

Appendix 8 – Leadership Risk Register as at 23/08/2022

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					
	4 - Major		L09-	L03-L04-L05-L06-L07-L11-L14	L01	
	3 - Moderate		L10-L15	L12-L16-L17	L08- L13-L18	
	2 - Minor		L02-			
	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) Pst			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2022/23																	
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							Posts are filled by appropriately qualified individuals. When posts become vacant the JD is reviewed to ensure it meets the needs of the wider team and that the essential skill levels and experience are appropriate.	The team is currently fully staffed with appropriately qualified individuals. Continuous Professional Development opportunities are offered and maximised by CIPFA, LGA, Link, Pixel. New financial system helping to support the monitoring process.	Risk reviewed - 08/06/2022 Mitigating actions and comments updated	
		Reduction in services to customers				Balanced medium term and dynamic ability to prioritise resources	Fully							Investment Strategy agreed annually. Strategic Place Shaping Board providing a gateway process for capital investment decisions which comply with governance framework.	Investment options considered as and when they arise, MTF5 and budget setting continue 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							Timely and good quality budget monitoring reports, particularly property income and capital. Unit 4 financial system provides improved management information.	Improvements to business partnering and budget management continue to be identified and implemented. Asset Management Strategy to be finalised and approved by Council.		
		Reduced financial returns (or losses) on inability to deliver financial efficiencies				Good networks established locally, regionally and nationally	Fully							Introduction and implementation of an Asset Management Strategy.			
		Inability to deliver commercial objectives (increased income)				National guidance interpreting legislation available and used regularly	Fully										
		Poor customer service and satisfaction				Members aware and are briefed regularly	Fully										
		Increased complexity in governance arrangements				Participate in Oxfordshire Treasurers' Association's work streams	Fully							Finance support and engagement with programme management processes, project boards and steering group.	Depending on the profile of the project, finance rep will either be at Strategic or Finance Business Partner or Service Accountant level. Involvement will reflect locally on outcomes.		
		Lack of officer capacity to meet service demand				Review of best practice guidance from bodies such as CIPFA, LGA and NAO	Fully							Integration and continued development of Performance, Finance and Risk reporting.	Integrated reporting has been embedded but needs to be adapted to reflect requirements of the committees at which it's elements are scrutinised.		
		Lack of financial awareness and understanding throughout the council				Treasury management and capital strategies in place	Fully							Regular involvement and engagement with colleagues across the 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 MTF5.		
		Increased inflation in the costs of capital schemes				Investment strategies in place	Fully							Regular member training and support. 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. Most recently, to induct newly elected members on the Council's finances, and the induction of new members of the Accounts Audit and Risk committee.		
		Increased inflation in revenue costs	4	4	16	Regular financial and performance monitoring in place	Fully							Budget setting will not be an annual event, but will be a continuous process of reviewing budget monitoring and reflecting trends in the MTF5.	Updated budget monitoring for 2022/23 with a greater focus on savings delivery and budget management. Introduction of Budget Oversight Group will review budget position monthly in order to challenge budget holders to manage their budgets within approved parameters.		
						Independent third party advisers in place	Fully	Councillor Adam Neil	Michael Furness	Joanne Kaye	4	4	16	Regular utilisation of advisors as appropriate.	Borrowing strategy recently reviewed in consultation with our financial advisors (amongst others).		
						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 Accounts Audit and Risk Committee.		
						Property portfolio income monitored through financial management arrangements on a regular basis	Partially							Summarise and distribute announcements to CLT, Leader and Lead Member for Finance as and when announcements are made relating to Spending Reviews and other government announcements affecting Local Government.	No detail in the Spending Review to be able to plan for additional resources with any confidence - must wait for Local Government Finance Settlement 2023 to understand the impact.		

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						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 2023/24 have assumed a reduction in resources that will be available from business rates compared to February 2022 assumptions. The budget for 2022/23 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 2023/24 has begun with savings proposals sought that would enable the Council, if 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 and that there is an identified business need.	The Council currently anticipates a medium and long term funding shortfall in overall terms. Set alongside the anticipated funding reductions anticipated to start from 2024-25 the financial resilience of the Council could be severely impacted. The Council set its 2022/23 budget on 28 Feb 2022 and now needs to monitor the delivery of the budget and begin preparations for the 2023/24 budget process. The Government has announced a 3 year Spending Review for 2022/23 - 2024/25 in 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 provide any specific funding allocations for individual local authorities.		
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 Partially Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully	Councillor Barry Wood	Shahin Ismail	Helen Lolas	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. Appointed interim officer regarding FOIs/ROIs and enquiries. Regular reports to CLT and DLT outline our performance regarding meeting statutory deadlines. Learning and development opportunities identified and promoted by the Chief Executive and Directors. First tranche of Senior Leadership training/development begins in August, and is cascaded throughout 2022/23. 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 reviewed - 23/08/2022 Mitigating actions 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. On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies	Partially Partially Partially	Councillor Colin Clarke	Ian Boll	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 last updated in September 2021. It includes programmes for the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canal-side Supplementary Planning Document and work on a Community Infrastructure Levy (CIL). The Oxfordshire Local Planning Authorities agreed to stop work on the Oxon Plan in August 2022. Local Plans for the City and Districts will now provide the framework for the long term planning of Oxfordshire. 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. A draft Local Plan is scheduled to be presented to the Executive in November 2022. The programmes for work on the Canal-side SPD and CIL are aligned to the Local Plan review timetable and will be updated as work on the Plan progresses.	Risk reviewed 15/08/2022 - Risk owner and comments updated

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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	Incident Management Framework 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 Expert advice and support provided by Oxfordshire County Council's Emergency Planning Team under partnership arrangements. Council Duty Directors attend training relating to role prior to joining duty director rota and have refresh training annually Multi agency emergency exercises conducted to ensure readiness Active participation in Local Resilience Forum (LRF) activities	Fully Fully Fully Partially Fully	Councillor Eddie Reeves	Ian Boll	Richard Webb	3	4	12	↔	Emergency plan contacts list being updated monthly and reissued to all duty managers periodically. Available on ELT Teams channel DCC Emergency Planning providing expert advice and support under a partnership arrangement which will continue post decoupling. Supporting officers for incident response identified in the emergency plan and wallet guide but requires refresh following separation. Refreshed incident management plan agreed and implemented. Training provided for all Duty Directors in late 2021 and early 2022. All senior managers who provide the Duty Director rota have opportunity attend multi-agency exercises and duty manager training with DCC 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 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. Duty Directors have access to this framework on the Cherwell Resilience Direct pages. Duty director rota being revised to reflect decoupling arrangements and consequential staffing changes.	Risk Reviewed 04/06/2022 - Controls, control assessment, risk owner, mitigating actions and comments updated
L06 -	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	Councillor Eddie Reeves	Ian Boll	Richard Webb	3	4	12	↔	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. CSPR 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.		Risk reviewed 04/06/2022 - No changes

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L07-	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 effective Partially effective Not effective	Councillor R. Mould	Claire Cox	Martin Green	3	4	12	↑	As a result of decoupling from OCC the strategic H&S lead is no longer in place but a recruitment campaign in progress to recruit a Health and Safety Manager who will take a corporate lead on Health and Safety matters. Post decoupling CLT will have monthly monitoring of H&S matters as a standing item at CLT meetings. The corporate H&S register will be managed and monitored with a focus on the depots as our highest risk areas. Corporate H&S Auditing and Inspection programme on track. Reports issued to managers and actions tracked for completion.	Risk re-evaluated in light of decoupling from OCC and the need for a Corporate lead to be recruited Risk Manager and Head of Paid Service on and changed to amber due to need to recruit corporate lead following decoupling.	Risk reviewed 11/08/22 - Lead member, residual score, mitigating actions and comments updated
Criminal prosecution for failings breach of legislation and potential for enforcement action.	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.	Fully effective															
Financial impact (compensation or improvement actions)	Consultation with employee representatives via employer and union consultative committees (Unison)	Fully effective															
Reputational impact	Corporate H&S Training provided via corporate learning and development programme. Training for operational risks may be organised by services.	Fully effective															
	H&S performance monitored by accident and incident reports and corporate H&S auditing and inspection programme.	Fully effective															
	H&S information is disseminated via internal communications and updates to ELT and other relevant meetings.	Fully effective															

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LOB	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 Increased threat to security due to most staff working from home	4	5	20	File and data encryption on computer devices Managing access permissions and privileged users through AD and individual applications Schedule of regular security patching Vulnerability scanning Malware protection and detection Effective information management and security training and awareness programme for staff Password and Multi Factor Authentication 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 A complete restructure and update of the technical approach for the infrastructure has resulted in a move to a zero trust model. Advice received from NCS on specific activity alerts, the increased threat of globalised ransomware and malware attacks.	Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully Fully	Councillor Richard Mould	Stephen Hinds	David Spilsbury	3	5	15	↔	Cyber Security is mandatory e-learning for all staff to be completed annually and is part of new starters induction training. Members given presentations and cyber training with the Police Cyber Security Advisor. The Regional Police Cyber Security Advisor have given a series of all-Council staff awareness sessions. Microsoft Multi-Factor Authentication is embedded to authenticate users providing an enhanced level of cyber security. IT implemented an intrusion prevention and detection system which is monitored, and regular actions are implemented from the resulting reports. Cyber Security advice and guidance regularly highlighted to all staff. External Health Check undertaken each year and Cabinet Office PSN compliance reviewed and certified each year to ensure the infrastructure is secure to connect to the PSN. Internal Audit completed cyber audits with no major issues or significant risks identified. Joint OCC/CDC Cyber Security Officer in place - this is likely to continue after decoupling under SLA. 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 of cyber-attack due to escalating tensions in Eastern Europe.	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 (NCS) advise an increased risk of cyber-attack due to escalating tensions in Eastern Europe. The overall risk score remains the same. A recent Audit of the Cyber function (CDC and OCC jointly) rated the that the system of control is being maintained (Amber) It should be noted that two elements of the Audit were red rated, and these were regarding procedural documentation which since have been resolved.	Risk Reviewed 15/06/2022 Comments updated

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L09	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 effective Partially effective Not effective Fully Fully Fully Fully Fully Fully Fully	Councillor Eddie Reeves	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 12/06/2022 - No changes
L10	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. A regular Shareholder Representative meeting takes place, a Shareholder Liaison Meeting including the S.151 Officer and Monitoring Officer takes place on a quarterly basis and a Shareholder Committee meeting on a quarterly basis. 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 Adam Nell	Stephen Hinds	Nathan Elvery	2	3	6	↔	A Shareholder Representative has been appointed following the decoupling from OCC, the Shareholder Representative is a former Chief Executive, regular governance arrangements are in place. 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	A formal governance review is being undertaken by the Shareholder Representative and the Monitoring Officer following the decoupling from OCC as part of the overall Transition Plan. A regular monthly report to the Corporate Leadership Team will be established from September 2022.	Risk reviewed 28/07/2022 - Controls, risk owner, manager, mitigating actions and comments updated

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L12-	<p>Corporate Governance - Failure of corporate governance leads to negative impact on service delivery or the implementation of major projects providing value to customers.</p> <p>Risk of ultra vires activity or lack of legal compliance</p> <p>Risk of fraud or corruption</p> <p>Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control.</p> <p>Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the council.</p> <p>Inability to support Council's democratic functions / obligations (e.g. return to physical public meetings and public access to meetings).</p> <p>Elements of the COVID-19 response and recovery work may be compromised, delayed or not taken forwards.</p>	<p>Threat to service delivery and performance if good management practices and controls are not adhered to.</p> <p>Risk of ultra vires activity or lack of legal compliance</p> <p>Risk of fraud or corruption</p> <p>Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control.</p> <p>Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the council.</p> <p>Inability to support Council's democratic functions / obligations (e.g. return to physical public meetings and public access to meetings).</p> <p>Elements of the COVID-19 response and recovery work may be compromised, delayed or not taken forwards.</p>	4	4	16	<p>Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.</p> <p>Clear accountability and resource for corporate governance (including the shareholder role).</p> <p>Integrated budget, performance and risk reporting framework.</p> <p>Corporate programme office and project management framework. Includes project and programme governance.</p> <p>Internal audit programme aligned to leadership risk register.</p> <p>Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.</p> <p>HR policy framework.</p> <p>Annual governance statement process undertaken for 2021/22 connects more fully and earlier with ELT and CLT.</p> <p>Annual Review of the Constitution will take place each Autumn led by the Overview & Scrutiny Committee and approved by Full Council</p>	<p>Fully effective</p> <p>Partially effective</p> <p>Not effective</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Partially</p> <p>Fully</p> <p>Partially</p> <p>Partially</p> <p>Fully</p> <p>Fully</p>	Councillor Barry Wood	Yvonne Rees	Shahin Ismail	3	3	9	↔	<p>Standing item at senior officer meetings – regular review of risk and control measures - through CLT and DLTS.</p> <p>Leadership programme identifying Programme and Project Management is being developed and rolled out to ELT during 2022/23.</p> <p>The Monitoring Officer is a member of full member of CLT.</p> <p>The Annual Governance Statement was produced and has been published. The Corporate Governance Assurance Group continues to map governance processes to ensure visibility and to refresh them.</p>	<p>Risk is currently under complete review. A fundamental review of organisational risks and risk policy is ongoing.</p>	<p>Risk reviewed 19/06/2022 - Controls, mitigating actions and comments updated</p>

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2022/23																	
L13-	Oxfordshire Housing and Growth Deal - (contract with HWG)	<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)</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>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 5 (final year) Plans of Work to detail the expected delivery by CDC for Year 5 of the Growth Deal Programme; building on the experiences and knowledge gained during previous years.</p>	<p>Fully effective</p> <p>Partially effective</p> <p>Not effective</p> <p>Fully, when implemented (not implemented yet).</p> <p>Partially</p> <p>Fully</p> <p>Fully</p> <p>Partially</p>	Councillor Barry Wood	Ian Boll	Robert Jolley	4	3	12	↔	<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>	The Growth Deal Programme in Cherwell remains substantially on track and all of the workstreams are contributing to the overall programme.	Risk reviewed and comments updated by Risk manager 16/06/2022. Risk owner updated.
L14-	Workforce Strategy	<p>The lack of effective workforce strategies could impact on our ability to deliver Council priorities and services.</p> <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</p> <p>Fully</p> <p>Fully</p> <p>Partially</p>	Councillor R. Mould	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 develop a framework that suits the needs of all services ensuring 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>The new IT system has been implemented to improve our workforce data and continues to be developed to improve our ability to interrogate and access key data (ongoing) in order to inform workforce strategies.</p>	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 15/06/2022 - No changes

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) Pw			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2022/23																	
L15-	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 enhanced and regular conversations convened.	Fully Partially Fully Fully	Councillor Barry Wood	Yvonne Rees	Richard Webb	2	3	6	↓	Council and partnership business continuity and emergency planning arrangements for the Covid-19 response suspended in recognition of the current situation. Outbreak planning and Standard Operating Procedures are in place and could be implemented rapidly if required.	There is continuing monitoring of case numbers, infection rates and impacts in the health system through the Oxfordshire System and Cherwell are involved with these groups to understand any increase in risk. Risk currently low due to prevalent strain of Covid-19 not having serious health impacts in most people. Consequentially, the impacts on health system and economy are reduced. Monitoring only at this time.	Risk reviewed 04/06/2022 Risk owner, manager, residual score, mitigating actions and comments updated

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) Pw			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2022/23																	
L16-	Covid-19 Business Continuity Significant staff absence due to the Covid-19 virus results in potential impacts on frontline service delivery and the ability to run the council's 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 in place. Guidance supports managers to enable agile working and is updated in response to changing conditions. Remote working capability across all relevant council teams. Regular updates from Director of Public Health, shared internally and externally.	Fully Partially Fully Fully	Councillor Barry Wood	Ian Boll	Richard Webb	3	3	9	↔	Council and partnership business continuity and emergency planning arrangements suspended to reflect current low Covid-19 impacts but remain in place for rapid implementation if required. IT remote working arrangements are sustainable. Monitoring for risk escalation only.	The nature of the risk is such that national public health guidelines will determine the council's response. Staff absences due to Covid-19 are low. Agile working and flexibility to continue. Hybrid meetings are tested and operational.	Risk reviewed 04/06/2022 Mitigating actions and comments updated
L17-	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	Stephen Hinds	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. The individual elements in L17 are now covered within the existing risks of L01, L11, L14, L15 and L16. This risk is now being transitioned into a current economic climate risk from August 2022 relating to inflation and the cost of living crisis being encountered by the Council, its residents, partners and businesses. A briefing to Scrutiny around the work the Council is undertaking is being taken in September 2022, including detail on areas including Housing, Grants and Support and Health. These elements will form the new risk and foramilly close L17. The new risk will have an Inherent Risk Rating of 16, with a residual risk register of 12.	Risk reviewed 15/06/2022 - Risk Manager and comments updated
L18-	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.3	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	Cherwell DC have employed an experienced former Chief Executive who has extensive experience in partnership working, the decoupling and creation of partnerships as the Chief Operating Officer to oversee the decoupling transition plan. Legal, governance and employment advice for both parties in place and a transitional plan is under development. Separate statutory officer arrangements have been established. Governance arrangements have been established including a Joint Decoupling Delivery Group (JDDG), Joint Officer Transition Working Group (JOTWG) and a joint Shared Services & Personnel Committee (JSS&P Committee) 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 and engagement with affected staff is in place. Transitional Plan is based on 3 x Phase over 3 x meetings with the JSS&P Committee and supporting officer governance arrangements.	Full Full Full Full Full Full	Clr Barry Wood	Yvonne Rees	Nathan Elvery	2	5	10	↔	The transitional plan is adaptable to ensure recommendations can be made to the JSS&P Committee in a timely and effective manner. Risks are managed across the various governance arrangements and monitored by the JSS&P Committee. A decoupling implementation plan is in place for CDC to effectively and efficiently manage the transitional arrangements and risks. An update has been reported to the Overview & Scrutiny Committee.	Transition plan has identified 24 service review are to be recommended to the JSS&P Committee during the period March 2022 to July 2022. A detailed CDC implementation plan is in place monitored on a regular basis via a sub-group of the Corporate Leadership Team - Decoupling Programme Board.	Risk reviewed 28/07/2022 - Controls, mitigating actions and comments updated

L03 - Local Plan Risk

The latest Local Development Scheme is that approved by the Executive 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 Level (CIL).

Oxfordshire Plan 2050

The Oxfordshire Local Planning Authorities agreed to stop work on the Oxon Plan in August 2022. Local Plans for the City and Districts will now provide the framework for the long term planning of Oxfordshire.

Local Plan Review

An issues consultation was undertaken in 2020. Consultation on an Options Paper was undertaken from 29 September to 10 November 2021. The latest timetable for the continuing work on the Cherwell Local Plan Review is as follows:

- Consultation on draft Plan (Regulation 18): November / December 2022
- Consultation on Proposed Submission Plan (Regulation 19): June/July 2023
- Submission for Examination (Regulation 22): November 2023

Banbury Canalside Supplementary Planning Document

The timetable for the Banbury Canalside SPD as set out in the Local Development Scheme follows that for the review of the Local Plan. It presently requires:

- preparation and engagement: May 2023 (onwards)
- formal consultation: February-March 2024
- adoption: May 2024

This timetable will need to be adjusted to follow that for the Local Plan.

Community Infrastructure Levy (CIL)

The timetable for CIL as set out in the Local Development Scheme is aligned to Local Plan preparation (unless national policy changes). It requires:

- evidence gathering and engagement: June-July 2022
- preparation of draft charging schedule: July-December 2022
- consultation on charging schedule January-February 2023
- potential (if approved) submission of charging schedule: May 2023

This timetable will need to be adjusted to accord with that for the Local Plan.

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