

Appendix 11 – Leadership Risk Register as at 08/01/2024

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 - L06	L03-L07-L11-L14	L01	
	3 - Moderate		L04-L05-L10	L02-L12	L13	
	2 - Minor					
	1 - Insignificant					

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

Name and Description of risk	Potential impact	Inherent (gross) risk level (before Controls)		Controls	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)		Mitigating actions (to address control issues)	Comments	Last updated		
		Probability	Impact Rating					Probability	Impact Rating					
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 Reduction in services to customers Increased volatility and inability to manage and respond to changes in funding levels Reduced financial returns (or losses) on investments/assets such as in subsidiaries. Inability to deliver financial efficiencies Exposure to commercial pressures in relation to regeneration projects. Poor customer service and satisfaction Increased complexity in governance arrangements Lack of officer capacity to meet service demand Lack of financial awareness and understanding throughout the council Increased inflation in the costs of capital schemes Increased inflation in revenue costs	4	4	16	Medium Term Revenue Plan reported regularly to members. Balanced medium term and dynamic ability to prioritise resources Highly professional, competent, qualified staff 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. National guidance interpreting legislation available and used regularly. Progress regeneration plans in a coordinated manner. Participate in Oxfordshire Treasurers' Association's work streams Review of best practice guidance from bodies such as CIPFA, LGA and NAO. Treasury management and capital strategies in place Investment strategies in place Regular financial and performance monitoring in place. Independent third party advisers in place Regular bulletins and advice received from advisers Property portfolio income monitored through financial management arrangements on a regular basis. Independent third party advisers in place Asset Management Strategy in place and embedded Transformation Programme in place to deliver efficiencies and increased income in the future	Councillor A Nell	Michael Furness	Joanne Kaye	4	4	16	This continuous process will include reviewing budget monitoring, active budget management, and reflection of economic and Local Government sector trends in the MTFS. Wherever possible, policy decisions will be taken as soon as possible, rather than waiting until the February Council meeting which sets the annual budget. This will allow officers to be ready to implement, or have implemented, policy decisions which will maximise positive impacts on the budget. Financial forecasts of resources for 2024/25 and 2025/26 have assumed a reduction in resources compared to February 2023 assumptions. The budget for 2023/24 was agreed with savings proposals identified to contribute to addressing these reductions. Close monitoring of the delivery of the savings programme will take place throughout 2023/24 with mitigations required if slippage was identified. Integration and continued development of Performance, Finance and Risk reporting Internal Audits being undertaken for core financial activity and capital as well as service activity Introduction and implementation of an Asset Management Strategy Investment Strategy agreed annually Posts are filled by appropriately qualified individuals Regular involvement and engagement with colleagues across the county Regular member training and support Regular utilisation of advisors as appropriate Summarise and distribute announcements to CLT Timely and good quality budget monitoring reports, particularly property income and capital Work is underway to maximise the impact of the available space in Banbury town centre		Risk reviewed on 08/01/2024
L02 - Statutory functions – Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.	Legal challenge Loss of opportunity to influence national policy / legislation Financial penalties Reduced service to customers Inability to deliver council's plans Exposure to commercial pressures Reduced resilience and business continuity Reduced staff morale, increased workload and uncertainty may lead to loss of good people	3	4	12	Embedded system of legislation and policy tracking In place, with clear accountabilities, reviewed regularly by Directors. Clear accountability for responding to consultations with defined process to ensure Member engagement National guidance interpreting legislation available and used regularly Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed. Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit Internal Audit Plan risk based to provide necessary assurances Strong networks established locally, regionally and nationally to ensure influence on policy issues. In addition two Directors hold leading national roles Senior Members aware and briefed regularly in 1:1s by Directors Arrangements in place to source appropriate interim resource if needed Ongoing programme of internal communication Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required. Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key organisational matters including resourcing.	Councillor S Dallimore	Stephen Hinds	Shiraz Sheikh	3	3	9	Ensure Committee forward plans are reviewed regularly by senior officers. Ensure Internal Audit plan focusses on key leadership risks. Establish corporate repository and accountability for policy/legislative changes taking into consideration all of the Council's functions. External support secured for key corporate projects including Growth Deal and IT Transformation Programme. 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. Staff briefings on rules and procedures by MO Review Directorate/Service risk registers. Ensure Committee forward plans are reviewed regularly by senior officers. Ensure Internal Audit plan focusses on key leadership risks. Establish corporate repository and accountability for policy/legislative changes taking into consideration all of the Council's functions. External support secured for key corporate projects including Growth Deal and IT Transformation Programme. 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. Staff briefings on rules and procedures by MO		Risks reviewed on 03/01/2024 - No changes required

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											Review Directorate/Service risk registers.			

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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.	4	4	Local Development Scheme (LDS) is actively managed and reviewed, built into Service Plan, and integral to staff appraisals of all those significantly involved in Plan preparation and review Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity. On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies	Councillor D Sames	Ian Boll	David Peckford	3	4	Annual (Authority) Monitoring Reports presented to the Executive on plan making and policy effectiveness. A report will be prepared at the end of the calendar year. An updated LDS presented to the Executive when there is a significant change in the circumstances for the Local Plan timetable. Programme built into Directorate level objectives (e.g. via Service Plans) and staff appraisals; on-going preparation of the Local Plan is a service priority. A draft Plan is being presented to the Executive in September. Project management of the Local Plan process continues. Regular Corporate Director, Lead Member and Members Advisory Group briefings	Consultation on a draft of the Cherwell Local Plan Review took place from 22 September to 3 November 2023. A new programme for the Local Plan was agreed when the Council's Executive approved an updated 'Local Development Scheme' on 5 September 2023. An Annual Monitoring Report was approved by the Executive on 4 December 2023.	Risk reviewed on 08/01/2024 - Comments updated)
	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											
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	Business continuity strategy, statement of intent and framework in place and all arrangements overseen by a Business Continuity Steering Group Services prioritised and ICT recovery plans reflect those priorities and the requirements of critical services ICT disaster recovery arrangements in place with data centre and cloud services reducing likelihood of ICT loss and data Incident management team identified in Business Continuity Framework All services undertake annual business impact assessments and updates of business continuity plans Cross-council Business Continuity Steering Group meets regularly to identify Business Continuity improvements needed	Councillor P Chapman	Ian Boll	Tim Hughes	2	3	BC actions post-audit are being implemented as per plan. BCSG meeting routinely and corporate refresh across all areas is progressing. BC Impact assessments and BCPs being updated and reviewed by OCC's Emergency Planning team with supporting document management system being implemented. Business Continuity Statement of Intent and Framework due to be reviewed to align with new incident management framework Cross-council BC Steering Group meets regularly to identify BC improvements needed; BC Steering Group has been reconvened, need to ensure engagement across all service areas.		Risk reviewed on 04/01/2024 - No changes
	Financial loss/ increased costs											
	Loss of important data											
	Inability to recover sufficiently to restore non-critical services before they become critical											
	Loss of reputation											
	Reduced service delivery capacity in medium term due to recovery activity											
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	Incident Management Framework in place and key contact lists updated monthly. Emergency Planning Lead Officer defined with responsibility to review, test and exercise plan and to establish, monitor and ensure all elements are covered Expert advice and support provided by Oxfordshire County Council's Emergency Planning Team under partnership arrangements. Council Duty Directors attend training relating to role prior to joining duty director rota and have refresh training annually Multi agency emergency exercises conducted to ensure readiness Active participation in Local Resilience Forum (LRF) activities On-call rota being maintained and updated to reflect recent staffing changes	Councillor P Chapman	Ian Boll	Tim Hughes	2	3	Emergency plan contacts list updated monthly and reissued to all duty managers periodically. Available on ELT Teams channel. Supporting officers for incident response reviewed and identified across some areas, to ensure they are reviewed and updated across all service areas.		Risk reviewed on 04/01/2024 - No changes
	Unnecessary hardship to residents and/or communities											
	Risk to human welfare and the environment											
	Legal challenge											
	Potential financial loss through compensation claims											
	Ineffective Cat 1 partnership relationships											
	Reputational damage											

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L06 - Safeguarding the Vulnerable – Operational and partnership actions- Failure to work effectively with partners to identify and protect vulnerable people in the district and disrupt exploitation leaving vulnerable people at risk or subject to exploitation.	Increased harm and distress caused to vulnerable individuals and their families. Council subject to external reviews Criminal investigations potentially compromised Potential financial liability if council deemed to be negligent. Reputational damage to the council.	4	4	Engagement with the Oxfordshire partnerships protocol review to identify improvements to local arrangements in support of the strategic partnerships. Outcomes of review to be implemented. Child Exploitation prevalence report reviewed with LPA Commander following each CE sub-group meeting. Community based exploitation disruption coordinated through the Joint Agency Tasking and Coordination Process.	Councillor P Chapman	Ian Boll	Tim Hughes	2	4	Continue in linking in with Oxfordshire partnerships protocol review to ensure outcomes relevant to CDC are understood and implemented as necessary. Exploitation concerns and actions discussed routinely at Joint Agency Tasking and Co-ordination meetings on a monthly basis		Risk reviewed on 04/01/2024 - No changes
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 Criminal prosecution for failings Breach of legislation and potential for enforcement action. Financial impact (compensation or improvement actions) Reputational Impact	5	4	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. 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. Consultation with employee representatives via employer and union consultative committees (Unison) 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.	Councillor S Dallimore	Claire Cox	Ruth Wooldridge	3	4	Corporate H&S Auditing and Inspection programme on track. Reports issued to managers and actions tracked for completion. Work ongoing with 2 audits per calendar month. Work still in progress with service areas around the corporate H&S register, which will be managed and monitored with a focus on the depots as our highest risk areas. Post decoupling senior management will have monthly monitoring of H&S matters as a standing item at senior management meetings. Relevant and required policies and procedures are being reviewed. Working with service areas to ensure that suitable risk assessments are in place.	RW & MG are undertaking audits and inspections on a monthly basis as per the KPI and on target for 100% completion. Reports are going monthly to CLT. Ruth is also reporting in to monthly DLT meetings when necessary. All Corporate Arrangements were reviewed late 2022, RW now going through again and doing further updates.	Risk reviewed on 08/01/2024 - No changes

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L08 - Cyber Security -If there is insufficient security 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	Councillor S Dallimore	Stephen Hinds	David Spilsbury	3	5	15	<p>A series of all-Council staff awareness sessions and members given presentations with the Police Cyber Security Advisor.</p> <p>All staff reminded to be vigilant to unexpected emails due to the heightened risk of cyber-attack due to escalating tensions in Eastern Europe and at critical periods such as the run up to Elections</p> <p>Cyber Security advice and guidance regularly highlighted to all staff.</p> <p>Cyber Security is mandatory e-learning for all staff to be completed annually and is part of new starters induction training. Additionally regular Mimecast videos sent to all users</p> <p>Cyber Security Officer has reviewed advice and provided assurance on our compliance.</p> <p>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.</p> <p>Internal Audit completed cyber audits with no major issues or significant risks identified.</p> <p>IT implemented an intrusion prevention and detection system which is monitored, and regular actions are implemented from the resulting reports.</p> <p>IT Officer has specific responsibility for Cyber Security and we have engaged a specialist partner to advise on industry best practices and standards.</p> <p>Microsoft Multi-Factor Authentication is embedded to authenticate users providing an enhanced level of cyber security.</p>	Risk reviewed on 8/01/2024
	Prosecution – penalties imposed	Managing access permissions and privileged users through AD and individual applications										
	Individuals could be placed at risk of harm	Schedule of regular security patching										
	Reduced capability to deliver customer facing services	Vulnerability scanning										
	Unlawful disclosure of sensitive information	Malware protection and detection										
	Inability to share services or work with partners	Effective information management and security training and awareness programme for staff										
	Loss of reputation	Password and Multi Factor Authentication security controls in place										
	Increased threat to security due to most staff working from home	Robust information and data related incident management procedures in place										
		Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services										
		Appropriate plans in place to ensure ongoing PSN compliance										
Adequate preventative measures in place to mitigate insider threat, including physical and system security												
	Insider threat mitigated through recruitment and line management processes											
	A complete restructure and update of the technical approach for the infrastructure has resulted in a move to a zero trust model.											
	Advice received from NCSC on specific activity alerts, the increased threat of globalised ransomware and malware attacks.											
	Mimecast awareness training and comprehensive defence system deployed to improve email security.											

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L09 - Safeguarding the vulnerable - Internal procedures- Failure to follow our internal policies and procedures in relation to safeguarding vulnerable adults and children or raising concerns about their welfare.	Increased harm and distress caused to vulnerable individuals and their families	4	4	16	Councillor P Chapman	Yvonne Rees	Nicola Riley	2	4	8 Action plan acted upon and shared with Overview and scrutiny committee once a year Annual refresher and new training programmes including training for new members Continue to attend safeguarding board sub groups as necessary to maintain high levels of awareness within the system and compliance with latest practice Corporate monitoring of all referrals Ensure web pages remain up to date Monitoring of implementation of corporate policies and procedures to ensure fully embedded Regular internal cross departmental meetings to discuss safeguarding practice SAR's and Lessons Learned reports circulated to improve practice and knowledge.	Monthly Safeguarding training/ briefings continue with good attendance, Safeguarding News Bulletin to all safeguarding champions keeping safeguarding at the forefront and identifies shared learning across the districts. Further push on Member training saw promising results.	Risk reviewed on 05/01/2024 - Comments updated
	Council could face criminal prosecution											
	Criminal investigations potentially compromised											
	Potential financial liability if council deemed to be negligent											
	Reputational damage to the council											
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	5	15	Councillor B Wood	Stephen Hinds	Stephen Hinds	2	3	6 A Shareholder Representative was appointed and regular governance arrangements are in place. Resilience and support being developed across business to support and enhance knowledge around council companies. Skills and experience being enhanced to deliver and support development, challenge and oversight. Work with one company to ensure long term support arrangements are put in place.		Risk reviewed 08/01/2024 - No changes
	Failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives											
	Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies											

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L13 - Monitoring and management of Major Infrastructure Projects and Programmes - Failure to properly manage and monitor the various residual Oxfordshire Housing and Growth Deal infrastructure projects.	Failure to actively manage the various Infrastructure Projects and Programmes, particularly in relation to those being delivered by Oxfordshire County Council, could lead to delays or failure to deliver timely obligations, which could lead to HM Government holding back some or all of its funding, or requiring repayment. Delivery of Infrastructure projects fail to accelerate housing delivery as commercial pressures impact house builders	4	5	20 Need to establish appropriate officer and stakeholder governance structures to support effective programme delivery. Need to institute regular and effective dialogue with developers.	Councillor D Ford	Ian Boll	Robert Jolley	4	3	12 Establishment of appropriate officer and stakeholder governance structures to support effective programme delivery Institute regular and effective dialogue with developers		Risk reviewed on 05/01/2024 - No changes
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 Impact on our ability to deliver high quality services Overreliance on temporary staff Additional training and development costs	3	4	12 Analysis of workforce data and on-going monitoring of issues. Key staff in post to address risks (e.g. strategic HR business partners) Weekly Vacancy Management process in place Ongoing service redesign will set out long term service requirements	Councillor S Dallimore	Yvonne Rees	Claire Cox	3	4	12 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. Development of new L&D strategy, including apprenticeships. Development of relevant workforce plans. 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. 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.		Risk reviewed on 20/12/2023 - No changes