Appendix 8 – Leadership Risk Register as at 13/12/2022

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			L08		
	4 - Major		L09	L03-L04-L05-L06-L07-L11-L14	L01	
	3 - Moderate		L10-L15	L02-L12-L16	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

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 L:RR3P:RO:R
Probability	Impact	Rating		Fully effective / Partially effective / Not effective				Probability	Impact	Rating				
			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 30/11/2022 - Potential impacts and Controls updated
			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.	New investment proposals are considered as part of the budget setting process and as and when they arise. The MTFS and budget setting continue to enhance the scrutiny and quality of new investments.	
			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.	
			Good networks established locally, regionally and nationally. Strong shareholder function and relationships with subsidiaries. Financial returns from the subsidiaries are not included in the MTFS until they are reasonable assured to materialise.	Fully								Introduction and implementation of an Asset Management Strategy. Shareholder Agreements in place with subsidiaries which require regular management reports to be shared with the Shareholder which allows for dialog between the entities.		
			National guidance interpreting legislation available and used regularly	Fully								Work is underway to maximise the impact of the available space in Banbury town centre, encouraging an enjoyable shopping experience alongside space for non-retail activity to co-exist.		
			Progress regeneration plans in a coordinated manner.	Partially										
			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.	
			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.	
			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.	
			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.	
4	4	16	Regular financial and performance monitoring in place	Fully	Councillor Adam Nell	Michael Furness	Joanne Kaye	4	4	16	↔	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.	
			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.	

Inherent (gross) risk level (no Controls)			Controls	Control assessment (Fully effective / Partially effective / Not effective)	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls) Pvl			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated L:RR3P:RO:R
Probability	Impact	Rating						Probability	Impact	Rating				
			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										
3	4	12	Embedded system of legislation and policy tracking In place, with clear accountabilities, reviewed regularly by Directors.	Partially	Councillor Barry Wood	Stephen Hinds	Shiraz Sheikh	3	3	9	↔	Establish corporate repository and accountability for policy/legislative changes taking into consideration all of the Council's functions.	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 .	Risk reviewed 14/12/22
			Clear accountability for responding to consultations with defined process to ensure Member engagement	Fully								Review Directorate/Service risk registers.	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.	
			National guidance interpreting legislation available and used regularly	Fully								Ensure Committee forward plans are reviewed regularly by senior officers.		
			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								Ensure Internal Audit plan focusses on key leadership risks.		
			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								Appointed Interim officer regarding FOIs/EOIs and enquiries. Regular reports to CLT and DLT outline our performance regarding meeting statutory deadlines.		
			Arrangements in place to source appropriate interim resource if needed	Fully								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.		
			Ongoing programme of internal communication	Fully								Regular communications from Chief Executive. Quarterly staff briefings from Assistant Directors.		
			Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required.	Fully								External support secured for key corporate projects including Growth Deal and IT Transformation Programme.		
			CDC Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key organisational matters including	Fully										
4	4	16	Local Development Scheme (LDS) is actively managed and reviewed, built into Service Plan, and integral to staff appraisals of all those significantly involved in Plan preparation and review	Partially	Councillor Colin Clarke	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.	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 January 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.	Risk reviewed 05/12/2022. Commentary Updated
			Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity.	Partially								Regular Corporate Director and Lead Member briefings		
												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.		
			On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies	Partially								Authority Monitoring Reports continue to be prepared on a regular annual basis.		

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Probability	Impact	Rating						Probability	Impact	Rating				
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 was approved by CLT in November, has been shared with Duty Directors and has been published on the Intranet. The Council's Intranet pages on Business Continuity have also been updated to provide better information for staff. A document repository and management system is now in place for key business continuity plans but requires population with current documents. Teams have been asked to update BIAs in advance of a complete review of Business Continuity Plans.	Risk Reviewed 06/12/2022 - Comments updated.
			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		
			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		
			Incident management team identified in Business Continuity Framework	Fully								Corporate ownership and governance revised as a result of separation of OCC and CDC		
			All services undertake annual business impact assessments and updates of business continuity plans	Partially								BC Impact assessments and BCPs being updated and reviewed by OCC's Emergency Planning team with supporting document management system being implemented.		
			All services maintain business continuity plans	Partially								BC exercises to be arranged		
												Incident management framework agreed August 2021 and now being revised to reflect arrangements post separation from OCC		

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Probability	Impact	Rating		Fully effective / Partially effective / Not effective				Probability	Impact	Rating				
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. Training is being provided for new Extended Leadership Team members to support them in their new role as Duty Director. A new Incident Response Framework was approved by CLT in November, has been provided to Duty Directors and is now published on the Intranet for all staff to access. This new IMF reflects changes following separation from OCC. Duty Directors also have access to this framework on the Cherwell Resilience Direct pages along with a key contacts guide. A 'lessons learned' review of an incident in July (which resulted in no disruption to the council but tested our response arrangements) has identified some actions to improve awareness of the council's business contibuity incident response arrangements. These actions are being progressed and will be completed by the end of December 2022.	Risk Reviewed 06/12/2022 - Comments and mitigating actions updated.
			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 continues post decoupling.		
			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.		
			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.		
			Multi agency emergency exercises conducted to ensure readiness	Partially								Training provided for all Duty Directors in late 2021 and early 2022. Training for new duty directors arranged for October and December 2022. All senior managers who provide the Duty Director rota have opportunity attend multi-agency exercises and duty manager training with OCC senior managers.		
			Active participation in Local Resilience Forum (LRF) activities	Fully								On-call rota being maintained and updated to reflect recent staffing changes		
												Authority continues to be represented at the Local Resilience Forum		
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 the CE sub-group of Safeguarding Children Board 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 06/12/2022. Comments and mitigating actions updated.
			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								Implementing local changes to the multi-agency arrangements in Cherwell seeking to prevent child exploitation to address findings in the Jacob CSPR.		
			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.		
			Representation at the Children Missing and Exploited Network meetings for north Oxfordshire.	Fully								Community based exploitation disruption models to be developed and implemented.		
			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										

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Probability	Impact	Rating		Fully effective / Partially effective / Not effective				Probability	Impact	Rating				
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 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 which has now taken place.

The Health and Safety Manager commenced employment on 1 December 2022 and will be taking forward actions arising from the recent Health and Safety Audit report. | Risk reviewed 02/12/2022 |
			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										
			Consultation with employee representatives via employer and union consultative committees (Unison)	Fully										
			Corporate H&S Training provided via corporate learning and development programme. Training for operational risks may be organised by services.	Fully										
			H&S performance monitored by accident and incident reports and corporate H&S auditing and inspection programme.	Fully										
			H&S information is disseminated via internal communications and updates to ELT and other relevant meetings.	Fully										

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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 05/12//22 - No changes
			Managing access permissions and privileged users through AD and individual applications	Fully										
			Schedule of regular security patching	Fully								Members given presentations and cyber training with the Police Cyber Security Advisor.		
			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.	
			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.	
			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.		
			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.	
			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.		
			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		Fully effective / Partially effective / Not effective				Probability	Impact	Rating				
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	The action plan was taken to Overview and Scuritny commitee on 29th November	Risk reviewed 05/12/2022 - Comments updated
			Safeguarding Policy and procedures in place	Fully								Ensure web pages remain up to date		
			Information on the intranet on how to escalate a concern	Fully								Annual refresher and new training programmes including training for new members		
			Mandatory training and awareness raising sessions are now in place for all staff.	Fully								Attendance at safeguarding boards and participation in learning events		
			Safer recruitment practices and DBS checks for staff with direct contact	Fully								Continue to attend safeguarding board sub groups as necessary to maintain high 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		
3	5	15	Annual business planning in place for all companies to include understanding of the link between the Council's strategic 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. A governance review is being undertaken and initial recommendations have been approved by the Shareholder Committee.	Fully	Councillor Adam Nell	Yvonne Rees	Stephen Hinds	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. SH transitioned as Stakeholder representative on 24th November, with ongoing support in the interim from NE.	Risk reviewed 05/12/22 - Potential impacts and Comments updated
			Regular meetings are in place between the Council's S.151 Officer and the relevant company Finance Directors. Financial planning for the companies undertaken that will then be included within our own Medium Term Financial Strategy. Financial risks are routinely reported by the Shareholder Representative to the Shareholder Committee.	Fully								Resilience and support being developed across business to support and enhance knowledge around council companies.		
			Clear governance arrangements are in place. A governance review is being undertaken and initial recommendations have been approved by the Shareholder Committee.	Partially								Skills and experience being enhanced to deliver and support development, challenge and oversight.		
			Sound monitoring in place of both business and financial aspects of the companies and the impact on overall council performance through the Shareholder Representative meetings and through the reporting to the Corporate Leadership Team on a monthly basis.	Fully								Work with one company to ensure long term support arrangements are put in place.		
			Training in place for those undertaking Director roles relating to the companies.	Partially										

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3	4	12	Ensure contract management in place review and anticipate problems within key service suppliers and partners	Partially	Councillor Adam Nell	Shiraz Sheikh	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.	Shiraz Sheikh is taking operational lead with Simon Moody regarding procurement. Communications to go out in December 2022. Shiraz Sheikh extending SLA with Publica.	Risk reviewed 5/12/22 - Commentary updated
			Business continuity planning arrangements in place in regards to key suppliers	Partially								The Procurement Team is now providing ELT members and identified Contract Mangers a monthly update of all suppliers with spend above £25k c/w a credit risk rating score to enable contract managers to manage any identified risks, with support from the Procurement Team. Furthermore, as a result of Covid-19 the likelihood of this risk is deemed to have increased and thus the procurement and finance team now hold a weekly joint meeting to consider funding solutions to support At Risk Suppliers in accordance with the national guidance note PPN04/20.		
			Ensuring that proactive review and monitoring is in place for key suppliers to ensure we are able to anticipate any potential service failures	Partially								Business continuity plans in place		
			Intelligence unit set up procurement Hub to monitor supplier and contractor market	Fully										
			Analysis of third party spend undertaken to identify and risk assess key suppliers/contractors	Fully										

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4	4	16	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.	Fully	Councillor Barry Wood	Stephen Hinds	Shiraz Sheikh	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. New MO ratified by Full Council on 17th October.	Risk reviewed 05/12/2022 -No changes
			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.		
			Integrated budget, performance and risk reporting framework.	Fully										
			Corporate programme office and project management framework. Includes project and programme governance.	Partially								The Monitoring Officer is a member of full member of CLT.		
			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.		
			Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.	Partially										
			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										

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 updatedL:RR3P:RO:R
Probability	Impact	Rating		Fully effective / Partially effective / Not effective				Probability	Impact	Rating				
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 Infrastructure and Homes from Infrastructure workstream (HfI) is the only remaining workstream within the Oxfordshire Housing and Growth Deal Programme and is being reviewed to rebalance the programme within financial parameters; work continues with the various local authority partners and the Future Oxfordshire Partnership in pursuit of this objective. It should be noted that the Productivity workstream was completed when OxLEP finalised the Oxfordshire Industrial Strategy and the Affordable Housing workstream has also been completed. Oxfordshire Plan 2050 ceased in August 2022.	Risk reviewed 05/12/2022- comments updated
			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.		
			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.		
			Identify potential "top up" schemes to supplement GD affordable housing scheme.	Fully								Appropriate escalation of issues to agree programme flexibilities where required.		
			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.		
			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.		
3	4	12	Analysis of workforce data and on-going monitoring of issues.	Partially	Councillor R. 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 02/12/2022 - No changes.
			Key staff in post to address risks (e.g. strategic HR business partners)	Fully								Development of new L&D strategy, including apprenticeships.		
			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.		
			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.		

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 updatedL:RR3P:RO:R
Probability	Impact	Rating		Fully effective Partially effective Not effective				Probability	Impact	Rating				
5	4	20	Business Continuity Plans have been reviewed and tested to ensure the ongoing delivery of priority services.	Fully	Councillor Barry Wood	Ian Boll	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 06/12/2022. No changes. |
			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										

Inherent (gross) risk level (no Controls)			Controls	Control assessment Fully effective Partially effective Not effective	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls) Pvl			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updatedL:RR3P:RO:R
Probability	Impact	Rating						Probability	Impact	Rating				
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 06/12/2022. No changes.
			Guidance supports managers to enable agile working and is updated in response to changing conditions.	Partially										
			Remote working capability across all relevant council teams.	Fully										
			Regular updates from Director of Public Health, shared internally and externally.	Fully										