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	L18				
	4 - Major		L09	L03-L04-L05-L06-L07-L11-L14	L01	
	3 - Moderate		L10-L15	L12-L16-L17	L08- L13	
	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) Pvl			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating		Fully effective / Partially effective / Not effective				Probability	Impact	Rating				
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			16	Medium Term Revenue Plan reported regularly to members.	Fully	Councillor Adam Nell	Michael Furness	Joanne Kaye	4	4	16	↔	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 - 13/09/2022 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, MTFS 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. Introduction and implementation of an Asset Management Strategy.	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 investments/assets				Good networks established locally, regionally and nationally	Fully										
		Inability to deliver financial efficiencies				National guidance interpreting legislation available and used regularly	Fully										
		Inability to deliver commercial objectives (increased income)				Members aware and are briefed regularly	Fully										
		Poor customer service and satisfaction				Participate in Oxfordshire Treasurers' Association's work streams	Fully								Finance support and engagement with programme management processes, 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 Assountant level. Involvement will reflect locally on outcomes.	
		Increased complexity in governance arrangements				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 officer capacity to meet service demand				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 MTFS.	
		Lack of financial awareness and understanding throughout the council				Investment strategies in place	Fully								Regular member training and support. Briefings provided on key topics to members in 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 the costs of capital schemes				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 MTFS.	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 budgetes within approved parameters.	
		Increased inflation in revenue costs	4	4	16	Independent third party advisers in place	Fully								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.	
						Asset Management Strategy in place and embedded.	Partially								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.	
						Transformation Programme in place to deliver efficiencies and increased income in the future	Fully										

2022/23

L02 - Statutory functions – Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.

Potential impact:
- 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

Inherent (gross) risk level (no Controls): Probability 3, Impact 4, Rating 12

Controls:
Control	Control assessment
Embedded system of legislation and policy tracking In place, with clear accountabilities, reviewed regularly by Directors.	Partially
Clear accountability for responding to consultations with defined process to ensure Member engagement	Fully
National guidance interpreting legislation available and used regularly	Fully
Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed.	Fully
Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place	Partially
Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit	Fully
Internal Audit Plan risk based to provide necessary assurances	Fully
Strong networks established locally, regionally and nationally to ensure influence on policy issues. In addition two Directors hold leading national roles.	Fully
Senior Members aware and briefed regularly in 1:1s by Directors	Fully
Arrangements in place to source appropriate interim resource if needed	Fully
Ongoing programme of internal communication	Fully
Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required.	Fully
CDC Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key organisational matters including	Fully

Lead Member: Councillor Barry Wood
Risk owner: Shahin Ismail
Risk manager: Helen Lolas

Residual risk level (after existing controls) Pvl: Probability 3, Impact 3, Rating 9

Direct'n of travel: ↔

Mitigating actions (to address control issues):
- 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/EOIs 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.

Comments: 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.

Last updated: Risk reviewed - 14/09/22 No change

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

Potential impact:
- 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

Inherent (gross) risk level (no Controls): Probability 4, Impact 4, Rating 16

Controls:
Control	Control assessment
Local Development Scheme (LDS) is actively managed and reviewed, built into Service Plan, and integral to staff appraisals of all those significantly involved in Plan preparation and review	Partially
Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity.	Partially
On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies	Partially

Lead Member: Councillor Colin Clarke
Risk owner: Ian Boll
Risk manager: David Peckford

Residual risk level (after existing controls) Pvl: Probability 3, Impact 4, Rating 12

Direct'n of travel: ↔

Mitigating actions (to address control issues):
- 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.

Comments: 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 Canalside 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 Canalside SPD and CIL are aligned to the Local Plan review timetable and will be updated as work on the Plan progresses.

Last updated: Risk reviewed - 13/09/2022 No change

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) Pvl			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating		Fully effective Partially effective Not effective				Probability	Impact	Rating				
2022/23																	
L04-	**Business Continuity** - Failure to ensure that critical services can be maintained in the event of a short or long term Incident impacting on the delivery of the Council's operations	Inability to deliver critical services to customers/residents	4	4	16	Business continuity strategy, statement of intent and framework in place and all arrangements overseen by a Business Continuity Steering Group	Fully	Councillor Eddie Reeves	Ian Boll	Richard Webb	3	4	12	↔	Business Continuity Statement of Intent and Framework due to be reviewed to align with new incident management framework	The Council's businesses continuity plans ensured that critical services could continue to be provided throughout the lockdown periods. Remote working enables most teams to work effectively from home and sustain services in the event of travel disruption of inability to use council buildings. A new incident management framework is being developed following the end of the formal partnership with OCC and some further work is required to ensure this new IMF aligns with our BC policy framework. A document repository and management system is under development for key business continuity plans. Teams have been asked to update BIAs for September in advance of a complete review of Business Continuity Plans.	Risk Reviewed - 05/09/2022 Comments updated.
		Financial loss/ increased costs				Services prioritised and ICT recovery plans reflect those priorities and the requirements of critical services	Fully								Cross-council BC Steering Group meets regularly to identify BC improvements needed		
		Loss of important data				ICT disaster recovery arrangements in place with data centre and cloud services reducing likelihood of ICT loss and data loss	Fully								ICT transition to data centre and cloud services has reduced likelihood of ICT loss and data loss		
		Inability to recover sufficiently to restore non-critical services before they become critical				Incident management team identified in Business Continuity Framework	Fully								Corporate ownership and governance revised as a result of separation of OCC and CDC		
		Loss of reputation				All services undertake annual business impact assessments and updates of business continuity plans	Partially								BC Impact assessments and BCPs to be updated and reviewed by OCC's Emergency Planning team		
		Reduced service delivery capacity in medium term due to recovery activity				All services maintain business continuity plans	Partially								BC exercises to be arranged		
															Updated Incident management framework agreed August 2021		

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) Pvl			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating		Fully effective / Partially effective / Not effective				Probability	Impact	Rating				
2022/23																	
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	4	4	16	Incident Management Framework in place and key contact lists updated monthly.	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	The council is maintaining its duty director rota for any emergency incidents that might arise. A new Incident Response Framework is being prepared to reflect changes following separation from OCC. 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. A 'lessons learned' review is being conducted of an incident in July which resulted in no disruption to the council but tested our response arrangements.	Risk Reviewed - 05/09/2022 Comments updated
		Unnecessary hardship to residents and/or communities				Emergency Planning Lead Officer defined with responsibility to review, test and exercise plan and to establish, monitor and ensure all elements are covered	Fully								OCC Emergency Planning providing expert advice and support under a partnership arrangement which will continue post decoupling.		
		Risk to human welfare and the environment				Expert advice and support provided by Oxfordshire County Council's Emergency Planning Team under partnership arrangements.	Fully								Supporting officers for incident response identified in the emergency plan and wallet guide but requires refresh following separation from OCC.		
		Legal challenge				Council Duty Directors attend training relating to role prior to joining duty director rota and have refresh training annually	Fully								Refreshed incident management plan being developed following separation from OCC.		
		Potential financial loss through compensation claims				Multi agency emergency exercises conducted to ensure readiness	Partially								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 OCC senior managers.		
		Ineffective Cat 1 partnership relationships				Active participation in Local Resilience Forum (LRF) activities	Fully								On-call rota being maintained and to be updated to reflect recent staffing changes		
		Reputational damage													Authority continues to be represented at the Local Resilience Forum		
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.		4	4	16	Community Safety Partnership monitors risks and oversees the actions needed to reduce risks of exploitation	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.	Work is continuing to implement changes to the local arrangements for tackling child exploitation following the Jacob CSPR. Plans are in development for local reporting on exploitation risks to Community Safety Partnerships which will support the Partnership to ensure that local response arrangements are effective.	Risk Reviewed - 05/09/2022 Comments updated.
		Increased harm and distress caused to vulnerable individuals and their families.															
		Council subject to external reviews				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.	Fully								Implement local changes to the child exploitation system to address findings in the Jacob CSPR.		
		Criminal investigations potentially compromised				Representation at county Child Exploitation sub-group of the Safeguarding Children Board, the countywide Modern Slavery Partnership and Safer Oxfordshire Partnership.	Fully								CSP to adopt improved oversight of the local arrangements to ensure these are effective.		
		Potential financial liability if council deemed to be negligent.				Representation at the Children Missing and Exploited Network meetings for north Oxfordshire.	Fully								Community based exploitation disruption models to be developed and implemented.		
		Reputational damage to the council.				Engagement at an operational and tactical level with relevant external agencies and networks to deliver community based disruption and preventative actions.	Partially								Continue to engage with partnership arrangements in place to identify risks.		
						Arrangements in place to ensure local framework of partnership meetings are effective and robustly identify and tackle risks.	Partially										

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) Pvl			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating		Fully effective / Partially effective / Not effective				Probability	Impact	Rating				
2022/23																	
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	Councillor Richard 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 coporate lead following decoupling. | Risk reviewed - 14/09/22 No changes |
		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										
		Financial impact (compensation or improvement actions)				Consultation with employee representatives via employer and union consultative committees (Unison)	Fully										
		Reputational Impact				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.	Fully										

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			Probability	Impact	Rating		Fully effective / Partially effective / Not effective				Probability	Impact	Rating				
2022/23																	
L08-	**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	4	5	20	File and data encryption on computer devices	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.	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.	Risk reviewed - 02/09/22 No changes
						Managing access permissions and privileged users through AD and individual applications	Fully											
		Prosecution – penalties imposed				Schedule of regular security patching	Fully								Members given presentations and cyber training with the Police Cyber Security Advisor.		
		Individuals could be placed at risk of harm				Vulnerability scanning	Fully								The Regional Police Cyber Security Advisor have given a series of all-Council staff awareness sessions.	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.	
		Reduced capability to deliver customer facing services				Malware protection and detection	Fully								Microsoft Multi-Factor Authentication is embedded to authenticate users providing an enhanced level of cyber security.	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.	
		Unlawful disclosure of sensitive information				Effective information management and security training and awareness programme for staff	Fully								IT implemented an intrusion prevention and detection system which is monitored, and regular actions are implemented from the resulting reports.		
		Inability to share services or work with partners				Password and Multi Factor Authentication security controls in place	Fully								Cyber Security advice and guidance regularly highlighted to all staff.	A recent Audit of the Cyber function (CDC and OCC jointly) rated the that the system of control is being mantained (Amber) It should be noted that two elements of the Audit were red rated, and these were regarting procedural documentation which since have been resolved.	
		Loss of reputation				Robust information and data related incident management procedures in place	Fully								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.		
						Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services	Fully								Internal Audit completed cyber audits with no major issues or significant risks identified.		
						Appropriate plans in place to ensure ongoing PSN compliance	Fully								Joint OCC/CDC Cyber Security Officer in place - this is likely to continue after decoupling under SLA.		
						Adequate preventative measures in place to mitigate insider threat, including physical and system security	Fully								Additional IT security advice provided for all staff during the Covid-19 working at home period including online coronavirus related scams.		
						Insider threat mitigated through recruitment and line management processes	Fully								Cyber Security Manager has reviewed advice and provided assurance on our compliance.		
		Increased threat to security due to most staff working from home				A complete restructure and update of the technical approach for the infrastructure has resulted in a move to a zero trust model.	Fully								All staff reminded to be vigilant to unexpected emails due to the heightened risk of cyber-attack due to escalating tensions in Eastern Europe.		
						Advice received from NCSC on specific activity alerts, the increased threat of globalised ransomware and malware attacks.	Fully										

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			Probability	Impact	Rating						Probability	Impact	Rating				
2022/23																	
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	4	4	16	Safeguarding lead in place and clear lines of responsibility established	Fully	Councillor Phil Chapman	Yvonne Rees	Nicola Riley	2	4	8	↔	Monitoring of implementation of corporate policies and procedures to ensure fully embedded	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. Action plan from the 2021/22 peer review are being implemented to ensure our processes are delivering the improvemnts suggested	Risk Reviewed - 14/09/2022 No changes
		Council could face criminal prosecution				Safeguarding Policy and procedures in place	Fully								Ensure web pages remain up to date		
		Criminal investigations potentially compromised				Information on the intranet on how to escalate a concern	Fully								Annual refresher and new training programmes including training for new members		
		Potential financial liability if council deemed to be negligent				Mandatory training and awareness raising sessions are now in place for all staff.	Fully								Attendance at safeguarding boards and participation in learning events		
		Reputational damage to the council				Safer recruitment practices and DBS checks for staff with direct contact	Fully								Continue to attend safeguarding board sub groups as necessary to maintain high levels of awareness within the system and compliance with latest practice		
						Data sharing agreement with other partners	Fully										
						Attendance at Children and Young People Partnership Board (CYPPB)	Fully								Regular internal cross departmental meetings to discuss safeguarding practice		
						Annual Section 11 return compiled and submitted as required by legislation.	Fully								Action plan acted upon and shared with Overview and scrutiny committee once a year		
															Corporate monitoring of all referrals		
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	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.	Fully	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.	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. The update Governance report was taken to CLT on 14th September.	Risk reviewed - 14/09/22 Comments updated
		Failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives				Financial planning for the companies undertaken that will then be included within our own Medium term financial plan	Fully								Resilience and support being developed across business to support and enhance knowledge around council companies.		
		Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies				Ensure strong corporate governance mechanisms are in place	Partially								Skills and experience being enhanced to deliver and support development, challenge and oversight.		
		Potential impact of local government re-organisation (Northamptonshire) on CSN				Sound monitoring in place of both business and financial aspects of the companies and the impact on overall council performance	Fully								Work with one company to ensure long term support arrangements are put in place.		
						Training in place for those undertaking roles relating to the companies	Partially								Ongoing shareholder meetings key to understanding impact of Northamptonshire reorganisation		

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			Probability	Impact	Rating		Fully effective Partially effective Not effective				Probability	Impact	Rating				
2022/23																	
L11-	**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.	3	4	12	Ensure contract management in place review and anticipate problems within key service suppliers and partners	Partially	Councillor Adam Nell	Stephen Hinds	Simon Moody	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.		Risk reviewed 07/09/22 - No changes
						Business continuity planning arrangements in place in regards to key suppliers	Partially										
						Ensuring that proactive review and monitoring is in place for key suppliers to ensure we are able to anticipate any potential service failures	Partially								The Procurement Team is now providing ELT members and identified Contract Mangers a monthly update of all suppliers with spend above £25k c/w a credit risk rating score to enable contract managers to manage any identified risks, with support from the Procurement Team. Furthermore, as a result of Covid-19 the likelihood of this risk is deemed to have increased and thus the procurement and finance team now hold a weekly joint meeting to consider funding solutions to support At Risk Suppliers in accordance with the national guidance note PPN04/20.		
		Reduced resilience and business continuity				Intelligence unit set up procurement Hub to monitor supplier and contractor market	Fully								Business continuity plans in place		
		Increased complaints and/or customer dissatisfaction				Analysis of third party spend undertaken to identify and risk assess key suppliers/contractors	Fully										
		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															

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2022/23																	
L12-	**Corporate Governance** - Failure of corporate governance leads to negative impact on service delivery or the implementation of major projects providing value to customers.	Threat to service delivery and performance if good management practices and controls are not adhered to.	4	4	16	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.	Fully	Councillor Barry Wood	Yvonne Rees	Shahin Ismail	3	3	9	↔	Standing item at senior officer meetings – regular review of risk and control measures - through CLT and DLTs.	Risk is currently under complete review. A fundamental review of organisational risks and risk policy is ongoing.	Risk reviewed 07/09/22 - No changes
		Risk of ultra vires activity or lack of legal compliance				Clear accountability and resource for corporate governance (including the shareholder role).	Fully								Leadership programme identifying Programme and Project Management is being developed and rolled out to ELT during 2022/23.		
		Risk of fraud or corruption				Integrated budget, performance and risk reporting framework.	Fully										
		Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control.				Corporate programme office and project management framework. Includes project and programme governance.	Partially								The Monitoring Officer is a member of full member of CLT.		
		Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the council.				Internal audit programme aligned to leadership risk register.	Fully								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.		
		Inability to support Council's democratic functions / obligations (e.g. return to physical public meetings and public access to meetings).				Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.	Partially										
		Elements of the COVID-19 response and recovery work may be compromised, delayed or not taken forwards.				HR policy framework.	Partially										
						Annual governance statement process undertaken for 2021/22 connects more fully and earlier with ELT and CLT.	Fully										
						Annual Review of the Constitution will take place each Autumn led by the Overview & Scrutiny Committee and approved by Full Council	Fully										

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2022/23																	
L13-	Oxfordshire Housing and Growth Deal - (contract with HMG)	Failure to meet its obligations as a partner within the Growth Deal could see Cherwell as a factor in Government holding back some or all of its funding and/or cease to extend the arrangement beyond 2023.	4	5	20	Established programme structure and partnership ethos to support effective programme delivery. .	Fully	Councillor Barry Wood	Ian Boll	Robert Jolley	4	3	12	↔	A CDC GD programme and programme board capability.	The remaining workstreams within the Oxfordshire Housing and Growth Deal Programme in Cherwell remain substantially on track. It should be noted, however, that the Oxfordshire Plan 2050 ceased in August 2022 and the implications of this are currently being assessed by the relevant parties.	Risk reviewed 14/09/2022 - Comments and risk owner updated.
		Failure to replace Programme Management Officer could adversely affect delivery and stability of the overall Cherwell programme.				Put suitable arrangements in place to deliver the Project Management function.	Fully, when implemented (not implemented yet).								Meetings to take place with key colleagues to implement suitable arrangements to deliver the Project Management function.		
		Infrastructure milestone delivery late (for infrastructure linked to accelerated				Engagement with housing developers to understand their commercial constraints.	Partially								Work stream plans of work (work stream brief, schedule, RAID log) . Structured engagement with developers to better understand their needs.		
		Delivery of Infrastructure projects fail to accelerate housing delivery as commercial pressures impact house builders				Identify potential "top up" schemes to supplement GD affordable housing scheme.	Fully								Appropriate escalation of issues to agree programme flexibilities where required.		
		Delivery of affordable houses below programme targets as GD contributions insufficient to attract sufficient builders/ registered providers				Utilise effective Programme controls to facilitate prompt escalation of issues to enable appropriate decision making and delivery timescale review.	Fully								Improved collaboration working with partners.		
		Oxfordshire Plan delivered late				Develop Year 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.	Partially								Ongoing work with partners to realistically reflect deliverable schemes within programme time frame.		
L14-	Workforce Strategy The lack of effective workforce strategies could impact on our ability to deliver Council priorities and services.	Limit our ability to recruit, retain and develop staff	3	4	12	Analysis of workforce data and on-going monitoring of issues.	Partially	Councillor Richard Mould	Yvonne Rees	Claire Cox	3	4	12	↔	Development of relevant workforce plans.	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 14/09/2022 - No changes
		Impact on our ability to deliver high quality services				Key staff in post to address risks (e.g. strategic HR business partners)	Fully								Development of new L&D strategy, including apprenticeships.		
		Overreliance on temporary staff				Weekly Vacancy Management process in place	Fully								Development of specific recruitment and retention strategies. 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.		
															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.		
		Additional training and development costs				Ongoing service redesign will set out long term service requirements	Partially								The new IT system has been implemented to improve our workforce data and continues to be develop to improve our ability to interrogate and access key data (ongoing) in order to inform workforce strategies.		

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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. — Fully Remote (home based) working in place, to facilitate self isolation and limit impact on service delivery. — Partially Communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response. — Fully Regular updates from Director of Public Health, shared internally and externally. Partnership communications. Partnership communications enhanced and regular conversations convened. — 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 cufrently 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 05/09/2022. No changes.

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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 councils' business on a day to day basis.	Possible reductions in frontline service delivery, events, meetings and customer contact.	3	4	12	Business Continuity Plans in place.	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 councils' response. Staff absences due to Covid-19 are low. Agile working and flexibility to continue. Hybrid meetings are tested and operational.	Risk reviewed 05/09/2022. No changes.
		Potential confusion amongst staff with regards to how to plan and respond to reduced service availability, professional support and maintain business as usual.				Guidance supports managers to enable agile working and is updated in response to changing conditions.	Partially										
		Requirement to reprioritise service delivery.				Remote working capability across all relevant council teams.	Fully										
		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.				Regular updates from Director of Public Health, shared internally and externally.	Fully										
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	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.	Partially	Councillor Barry Wood	Yvonne Rees	Stephen Hinds	3	3	9	↔	Governance programme reviewed, shared and implemented.	Work is ongoing to support recovery from Covid, necessarily focused on support for voluntary groups and implementing the various grants and support arrangements available. 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 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 regarding the Cost of Living support the Council provides. A Food Inclusivity Working Group has been agreed, with a ToR to be finalised, as will the membership. These elements will form the new risk and foramlly close L17 in 2022. The new risk will have an Inherent Risk Rating of 16, with a residual risk register of 12.	Risk reviewed 07/09/2022 -Risk Manager and comments updated
		Requirement to review service delivery				New Council business and budget plans reflect financial, service and community impact.	Partially								Programme support arrangements continue in place and joint Recovery and Renewal Framework due to review at Cabinet in March, 2022.		
		Budget implications															
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.	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.	Full	Councillor Barry Wood	Yvonne Rees	Nathan Elvery	1	5	5	↓	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 a monitored on a regular basis via a sub-group of the Corporate Leadership Team - Decoupling Programme Board.	Risk reviewed 14/09/2022- Controls, risk owner, manager, mitigating actions, residual risk and comments updated
						Legal, governance and employment advice for both parties in place and a transitional plan is under development.	Full										
						Separate statutory officer arrangements have been established.	Full										
						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)	Full										
						Parties continuing to collaborate within a transitional framework and may seek to continue collaboration in some areas under different operating or service delivery models.	Full										
						Additional programme/project resources to be sought to oversee and implement transition.	Full										
						Communications and engagement with affective staff is in place.	Full										
						Transitional Plan is based on 3 x Phase over 3 x meetings with the JSS&P Committee and supporting officer governance arrangements.	Full										

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.