

## Appendix 10 – Leadership Risk Register as at 21/01/2025

Level of risk	How the risk should be managed
<b>High Risk</b> (16-25)	<b>Requires active management</b> to manage down and maintain the exposure at an acceptable level. Escalate upwards.
<b>Medium Risk</b> (10 -15)	<b>Contingency Plans</b> - a robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile.
<b>Low Risk</b> (1 – 9)	<b>Good Housekeeping</b> - 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	L15	
	2 - Minor					
	1 - Insignificant					

Risk Definition	
<b>Leadership</b>	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
<b>Operational</b>	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	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)		Direction of travel	Mitigating actions (to address control issues)	Comments	Last updated
		Probability	Impact		Fully effective Partially effective Not effective				Probability	Impact	Rating			
				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.	Partially  Fully							Review Directorate/Service risk registers.		

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		Probability	Impact Rating		Fully effective Partially effective Not effective				Probability	Impact Rating						
<b>L03 - CDC Local Plan</b> - Failure to have an up to date Local Plan could result in poor planning decisions such as development in inappropriate locations. It could also make it more difficult to demonstrate an adequate supply of land for housing which could lead to more planning by appeal and decisions that are contrary to the Council's wishes. The Plan requires approval by Council to be submitted for Examination.	Poor planning decisions leading to inappropriate growth in inappropriate place.	4	4	16	The statutory 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 J. Conway	Ian Boll	David Peckford	3	4	12	↔	Annual (Authority) Monitoring Reports presented to the Executive on plan making and policy effectiveness.	The Proposed Local Plan (Reg.19) was approved by the Council's Executive on 5 December 2024. Consultation commenced on 19 December 2024 and continues to 14 February 2025. The Executive also approved an updated Local Development Scheme containing the latest Local Plan Programme. Subject to the consideration of comments received, the Plan could be submitted to the Planning Inspectorate for Examination in Spring 2025.	Risk reviewed on 09/01/25
	Failure to have up to date policies that meet the District's requirements.			Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity.	Partially								An updated LDS presented to the Executive when there is a significant change in the circumstances for the Local Plan timetable.			
	Negative impact on the council's ability to deliver its strategic objectives, including for minimising carbon emissions.												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 higher number of planning appeals with associated increased costs												Project management of the Local Plan process continues.			
	Reputational damage with our local communities through not having up to date policies to meet needs and protect the environment			On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies	Partially								Regular Corporate Director, Portfolio Holder and Members Advisory Group briefings			
	Reputational damage with investor community of Cherwell as a good place to do business created by uncertainty/lack of policy clarity.			Regular Councillor briefings to ensure all timescale requirements are understood. Ensuring that staff and consultancy resourcing is maintained	Partially								Continuance of internal Members' Advisory Group meetings.			
	Failure to submit Plan for Examination by June 2025 would mean that the Council would need to prepare a Local Plan under a new plan-making system on which further Gov't guidance is awaited. This would significantly delay having a new, up-to-date Plan.			Political consensus - building	Partially								Political consensus building through Chief Executive briefings and the Local Plan's Members Advisory Group.			
<b>L04 - Business Continuity</b> - Failure to ensure that critical services can be maintained in the event of a short or long term incident impacting on the delivery of the Council's operations	Inability to deliver critical services to customers/residents	4	4	16	Business continuity strategy, statement of intent and framework in place and all arrangements overseen by a Business Continuity Steering Group	Fully	Councillor R. Parkinson	Ian Boll	Tim Hughes	2	3	6	↔	BCSG meeting routinely and corporate refresh across all areas completed. BC programme is in place and timescales for review/update/test are being followed.	Full risk review carried out. Mitigating actions updated.	Risk reviewed on 13/01/2025
	Financial loss/ increased costs			Services prioritised and ICT recovery plans reflect those priorities and the requirements of critical services	Fully											
	Loss of important data			ICT disaster recovery arrangements in place with data centre and cloud services reducing likelihood of ICT loss and data loss	Fully								BC Impact Assessments and BCPs being updated and reviewed by Emergency Planning Team with supporting document management system being implemented.			
	Inability to recover sufficiently to restore non-critical services before they become critical			Incident management team identified in Business Continuity Framework	Fully								Business Continuity Statement of Intent and Framework reviewed and updated to align with new incident management framework			
	Loss of reputation			All services undertake annual business impact assessments and updates of business continuity plans	Partially								Cross-council BC Steering Group meets regularly to identify BC improvements needed. BC Steering Group engagement is being achieved across all service areas.			
	Reduced service delivery capacity in medium term due to recovery activity			Cross-council Business Continuity Steering Group meets regularly to identify Business Continuity improvements needed	Partially								Plans tested and annual cycle clearly sets out the test/review/improve process and expectations			
<b>L05 - Emergency Planning (EP)</b> - Failure to ensure that the local authority has plans in place to respond appropriately to a civil emergency fulfilling its duty as a category one responder	Inability of council to respond effectively to an emergency	4	4	16	Incident Management Framework in place and key contact lists updated monthly.	Fully	Councillor R. Parkinson	Ian Boll	Tim Hughes	2	3	6	↔	IMF reviewed and updated. Training schedule in place and being delivered including training for new ADs/CEX and refresh for existing duty directors. Emergency plan contacts list updated monthly and reissued to all duty directors periodically. Available on ELT Teams channel.	Debrief/lessons learnt exercise to be carried out following Sept. flooding event. Duty Directors, customer services, Gold and OCC EP Officer to be included.	Risk reviewed on 14/01/2025
	Unnecessary hardship to residents and/or communities			Emergency Planning Lead Officer defined with responsibility to review, test and exercise plan and to establish, monitor and ensure all elements are covered	Fully								Supporting officers for incident response reviewed and identified across some areas, to ensure they are reviewed and updated across all service areas.			
	Risk to human welfare and the environment			Expert advice and support provided by Oxfordshire County Council's Emergency Planning Team under partnership arrangements.	Fully											
	Legal challenge			Council Duty Directors attend training relating to role prior to joining duty director rota and have refresh training annually	Fully											
	Potential financial loss through compensation claims			CEX and Corporate Directors have received Strategic Co-ordinating Group (SCG) Training	Partially											
	Ineffective Cat 1 partnership relationships			Multi agency emergency exercises conducted to ensure readiness	Fully											
				Active participation in Local Resilience Forum (LRF) activities												
	Reputational damage			On-call rota being maintained and updated to reflect recent staffing changes	Fully											

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		Probability	Impact						Probability	Impact	Rating					
<b>L06 - Safeguarding the Vulnerable – Operational and partnership actions-</b> 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.	4	4	16	Continue in linking in with Oxfordshire partnerships protocol review to ensure outcomes relevant to CDC are understood and implemented as necessary	Partially	Councillor R. Parkinson	Ian Boll	Tim Hughes	2	4	8	↔	Continue in linking in with Safer Oxfordshire partnership and contributing towards partnership activity to ensure safeguarding responsibilities are met.	Full risk review carried out. Risk controls updated	Risk reviewed on 14/01/2025
	Council subject to external reviews				Exploitation concerns and actions discussed routinely at Joint Agency Tasking and Co-ordination meetings on a monthly basis	Fully							Exploitation concerns and actions discussed routinely at Joint Agency Tasking and Co-ordination meetings on a monthly basis			
	Criminal investigations potentially compromised															
	Potential financial liability if council deemed to be negligent.															
	Reputational damage to the council.															
<b>L07 - Health and safety</b> Failure to ensure effective arrangements are in place for Health and Safety.	Unsafe services leading to fatality, serious injury & ill health to employees, service users or members of the public	5	4	20	Corporate H&S governance arrangements and policies are regularly reviewed and updated by the Corporate H&S Team and monitored by the H&S Assurance Board.	Fully	Councillor C. Brant	Claire Cox	Ruth Woolldridge	3	4	12	↔	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.	Full risk review carried out. Risk reviewed and mitigation actions updated.  These are ongoing risks which cannot be removed only reduce the likelihood of these happening.  The final Veritau report was presented to AARC on 15 January 2025. Work is now progressing on the audit actions which we hope to have concluded the actions that we own by the Autumn 2025.	Risk reviewed on 06/01/2025
	Criminal prosecution for failings Breach of legislation and potential for enforcement action.				Directors and service leads are responsible for ensuring H&S arrangements are in place within their areas or responsibility. Managers are responsible for ensuring operational health and safety risks are assessed and effective control measures implemented.	Fully							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.			
	Financial impact (compensation or improvement actions)				Consultation with employee representatives via employer and union consultative committees (Unison)	Fully							Relevant and required policies and procedures are regularly reviewed.			
	Reputational Impact				Corporate H&S Training provided via corporate learning and development programme. Training for operational risks may be organised by services.	Fully							Working with service areas to ensure that suitable risk assessments are in place.			
					H&S performance monitored by accident and incident reports and corporate H&S auditing and inspection programme.	Fully							Working with service areas and providing training to staff where necessary.			
<b>L08 - Cyber Security</b> -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, or a loss of service.	Financial loss / fine	4	5	20	Intrusion prevention and detection monitoring and regular actions are implemented from the resulting reports	Fully	Councillor C.Brant	Stephen Hinds	David Spilsbury	3	5	15	↔	All staff reminded to be vigilant to unexpected emails due to the heightened risk of cyber-attack due to escalating worldwide tensions and at critical periods such as the run up to Elections.	Full risk review carried out. Impacts, controls and mitigating actions updated	Risk reviewed 08/01/2025
	Prosecution – penalties imposed				Additional 3rd party monitoring in place using a SIEM tool and 24/7 monitoring via a SOC	Fully										
	Individuals could be placed at risk of harm				A zero trust VPN model.	Fully							Cyber Security advice and guidance regularly highlighted to all staff.			
	Reduced capability to deliver services				Schedule of regular security patching	Fully										
	Unlawful disclosure of sensitive information				Vulnerability scanning	Fully							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 for bitesize regular training			
	Inability to share services or work with partners				Malware protection and detection	Fully										
	Loss of reputation				File and data encryption on computer devices	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.			
					Managing access permissions and privileged users controls.	Fully										
					Effective information management and security training and awareness programme for staff	Fully							Internal Audits complete regular cyber audits.			
					Password and Multi Factor Authentication security controls in place.	Fully										
					Robust information and data related incident management procedures in place	Fully										
					Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services	Fully										
					Appropriate plans in place to ensure ongoing PSN compliance	Fully										
					Preventative measures in place to mitigate insider threat, including physical and system security	Fully										
					Advice received from NCSC on specific activity alerts, the increased threat of globalised ransomware and malware attacks	Fully										
					Mimecast awareness training and comprehensive defence system deployed to improve email security	Fully							Cyber Security lead has specific responsibility for Cyber Security, and we have engaged a specialist partner to advise on industry best practices and standards.			

[illegible]

[illegible]

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<b>L12 - Corporate Governance</b> - Failure of corporate governance leads to negative impact on service delivery or the implementation of major projects providing value to customers.	Threat to service delivery and performance if good management practices and controls are not adhered to.	4	4	16	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.	Fully	Councillor C. Brant	Stephen Hinds	Shiraz Sheikh	3	4	12	↔	External Audit - external audit issue an opinion on the accounts and the Council's arrangements for securing Value for Money. The Council's Annual Governance Statement and Code of Corporate Governance. At least annually, a review of effectiveness of governance framework including the system of internal control and AGS is published. The work is informed by the Corporate Governance and Oversight Group. CLT & ELT has responsibility of maintenance of the governance environment.	Full risk review carried out - potential impacts updated	Risk reviewed on 15/01/2025
					Member Scrutiny - OSC function, Council Executive, AARC and Standards Committees	Fully										
	Risk of ultra vires activity or lack of legal compliance				Clear accountability and resource for corporate governance (including the shareholder role).	Fully										
	Risk of fraud or corruption				Integrated budget, performance and risk reporting framework.	Fully										
	Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control.				Corporate programme office and project management framework. Includes project and programme governance.	Partially										
	Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the council.				Internal audit programme aligned to leadership risk register.	Fully										
	Inability to support Council's democratic functions / obligations (e.g. return to physical public meetings and public access to meetings).				Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.	Partially										
					HR policy framework.	Partially										
					Annual governance statement process undertaken for 2023/24 connects more fully and earlier with ELT and CLT.	Fully										
<b>L13 - Monitoring and management of Major Infrastructure Projects and Programmes</b> - 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.	4	5	20	Need to establish appropriate officer and stakeholder governance structures to support effective programme delivery.	Partially	Councillor L. McLean	Ian Boll	Robert Jolley	3	3	9	↔	Monthly infrastructure project meetings are held between officers at Oxfordshire County and Cherwell District Councils in order to monitor progress. Institute regular and effective dialogue with developers	No changes required in Q3	Risk reviewed, 03/01/2025
	Delivery of Infrastructure projects fail to accelerate housing delivery as commercial pressures impact house builders				Need to institute regular and effective dialogue with developers.	Partially										
<b>L14 - Workforce Strategy</b> The lack of effective workforce strategies could impact on our ability to deliver Council priorities and services.	Limit our ability to recruit, retain and develop staff	3	4	12	Analysis of workforce data and on-going monitoring of issues.	Partially	Councillor C. Brant	Stephen Hinds	Claire Cox	3	4	12	↔	There are indications that specific service areas continue to experience recruitment difficulties for professional roles. HR is working with the relevant directors to consider alternative resourcing methods. Development of a people strategy to include succession planning, and to underpin the organisation strategy 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.	Full risk review carried out. Mitigating actions updated. Strategy is in development.	Risk reviewed and updated 07/01/2025
	Impact on our ability to deliver high quality services				Key staff in post to address risks (e.g. strategic HR business partners)	Fully										
	Overreliance on temporary staff				Weekly Vacancy Management process in place	Fully										
	Additional training and development costs				Ongoing service redesign will set out long term service requirements	Partially										
<b>L15 - Local Government Reorganisation</b> Potential impact that the Local Government Reorganisation implementation might across the council, including services we provide to our residents.	Impact on potential short term decision making due to future uncertainty	4	4	16	Representation of all political parties is ensured, including through dialogue with PGL		Councillor D. Hingley	Gordon Stewart	Stephen Hinds	4	3	12	NEW	Implement proposals from our Transformation Plan to ensure improved efficiencies and improving our resilience		Risk created on 21/01/2025
	Inability to recruit key personnel to achieve priorities during the transition period				Legal implications and actions to be identified and executed											
	Inability to transform services to achieve required financial savings/ VFM due to uncertainty of future design requirements & timescales				Communication plan to be put in place											
	Services not being fully ready on vesting day				Local/District specific impact to be identified, assessed and managed/escalated											
	Risk to the continuity of services				Active engagement at officer & Council Leader levels with authorities across Oxfordshire & wider as appropriate.											
	Insufficient resources to implement LGR / business case with impact on BAU work.															
	Staff morale and resilience may be low															
	Risk that assumed savings from reorganisation will not be realised or will be significantly delayed.															
	Failure of back-office systems															
	That decision making will be unclear and confused															
	Lack of clarity of vision and priorities															
	Loss of local representation to issues important to Cherwell residents; that any unitary body(ies) may not have community as a central focus in design of the new operating model.															