

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

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					
Impact	Probability				
	1 - Remote	2 - Unlikely	3 - Possible	4 - Probable	5 - Highly Probable
	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	
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	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 Rating						Probability Impact Rating				
		Impact Rating						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.	Fully effective Partially effective Not effective	Partially	Fully				Review Directorate/Service risk registers.		

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L03 - CDC Local Plan - 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	Councilor 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.										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										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.										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 through Chief Executive briefings and the Local Plan's Members Advisory Group.		
L04 - Business Continuity - Failure to ensure that critical services can be maintained in the event of a short or long term incident impacting on the delivery of the Council's operations	Inability to deliver critical services to customers/residents	4 4 16	Business continuity strategy, statement of intent and framework in place and all arrangements overseen by a Business Continuity Steering Group	Fully	Councilor 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			
	Loss of important data									ICT disaster recovery arrangements in place with data centre and cloud services reducing 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			
	Loss of reputation									All services undertake annual business impact assessments and updates of business continuity plans			
	Reduced service delivery capacity in medium term due to recovery activity									Cross-council Business Continuity Steering Group meets regularly to identify BC improvements needed; BC Steering Group engagement is being achieved across all service areas.			
	On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies									Plans tested and annual cycle clearly sets out the test/review/improve process and expectations			
L05 - Emergency Planning (EP) - Failure to ensure that the local authority has plans in place to respond appropriately to a civil emergency fulfilling its duty as a category one responder	Inability of council to respond effectively to an emergency	4 4 16	Incident Management Framework in place and key contact lists updated monthly.	Fully	Councilor 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 reassigned 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			
	Risk to human welfare and the environment									Expert advice and support provided by Oxfordshire County Council's Emergency Planning Team under partnership arrangements.			
	Legal challenge									Council Duty Directors attend training relating to role prior to joining duty director rota and have refresh training annually			
	Potential financial loss through compensation claims									CEx and Corporate Directors have received Strategic Co-ordinating Group (SCG) Training.			
	Ineffective Cat 1 partnership relationships									Multi agency emergency exercises conducted to ensure readiness			
	Reputational damage									Active participation in Local Resilience Forum (LRF) activities			
	On-call rota being maintained and updated to reflect recent staffing changes									Fully			

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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.	4 4 16	Continue in linking in with Oxfordshire partnerships protocol review to ensure outcomes relevant to CDC are understood and implemented as necessary			Fully effective	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.		
	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.													
L07 - Health and safety Failure to ensure effective arrangements are in place for Health and Safety.	Unsafe services leading to fatality, serious injury & ill health to employees, service users or members of the public	5 4 20	Corporate H&S governance arrangements and policies are regularly reviewed and updated by the Corporate H&S Team and monitored by the H&S Assurance Board.			Fully	Councillor C. Brant	Claire Cox	Ruth Wooldridge	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.		
	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 of 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.		
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, or a loss of service.	Financial loss / fine	4 5 26	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.		
	Prosecution – penalties imposed		Additional 3rd party monitoring in place using a SIEM tool and 24/7 monitoring via a SOC			Fully						Cyber Security advice and guidance regularly highlighted to all staff.		
	Individuals could be placed at risk of harm		A zero trust VPN model.			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		
	Reduced capability to deliver services		Schedule of regular security patching			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.		
	Unlawful disclosure of sensitive information		Vulnerability scanning			Fully						Internal Audits complete regular cyber audits.		
	Inability to share services or work with partners		Malware protection and detection			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.		
	Loss of reputation		File and data encryption on computer devices			Fully								
			Managing access permissions and privileged users controls.			Fully								
			Effective information management and security training and awareness programme for staff			Fully								
			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								

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L09 - Safeguarding the vulnerable - Internal procedures: 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	Safeguarding lead in place and clear lines of responsibility	Fully	Councillor R. Pattenden	Ian Boll Nicola Riley		2 4 8	↔	Action plan acted upon and shared with Overview and scrutiny committee once a year	No changes required in Q3	Risk reviewed 10/01/2025
	Council subject to external reviews		Safeguarding Policy and procedures in place	Fully						Annual refresher and new training programmes including training for new members		
	Criminal investigations potentially compromised		Information on the intranet on how to escalate a concern	Fully						Continue to attend safeguarding board sub groups as necessary to maintain high levels of awareness within the system and compliance with latest practice		
	Potential financial liability if council deemed to be negligent		Mandatory training and awareness raising sessions are now in place for all staff.	Fully						Corporate monitoring of all referrals		
	Reputational damage to the council		Safer recruitment practices and DBS checks for staff with direct contact	Fully						Ensure web pages remain up to date		
			Data sharing agreement with other partners	Fully						Monitoring of implementation of corporate policies and procedures to ensure fully embedded		
			Attendance at Safeguarding Boards	Fully						Regular internal cross departmental meetings to discuss safeguarding practice		
			Annual Section 11 return compiled and submitted as required by legislation.	Fully						SAR's and Lessons Learned reports circulated to improve practice and knowledge.		
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	Annual business planning in place for all companies to include understanding of the link between the Council's strategic objectives being delivered and financial impact for the council. A regular Shareholder Representative meeting takes place, a Shareholder Liaison Meeting including the S.151 Officer and Monitoring Officer takes place on a quarterly basis and a Shareholder Committee meeting on a quarterly basis. A governance review is being undertaken and initial recommendations have been approved by the Shareholder Committee.	Fully	Councillor D. Hingley	Gordon Stewart	Stephen Hinds	2 3 6	↔	A Shareholder Representative was appointed and regular governance arrangements are in place.	No changes	Risk reviewed on 05/01/2025
	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.	Fully						Resilience and support being developed across business to support and enhance knowledge around council companies.		
	Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies		Clear governance arrangements are in place.	Partially						Skills and experience being enhanced to deliver and support development, challenge and oversight.		
			Sound monitoring in place of both business and financial aspects of the companies and the impact on overall council performance through the Shareholder Representative meetings and through the reporting to the Corporate Leadership Team monthly.	Fully						Work with one company to ensure long term support arrangements are put in place.		
			Training in place for those undertaking Director roles relating to the companies.	Partially								

