrew McHugh	Rob MacDougall	Richard Webb	3	4	12	↔	Business Continuity Statement of Intent and Framework being revised to align with OCC and create an incident management framework Cross-council BC Steering Group meets regularly to identify BC improvements needed ICT transition to data centre and cloud services has reduced likelihood of ICT loss and data loss Corporate ownership and governance to be revisited as a result of separation of OCC and CDC BC Impact assessments and BCPs to be updated and reviewed by OCC's Emergency Planning team BC exercises to be arranged (on hold due to pandemic response) Updated Incident management framework agreed August 2021	Business continuity status reports no longer being collated weekly. The Council has continued to provide critical services throughout the lockdown periods and has adapted to remote working, reducing risks arising from any loss of access to property. Remote working enables most teams to work effectively from home and sustain services whilst also avoid unnecessary social contacts. A new incident management framework has been adopted for the council and aligns our incident response arrangements with OCCs. Work has started on aligning the council's BC statement of intent and framework support this new incident management framework. A document repository and management system is under development for key business continuity plans. Teams to be asked to update BIAs and BCPs to reflect changed working arrangements and new business plans.	Risk Reviewed 05/04/2022 - Mitigating actions, control assessment and comments updated

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2021/22						Fully effective Partially effective Not effective											
L05 -	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 Unnecessary hardship to residents and/or communities Risk to human welfare and the environment Legal challenge Potential financial loss through compensation claims Ineffective Cat 1 partnership relationships Reputational damage	4	4	16	Emergency Plan in place and key contact lists updated monthly. Emergency Planning Lead Officer defined with responsibility to review, test and exercise plan and to establish, monitor and ensure all elements are covered Added resilience from Oxfordshire County Council's Emergency Planning Team. Under partnership arrangements. Senior management attend Civil Emergency training Multi agency emergency exercises conducted to ensure readiness On-call rota established for Duty Emergency Response Co-ordinators Active participation in Local Resilience Forum (LRF) activities	Fully Fully Fully Partially Partially Fully Fully	Councillor Andrew McHugh	Rob MacDougall	Richard Webb	3	4	12	↔	Emergency plan contacts list being updated monthly and reissued to all duty managers. OCC Emergency Planning providing expert advice and support under a partnership arrangement. Accountability for both OCC and CDC's arrangements now sit with the Chief Fire Officer who reviews the arrangements with the Assistant Director. Supporting officers for incident response identified in the emergency plan and wallet guide Refreshed incident management plan agreed to align with OCC response arrangements and roll-out being progressed Training being arranged for Duty Directors. All senior managers who provide the Duty Director rota have opportunity attend multi-agency exercises and duty manager training with OCC senior managers. On-call rota being maintained and to be updated to reflect recent staffing changes Authority continues to be represented at the Local Resilience Forum	The council is maintaining its duty director rota for any other emergency incidents that might arise. A new Incident Response Framework has been adopted and was introduced to duty directors in the refresh of duty director training in late 2021/early 22. Extended duty director rota introduced from January 2022 but subject to revisions as the council's management structure changes.	Risk Reviewed 05/04/2022 - Comments and mitigating actions updated

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2021/22																	
L06-	Health and safety Failure to ensure effective arrangements are in place for Health and Safety.	Unsafe services leading to fatality, serious injury & ill health to employees, service users or members of the public	5	4	20	Corporate H&S governance arrangements and policies are regularly reviewed and updated by the Corporate H&S Team and monitored by the H&S Assurance Board.	Fully	Councillor Lynn Pratt	Steve Jorden	Martin Green	2	4	8	↔	<p>COVID-Secure arrangements and safe working practices remain effective. These are due to be replaced with consolidated PH advice post April:</p> <ul style="list-style-type: none"> - Cease asymptomatic testing except for specific groups in health and social care. - No longer requirement for specific COVID risk assessment. - Updated IPC guidance. <p>Corporate H&S Auditing and Inspection programme on track. Reports issued to managers and actions tracked for completion.</p> <p>Ongoing service redesign in Joint Property Service including single view of the asset and business systems. This will seek to improve assurance of building compliance and H&S. This includes defining the role of responsible premises manager and proving them with support, training and tools. New service Compliance/H&S specialist due to start May 22.</p>	<p>Managers will decide on staff return to workplace based on service needs and priorities.</p> <p>Office protocols in place with focus on ventilation, regular cleaning and encouraging hand hygiene.</p>	<p>Risk Reviewed 31/03/2022 - Controls, Control assessment, Mitigating actions and Comments Updated</p>
Criminal prosecution for failings Breach of legislation and potential for enforcement action.	Fully	Directors and service leads are responsible for ensuring H&S arrangements are in place within their areas or responsibility. Managers are responsible for ensuring operational health and safety risks are assessed and effective control measures implemented.															
Financial impact (compensation or improvement actions)	Fully	Consultation with employee representatives via employer and union consultative committees (Unison)															
Reputational Impact	Fully	Corporate H&S Training provided via corporate learning and development programme. Training for operational risks may be organised by services.															
	Fully	H&S performance monitored by accident and incident reports and corporate H&S auditing and inspection programme.															
	Fully	H&S information is disseminated via internal communications and updates to ELT and other relevant meetings.															

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2021/22						Fully effective Partially effective Not effective											
L07-	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.	Financial loss / fine Prosecution – penalties imposed Individuals could be placed at risk of harm Reduced capability to deliver customer facing services Unlawful disclosure of sensitive information Inability to share services or work with partners Loss of reputation The National Cyber Security Centre (NCSC) advise an increased risk of cyber-attack due to escalating tensions in Eastern Europe.	4	5	20	File and Data encryption on computer devices Managing access permissions and privileged users through AD and individual applications Consistent approach to information and data management and security across the councils Effective information management and security training and awareness programme for staff Password security controls in place Robust information and data related incident management procedures in place Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services Appropriate plans in place to ensure ongoing PSN compliance Adequate preventative measures in place to mitigate insider threat, including physical and system security Insider threat mitigated through recruitment and line management processes Cookie pop-ups on the website Increased threat to security during Covid-19 period in part due to most staff working from home. Advice received from NCSC on specific activity alerts, the increased threat of globalised ransomware and malware attacks.	Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully	Councillor Ian Corkin	Claire Taylor	David Spilsbury	3	5	15	↔	We are cyber-essentials plus certified which is externally accredited. Microsoft Multi-Factor Authentication is embedded to authenticate users providing an enhanced level of cyber security. Accounts, Audit & Risk Committee Members have been given presentations and formal training on Cyber Security. The Regional Police Cyber Security Advisor have given 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. Cyber Security is mandatory e-learning for all staff to be completed annually. Members given a Cyber training session with the Police Cyber Security Advisor. IT implemented an intrusion prevention and detection system which is monitored and regular actions are implemented from the resulting reports. Information Management support is provided to Cherwell as part of a joint working relationship with Oxfordshire County Council. Cyber Awareness e-learning available and is part of new starters induction training. Cyber Security issues regularly highlighted to all staff. External Health Check undertaken in 2021 and Cabinet Office PSN compliance reviewed and certified the infrastructure is secure to connect to the PSN for another year until September 2022. 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. Cookiebot live on website for users to confirm cookie preferences. 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. Cyber Security Manager has reviewed advice and provided assurance on our compliance. All staff reminded to be vigilant to unexpected emails due to the heightened risk.	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. The controls and any further controls will not reduce the potential impact should the risk occur e.g. if we were subject to a ransomware attack the effect on the council could be catastrophic. We do have controls in place to prevent this happening and plans to deal with and recover from such an incident should it occur. The controls in place have reduced the probability from 'probable' to 'possible', we don't believe that this is reduced further to the point of it being 'unlikely' as it is possible we could be subjected to either a cyber incident or data breach within the Council. The National Cyber Security Centre (NCSC) advise an increased risk of cyber-attack due to escalating tensions in Eastern Europe. The overall risk score remains the same as a cyber incident remains possible but no higher (which is defined as probable)	Risk Reviewed 11/04/2022 - No changes

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2021/22						Fully effective Partially effective Not effective											
L08-	Safeguarding the vulnerable - Internal procedures- Failure to follow our internal policies and procedures in relation to safeguarding vulnerable adults and children or raising concerns about their welfare.	Increased harm and distress caused to vulnerable individuals and their families Council could face criminal prosecution Criminal investigations potentially compromised Potential financial liability if council deemed to be negligent Reputational damage to the council	4	4	16	Safeguarding lead in place and clear lines of responsibility established Safeguarding Policy and procedures in place Information on the intranet on how to escalate a concern Mandatory training and awareness raising sessions are now in place for all staff. Safer recruitment practices and DBS checks for staff with direct contact Data sharing agreement with other partners Attendance at Children and Young People Partnership Board (CYPPB) Annual Section 11 return compiled and submitted as required by legislation.	Fully Fully Fully Fully Fully Fully Fully	Councillor Barry Wood	Yvonne Rees	Nicola Riley	2	4	8	↔	Monitoring of implementation of corporate policies and procedures to ensure fully embedded Ensure web pages remain up to date Annual refresher and new training programmes including training for new members Attendance at safeguarding boards and participation in learning events Continue to attend safeguarding board sub groups as necessary to maintain high levels of awareness within the system and compliance with latest practice Regular internal cross departmental meetings to discuss safeguarding practice Action plan acted upon and shared with Overview and scrutiny committee once a year Corporate monitoring of all referrals	Risk revised in April 2022 to separate internal processes supporting the council to protect the vulnerable from externally focussed operational activities (now proposed new L20 Safeguarding the Vulnerable – Operational and partnership actions-	Risk Reviewed 04/04/2022 - Risk name, description, Controls, Mitigating actions and Comments Updated
L09-	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 Failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies Potential impact of local government re-organisation (Northamptonshire) on CSN (see Risk L17)	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 Jordan	Vic Kurzeja & Peter Hadley	2	3	6	↔	Changes in the shareholder support side line management been put in place. Additional oversight and capacity from senior managers including performance dashboards at CLT 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. Ongoing shareholder meetings key to understanding impact of Northamptonshire reorganisation	Council dissolving partnership with SNH so CSN as a company will no longer exist after Nov 2021. Services being brought back in house. Graven Hill – company continues to respond to market changes as a result of Covid and supply chain restrictions, no areas of concern at this stage. Crown House continues to enjoy high occupancy rates but there is some concern over cash flow, which is being looked in to. Management of Crown House now being undertaken by the Property Team. CSN exit strategy being implemented. Service being brought back in house and company to be dissolved. First years trading will identify overall financial impact of pandemic. Governance review completed and accepted by Shareholder committee. Action plan developed to ensure all identified improvements are implemented appropriately.	Risk reviewed 17/02/2022 - No changes

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L10-	Financial sustainability of third-party suppliers and contractors	The financial failure of a third party supplier and contractors results in the inability or reduced ability to deliver a service to customers or provide goods needed. A reduced supply market could also result in increased costs due to the council's' loss of competitive advantage. Reduced resilience and business continuity Increased complaints and/or customer dissatisfaction Increased costs and/or financial exposure to the Council due to having to cover costs or provide service due to failure of third party supplier of contractor	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 Intelligence unit set up procurement Hub to monitor supplier and contractor market Analysis of third party spend undertaken to identify and risk assess key suppliers/contractors	Partially Partially Fully Fully	Councillor Tony Illot	Steve Jordan	Melissa Sage	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 of COVID-19 lockdown, have on supply. 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. Business continuity plans in place		Risk reviewed 31/03/2022 - No changes

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2021/22						Fully effective Partially effective Not effective											
L11-	Corporate Governance - Failure of corporate governance leads to negative impact on service delivery or the implementation of major projects providing value to customers.	Threat to service delivery and performance if good management practices and controls are not adhered to. Risk of ultra vires activity or lack of legal compliance Risk of fraud or corruption Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control. Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the council. Inability to support Council's democratic functions / obligations (e.g. return to physical public meetings and public access to meetings). Elements of the COVID-19 response and recovery work may be compromised, delayed or not taken forwards.	4	4	16	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc. Clear accountability and resource for corporate governance (including the shareholder role). Integrated budget, performance and risk reporting framework. Corporate programme office and project management framework. Includes project and programme governance. Internal audit programme aligned to leadership risk register. Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc. HR policy framework. Annual governance statement process undertaken for 2020/21 under oversight of the Corporate Governance Assurance Group (CGAG) for Cherwell and Oxon. The Group has taken an aligned approach (with Oxon CC) to work up a revised and complementary Annual Governance Statement which also connects more fully and earlier with ELT and CEDR. CGAG also mapping 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	Fully Fully Fully Partially Fully Partially Partially Partially	Councillor Barry Wood	Yvonne Rees	Shahin Ismail	3	3	9	↔	Standing item at senior officer meetings – regular review of risk and control measures. Induction Programme to be planned for May 2022 including governance sessions to councillors on the Constitution, data protection and FOI, finance, equalities and code of conduct. Monitoring Officer to attend management team meetings. Annual Governance Statement process for 2021/22 is in progress with sessions held with ELT to explain assurance required and to identify any areas where governance could be strengthened across the directorates. The Corporate Governance Assurance Group continues to map governance processes to ensure visibility and to refresh them.	Risk is currently under complete review, to be completed for April 2022 reporting	Risk reviewed 12/04/2022 - Controls, Risk Manager and Comments updated

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			Probability	Impact	Rating						Probability	Impact	Rating				
2021/22						Fully effective Partially effective Not effective											
L12	Oxfordshire Growth Deal - (contract with HMG)	<p>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.</p> <p>Failure to replace Programme Management Officer could adversely affect delivery and stability of the overall Cherwell programme.</p> <p>Infrastructure milestone delivery late (for infrastructure linked to accelerated housing)</p> <p>Accelerated housing numbers delivered late, outside of the programme time scale</p> <p>Delivery of Infrastructure projects fail to accelerate housing delivery as commercial pressures impact house builders</p> <p>Delivery of affordable houses below programme targets as GD contributions insufficient to attract sufficient builders/registered providers</p> <p>Oxfordshire Plan delivered late</p>	4	5	20	<p>Established programme structure and partnership ethos to support effective programme delivery.</p> <p>Put suitable arrangements in place to deliver the Project Management function.</p> <p>Engagement with housing developers to understand their commercial constraints.</p> <p>Engage with developers to ascertain which sites would benefit most from infrastructure delivery.</p> <p>Identify potential "top up" schemes to supplement GD affordable housing scheme.</p> <p>Utilise effective Programme controls to facilitate prompt escalation of issues to enable appropriate decision making and delivery timescale review.</p> <p>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.</p>	<p>Fully</p> <p>Fully, when implemented (not implemented yet).</p> <p>Partially</p> <p>Partially</p> <p>Fully</p> <p>Fully</p> <p>Partially</p>	Councillor Barry Wood	Robert Jolley	Andrew Bowe	5	3	15	↔	<p>A CDC GD programme and programme board capability.</p> <p>Meetings to take place with key colleagues to implement suitable arrangements to deliver the Project Management function.</p> <p>Work stream plans of work (work stream brief, schedule, RAID log) .</p> <p>Structured engagement with developers to better understand their needs.</p> <p>Appropriate escalation of issues to agree programme flexibilities where required.</p> <p>Improved collaboration working with partners.</p> <p>Ongoing work with partners to realistically reflect deliverable schemes within programme time frame.</p>	Discussions are progressing amongst key officers to address the gaps left by the departures of the former Programme Management Officer and of a Service Manager who had subsequently been assigned, temporarily, to support the Programme. The Cherwell Programme currently remains, broadly speaking, on track.	Risk reviewed 11/04/22 - Comments updated.
L15-	Workforce Strategy The lack of effective workforce strategies could impact on our ability to deliver Council priorities and services.	<p>Limit our ability to recruit, retain and develop staff</p> <p>Impact on our ability to deliver high quality services</p> <p>Overreliance on temporary staff</p> <p>Additional training and development costs</p>	3	4	12	<p>Analysis of workforce data and on-going monitoring of issues.</p> <p>Key staff in post to address risks (e.g. strategic HR business partners)</p> <p>Weekly Vacancy Management process in place</p> <p>Ongoing service redesign will set out long term service requirements</p>	<p>Partially effective</p> <p>Fully</p> <p>Fully</p> <p>Partially</p>	Councillor Ian Corkin	Yvonne Rees	Claire Cox	3	4	12	↔	<p>Development of relevant workforce plans.</p> <p>Development of new L&D strategy, including apprenticeships.</p> <p>Development of specific recruitment and retention strategies. It is planned for CDC to join the Commensurate Managed Services contract which is in place at OCC to ensure that the Council has access to a much wider pool of staffing agencies at competitive rates.</p> <p>There are indications that specific service areas are beginning to experience recruitment difficulties for professional roles. HR is working with the relevant directors to consider alternative resourcing methods.</p> <p>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.</p>	HR continues to work closely with all service heads at the council, to address a range of HR requirements. Work continues with the implementation of iTrent, the HR payroll system, to improve the quality of data and reporting from the system. Sickness absence continues to be monitored along with the impact on services across the council. HR is working with areas experiencing recruitment difficulties. There are a number of emerging issues in terms of recruitment and retention within the local government workforce especially at entry level roles where competition with the private sector is fierce and in senior management roles where there tends to be an ageing workforce. HR is working with areas experiencing recruitment and retention difficulties.	Risk reviewed 11/04/2022 - Risk owner and manager updated

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L16-	Covid-19 Community and Customers Significant spread of the Covid-19 virus results in potential impacts in terms of customers and communities. Including community resilience, ability to access services, consequences of prolonged social distancing or isolation, economic impacts to business, including but not limited to the visitor economy.	Possible reductions in frontline service delivery, events, meetings and customer contact. Economic hardship impacting local business and potentially the local workforce. Impact on vulnerable residents who may find it harder to access services. Increased demand on both frontline and enabling services. Prolonged risk of social isolation and the mental and physical consequence thereof.	5	4	20	Business Continuity Plans have been reviewed and tested to ensure the ongoing delivery of priority services. Remote (home based) working in place, to facilitate self isolation and limit impact on service delivery. Communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response. Regular updates from Director of Public Health, shared internally and externally. Partnership communications. Partnership communications enhanced and regular conversations convened.	Fully Partially Fully Partially	Councillor Barry Wood	Yvonne Rees	Rob MacDougall	4	4	16	↔	Ongoing review and implementation of Council and partnership business continuity and emergency planning arrangements. Outbreak planning and Standard Operating Procedures are in place and regularly reviewed.	The nature of the risk is such that national public health guidelines will determine the councils' response. Oxfordshire Health Protection Board. There is continuing monitoring of case numbers and infection rates in population through the Oxfordshire System and Cherwell are involved with these groups to understand any increase in risk .	Risk reviewed 06/04/2022 Mitigating Actions and Comments Updated

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2021/22																	
L17-	Covid-19 Business Continuity Significant staff absence due to the Covid-19 19 virus results in potential impacts on frontline service delivery and the ability to run the councils' business on a day to day basis.	Possible reductions in frontline service delivery, events, meetings and customer contact. Potential confusion amongst staff with regards to how to plan and respond to reduced service availability, professional support and maintain business as usual. Requirement to reprioritise service delivery. Requirement to offer mutual aid to partner organisations. Potential impact in the medium to long term resilience of staff may result in wider wellbeing issues.	3	4	12	Business Continuity Plans have been reviewed and tested. Guidance has been prepared for managers to support agile working and is updated in response to changing conditions. 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.	Fully Partially Fully Fully	Councillor Barry Wood	Yvonne Rees	Richard Webb	3	3	9	↔	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. With the return to 'Plan A', managers working with all staff to oversee return to the office alongside longer term planning for Agile working.	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. Plans in place as part of the national government's pathway to open up. Monitoring of impacts is ongoing and there are arrangements in place to stand-up heightened Covid response as required. Agile working and flexibility to continue. Hybrid meetings are tested and operational.	Risk reviewed 07/04/2022 - Comments and inherent scoring Updated
L18-	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	Local plans have been revised in line with the national winter plan and revised contain strategy. Most legal restrictions now removed. CDC fully participates in cross county partnerships to plan for the post-pandemic period. New Council business and budget plans reflect financial, service and community impact.	Partially Partially	Councillor Barry Wood	Yvonne Rees	Nathan Elvery	3	3	9	↔	Governance programme reviewed, shared and implemented. Programme support arrangements continue in place and joint Recovery and Renewal Framework due to review at Cabinet in March, 2022.	Work is ongoing to support recovery from Covid, necessarily focused on support for voluntary groups and implementing the various grants and support arrangements available.	Risk reviewed 01/05/22 -Risk Manager updated
L19-	Cessation of joint working between CDC and OCC - Ending of the section 113 arrangement (formal partnership agreement) between Cherwell and Oxfordshire results in increased costs or service delivery impacts.	Without an effective transition plan, relevant advice, capacity and a partnership approach to the withdrawal from the formal relationship there is a risk that the of service disruption and additional financial implications for either authority. Uncertainty and change can also impact upon staffing and performance.	5	4	20	Legal, governance and employment advice for both parties in place and a transitional plan is under development. Arrangements in place to establish at pace separate statutory officers for each organisation. Parties continuing to collaborate within a transitional framework and may seek to continue collaboration in some areas under different operating or service delivery models. Additional programme/project resources to be sought to oversee and implement transition. Communications plan. Decoupling delivery group established. Joint officers transitional working group and Joint service & personnel committee established Agreed set of service reviews and established set baseline position and an agreed transition plan timeframe.	Partially	Cllr Barry Wood	Yvonne Rees	Nathan Elvery	4	3	12	↔	Statutory officer posts in place - approved by Full Council on the 7th Feb. External independent Legal support in place. Transition plan, financial analysis underway. Joint officer transition group set up. Regular staff and Cllr communications in place to keep up to date with changes. High level risk, dependencies and assumptions are regularly reviewed by the JOTWG and reported to the JSSP.	Transition plan has identified 19 service reviews, of which one are has been approved (Housing services) and the meeting of the JSSP committee is due to receive three areas on 25/04	Risk reviewed 05/04/2022 - Mitigating actions, control assessment and comments updated

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L20-	Safeguarding the Vulnerable – Operational and partnership actions- Failure to work effectively with partners to identify and protect vulnerable people in the district and disrupt exploitation leaving vulnerable people at risk or subject to exploitation.	Increased harm and distress caused to vulnerable individuals and their families. Council subject to external reviews Criminal investigations potentially compromised Potential financial liability if council deemed to be negligent. Reputational damage to the council.	4	4	16	Community Safety Partnership monitors risks and oversees the actions needed to reduce risks of exploitation Engagement with Joint Agency Tasking and Co-ordinating Group (JATAC) and Cherwell Operations Group to share information and plan actions on known risks and vulnerable people with partners. Representation at county Child Exploitation sub-group of the Safeguarding Children Board, the countywide Modern Slavery Partnership and Safer Oxfordshire Partnership. Representation at the Children Missing and Exploited Network meetings for north Oxfordshire. Engagement at an operational and tactical level with relevant external agencies and networks to deliver community based disruption and preventative actions. Arrangements in place to ensure local framework of partnership meetings are effective and robustly identify and tackle risks.	Partially Fully Fully Partially Partially	Cllr Andrew McHugh	Steve Jorden	Richard Webb	3	4	12	NEW	Engagement with CE workstream following the Jacob CSPR to identify improvements to local arrangements. Implement local changes to the child exploitation system to address findings in the Jacob CSPR. CSP to adopt improved oversight of the local arrangements to ensure these are effective. Community based exploitation disruption models to be developed and implemented. Continue to engage with partnership arrangements in place to identify risks.	Previously part of risk L08 revised April 2022 to separate internal processes supporting the council to protect the vulnerable from externally focussed operational activities.	Risk reviewed 05/04/2022 - New Risk