

Appendix 1 – Leadership Risk Register as at 11/02/2023

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-L06-L07- L11-L14	L01	
	3 - Moderate		L04 - L05- L10	L02-L12	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

Name and Description of risk	Potential impact	Inherent risk level (no Controls)	Controls	Risk owner	Risk manager	Residual risk level (after controls)	Mitigating actions (to address control issues)	Comments	Last updated
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	Michael Furness	Joanne Kaye	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 31/01/2023 - No changes
	Reduction in services to customers		Balanced medium term and dynamic ability to prioritise resources				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.	
	Increased volatility and inability to manage and respond to changes in funding levels		Highly professional, competent, qualified staff				Timely and good quality budget monitoring reports, particularly property income and capital. Unit 4 financial system provides improved management information.	Improvements to business partnering and budget management continue to be identified and implemented. Asset Management Strategy to be finalised and approved by Council.	
	Reduced financial returns (or losses) on investments/assets such as in subsidiaries.		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 reasonably assured to materialise				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.		
	Inability to deliver financial efficiencies		National guidance interpreting legislation available and used regularly				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.		
	Exposure to commercial pressures in relation to regeneration projects.		Progress regeneration plans in a coordinated manner				Finance support and engagement with programme management processes, project boards and steering group.	Depending on the profile of the project, finance rep will either be at Strategic or Finance Business Partner or Service Accountant level. Involvement will reflect locally on outcomes.	
	Poor customer service and satisfaction		Participate in Oxfordshire Treasurers' Association's work streams				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.	
	Increased complexity in governance arrangements		Review of best practice guidance from bodies such as CIPFA, LGA and NAO				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 2025/26 and impact on our MTFS.	
	Lack of officer capacity to meet service demand		Treasury management and capital strategies in place				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.	
	Lack of financial awareness and understanding throughout the council		Investment strategies in place				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 budgets within approved parameters.	
	Increased inflation in the costs of capital schemes		Regular financial and performance monitoring in place				Regular utilisation of advisors as appropriate.	Borrowing strategy recently reviewed in consultation with our financial advisors (amongst others).	
	Increased inflation in revenue costs		Independent third party advisers in place				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.	
			Regular bulletins and advice received from advisers				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 in 2024/25 with any confidence - must wait for Local Government Finance Settlement 2024to understand the impact.	
	Property portfolio income monitored through financial management arrangements on a regular basis								

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			Asset Management Strategy in place and embedded Transformation Programme in place to deliver efficiencies and increased income in the future				<p>Financial forecasts of resources for 2023/24 had assumed a reduction in resources 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 has been taking place throughout 2022/23 with mitigations required if slippage was identified.</p> <p>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, e.g the cost of living crisis). 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 budget setting process.</p> <p>A business rates reset is assumed from 2025/26 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 is nearly complete, with savings proposals sought that would enable the Council to operate within the forecast level of resources.</p> <p>Where the Government has issued consultations on future approaches to funding local government CDC has responded to ensure its views are considered.</p> <p>New capital bids submitted will be questioned to ensure increases in cost assumptions have been reflected and that there is an identified business need.</p>	<p>The Council currently anticipates a medium and long term funding shortfall in overall terms. Set alongside the anticipated funding reductions anticipated to start from 2025-26 the financial resilience of the Council could be severely impacted. The Council will set its 2023/24 budget on 27 Feb 2023 and will then monitor the delivery of the budget and begin preparations for the 2024/25 budget process in order to meet the forecast shortfall identified in the MTFs.</p> <p>The Government 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. In the provisional settlement for 2023/24, the government committed to maintaining council spending power, but it is not clear how this commitment will delivered in the final year of the settlement.</p>	

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L02 - Statutory functions – Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.	Legal challenge	12	Embedded system of legislation and policy tracking in place, with clear accountabilities, reviewed regularly by Directors.	Stephen Hinds	Shiraz Sheikh	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 . Additional steps are under way to develop a regular review of legislative developments that will be service team focused to enhance awareness of statutory obligations and legal developments.	Risk reviewed 08/02/2023 - No changes
	Loss of opportunity to influence national policy / legislation		Clear accountability for responding to consultations with defined process to ensure Member engagement				Review Directorate/Service risk registers.		
	Financial penalties		National guidance interpreting legislation available and used regularly				Ensure Committee forward plans are reviewed regularly by senior officers.		
	Reduced service to customers		Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed.				Ensure Internal Audit plan focusses on key leadership risks.		
	Inability to deliver council's plans		Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place				Appointed Interim officer regarding FOIs/EOLs and enquiries. Regular reports to CLT and DLT outline our performance regarding meeting statutory deadlines.		
	Exposure to commercial pressures		Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit.				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.		
	Reduced resilience and business continuity		Internal Audit Plan risk based to provide necessary assurances				Regular communications from Chief Executive. Quarterly staff briefings from Assistant Directors.		
	Reduced staff morale, increased workload and uncertainty may lead to loss of good people		Strong networks established locally, regionally and nationally to ensure influence on policy issues. In addition two Directors hold leading national roles.				External support secured for key corporate projects including Growth Deal and IT Transformation Programme.		
			Senior Members aware and briefed regularly in 1:1s by Directors						
			Arrangements in place to source appropriate interim resource if needed						
	Ongoing programme of internal communication								
	Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required.								
	CDC Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key organisational matters including resourcing.								
L03 - CDC Local Plan - Failure to ensure sound, up to date local plan remains in place for Cherwell resulting in poor planning decisions such as development in inappropriate locations, inability to demonstrate an adequate supply of land for housing and planning by appeal	Poor planning decisions leading to inappropriate growth in inappropriate place.	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	Ian Boll	David Peckford	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 was presented to the Overview and Scrutiny Committee on 11 January 2023 and to the Executive on 19 January 2023. Consultation on the Plan was deferred to allow officers to consider the comments made. 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 24/01/23 - Comments updated
	Negative (or failure to optimise) economic, social, community and environmental gain		Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity.				Regular Corporate Director and Lead Member briefings		
	Negative impact on the council's ability to deliver its strategic objectives, including its commitments within the Oxfordshire Housing & Growth Deal						LDS updated as required with programme management approach adopted to ensure progress against plan		
	Increased costs in planning appeals						LDS timeline built into Directorate level objectives (e.g. via Service Plans) and incorporated into SMART targets within staff appraisals.		
	Reputational damage with investor community of Cherwell as a good place to do business created by uncertainty/ lack of policy clarity		On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies				Authority Monitoring Reports continue to be prepared on a regular annual basis.		

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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	16	Business continuity strategy, statement of intent and framework in place and all arrangements overseen by a Business Continuity Steering Group	Ian Boll	Richard Webb	6	Business Continuity Statement of Intent and Framework due to be reviewed to align with new incident management framework	The Council maintains businesses continuity plans for services to ensure that critical services can continue to be provided in the event of an emergency incident. Remote working enables most teams to work effectively from home and sustain services in the event of travel disruption or 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 and is in the process of being populated with new documents when they are refreshed. Teams have been asked to update BIAs in advance of a complete review of Business Continuity Plans. Residual risk assessment updated in January to reflect recent actions.	Risk Reviewed 06/02/2023 - Residual risk score and comments updated.
	Financial loss/ increased costs		Services prioritised and ICT recovery plans reflect those priorities and the requirements of critical services				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				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				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				BC Impact assessments and BCPs being updated and reviewed by OCC's Emergency Planning team with supporting document management system being implemented.		
	Reduced service delivery capacity in medium term due to recovery activity		All services maintain business continuity plans				BC exercises to be arranged		
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	16	Incident Management Framework in place and key contact lists updated monthly.	Ian Boll	Richard Webb	6	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 has been 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. A staff briefing on the Duty Director and Emergency Response arrangements was included in the All Staff Briefing in early February. 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) identified some actions to improve awareness of the council's business continuity incident response arrangements. These actions have been completed.	Risk Reviewed 06/02/2023 - Residual risk score, mitigating actions and 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				OCC Emergency Planning providing expert advice and support under a partnership arrangement which continues 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.				Supporting officers for incident response identified in the emergency plan and wallet guide.		
	Legal challenge		Council Duty Directors attend training relating to role prior to joining duty director rota and have refresh training annually				Refreshed incident management plan developed and pushed following separation from OCC. Staff briefed on arrangements at February all staff briefing.		
	Potential financial loss through compensation claims		Multi agency emergency exercises conducted to ensure readiness				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.		
	Ineffective Cat 1 partnership relationships		Active participation in Local Resilience Forum (LRF) activities				On-call rota being maintained and updated to reflect recent staffing changes		
	Reputational damage						Authority continues to be represented at the Local Resilience Forum		

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L06 - Safeguarding the Vulnerable – Operational and partnership actions Increased harm and distress caused to vulnerable individuals and their families. 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.	Council subject to external reviews	16	Community Safety Partnership monitors risks and oversees the actions needed to reduce risks of exploitation	Ian Boll	Richard Webb	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. A wider partnerships review for the Oxfordshire strategic partnerships has been undertaken and will conclude in early 2023. This is expected to lead to changes in how the strategic partnerships work together. 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 06/02/2023. No changes.
	Criminal investigations potentially compromised		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.				Implementing local changes to the multi-agency arrangements in Cherwell seeking to prevent child exploitation to address findings in the Jacob CSPR.		
	Potential financial liability if council deemed to be negligent.		Representation at county Child Exploitation sub-group of the Safeguarding Children Board, the countywide Modern Slavery Partnership and Safer Oxfordshire Partnership.				CSP to adopt improved oversight of the local arrangements to ensure these are effective.		
	Reputational damage to the council.		Representation at the Children Missing and Exploited Network meetings for north Oxfordshire.				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.				Continue to engage with partnership arrangements in place to identify risks.		
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	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.	Claire Cox	Ruth Wooldridge	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.	The Health and Safety Manager commenced employment on 1 December 2022 and is taking forward actions arising from the recent Health and Safety Audit report. Health and Safety matters regularly discussed across the organisation.	Risk reviewed 07/02/2023 - New manager added
	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.				Post decoupling senior management will have monthly monitoring of H&S matters as a standing item at senior management 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. Relevant and required policies and procedures are being reviewed.		
	Financial impact (compensation or improvement actions)		Consultation with employee representatives via employer and union consultative committees (Unison)						
	Reputational Impact		Corporate H&S Training provided via corporate learning and development programme. Training for operational risks may be organised by services.						
			H&S performance monitored by accident and incident reports and corporate H&S auditing and inspection programme. H&S information is disseminated via internal communications and updates to ELT and other relevant meetings.						

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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	20	File and data encryption on computer devices	Stephen Hinds	David Spilsbury	15	Cyber Security is mandatory e-learning for all staff to be completed annually and is part of new starters induction training.	<p>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.</p> <p>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.</p> <p>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.</p> <p>A recent Audit of the Cyber function (CDC and OCC jointly) rated the that the system of control is being maintained (Amber) It should be noted that two elements of the Audit were red rated, and these were regarding procedural documentation which since have been resolved.</p>	Risk reviewed 07/02/2023 - No changes
	Prosecution – penalties imposed		Schedule of regular security patching				Members given presentations and cyber training with the Police Cyber Security Advisor.		
	Individuals could be placed at risk of harm		Vulnerability scanning				The Regional Police Cyber Security Advisor have given a series of all-Council staff awareness sessions.		
	Reduced capability to deliver customer facing services		Malware protection and detection				Microsoft Multi-Factor Authentication is embedded to authenticate users providing an enhanced level of cyber security.		
	Unlawful disclosure of sensitive information		Effective information management and security training and awareness programme for staff				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				Cyber Security advice and guidance regularly highlighted to all staff.		
	Loss of reputation		Robust information and data related incident management procedures in place				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				Internal Audit completed cyber audits with no major issues or significant risks identified.		
			Appropriate plans in place to ensure ongoing PSN compliance				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				Additional IT security advice provided for all staff during the Covid-19 working at home period including online coronavirus related scams.		
Increased threat to security due to most staff working from home	Insider threat mitigated through recruitment and line management processes	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.	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.							

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L09 - Safeguarding the vulnerable - Internal procedures- Failure to follow our internal policies and procedures in relation to safeguarding vulnerable adults and children or raising concerns about their welfare.	Increased harm and distress caused to vulnerable individuals and their	16	Safeguarding lead in place and clear lines of responsibility established	Yvonne Rees	Nicola Riley	8	Monitoring of implementation of corporate policies and procedures to ensure fully embedded	General Safeguarding training has been promoted to Members resulting in a positive response.	Risk reviewed 03/02/2023 - Comments updated
	Council could face criminal prosecution		Safeguarding Policy and procedures in place				Ensure web pages remain up to date		
	Criminal investigations potentially compromised		Information on the intranet on how to escalate a concern				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.				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				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				Regular internal cross departmental meetings to discuss safeguarding practice		
			Attendance at Children and Young People Partnership Board (CYPPB)				Action plan acted upon and shared with Overview and scrutiny committee once a year		
			Annual Section 11 return compiled and submitted as required by legislation.				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	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.	Yvonne Rees	Stephen Hinds	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. The review of the governance is now with a third party assessing this. Work is ongoing between GH and CDC to ensure a viable business plan moving forward. Independent advice has been agreed to review any cases put forward.	Risk reviewed 07/02/2023 - Potential impacts and Comments updated
	Failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives		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.				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		Clear governance arrangements are in place. A governance review is being undertaken and initial recommendations have been approved by the Shareholder Committee.				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.				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.						

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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.	12	Ensure contract management in place review and anticipate problems within key service suppliers and partners	Shiraz Sheikh	TBC	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 extending SLA with Publica. Contracts Register almost complete with over 500 contracts now recorded.	Risk reviewed 03/01/2023- Commentary updated
			Business continuity planning arrangements in place in regards to key suppliers				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						
	Reduced resilience and business continuity		Intelligence unit set up procurement Hub to monitor supplier and contractor market				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						
	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								
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.	16	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.	Stephen Hinds	Shiraz Sheikh	9	Standing item at senior officer meetings – regular review of risk and control measures - through CLT and DLTs.	Risk is currently under complete review. Review of Constitution is underway, due to go to full council 27/02	Risk Reviewed 08/02/23 - comments updated
	Risk of ultra vires activity or lack of legal compliance		Clear accountability and resource for corporate governance (including the shareholder role).				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.						
	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.				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.				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.						
	Elements of the COVID-19 response and recovery work may be compromised, delayed or not taken forwards.		HR policy framework.						
			Annual governance statement process undertaken for 2021/22 connects more fully and earlier with ELT and CLT.						
	Annual Review of the Constitution will take place each Autumn led by the Overview & Scrutiny Committee and approved by Full Council								

Name and Description of risk	Potential impact	Inherent risk level (no Controls)	Controls	Risk owner	Risk manager	Residual risk level (after controls)	Mitigating actions (to address control issues)	Comments	Last updated
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.	20	Established programme structure and partnership ethos to support effective programme delivery.	Ian Boll	Robert Jolley	12	A CDC GD programme and programme board capability.	The Infrastructure and Homes from Infrastructure workstream (Hfi) is the only remaining live 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 and slight amendment made 03/02/2023.
	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.				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 housing)		Engagement with housing developers to understand their commercial constraints.				Work stream plans of work (work stream brief, schedule, RAID log) .		
	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.				Structured engagement with developers to better understand their needs.		
	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.				Appropriate escalation of issues to agree programme flexibilities where required.		
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	12	Analysis of workforce data and on-going monitoring of issues.	Yvonne Rees	Claire Cox	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 03/02/2023 - No changes.
	Impact on our ability to deliver high quality services		Key staff in post to address risks (e.g. strategic HR business partners)				Development of new L&D strategy, including apprenticeships.		
	Overreliance on temporary staff		Weekly Vacancy Management process in place				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.		
	Additional training and development costs		Ongoing service redesign will set out long term service requirements				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.		
							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.		