

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-L12-L14	L01	
	3 - Moderate	L04-L05-L10	L02-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
L01 - Financial resilience – Failure to plan for and/or react to external financial impacts, new policy and increased service demand. Poor investment and asset management decisions.	Reduced medium and long term financial viability	4 4 16	Medium Term Revenue Plan updated and reported regularly to members.	Fully effective	Councillor L. McLean	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 impacting on the MTFS 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.	Full risk review carried out, controls and mitigating actions updated	Risk reviewed on 07/01/2025		
	Reduction in services to customers		Planning for balanced medium term and dynamic ability to prioritise resources.	Fully								The budget for 2024/25 was agreed with savings proposals identified to contribute to addressing forecast reductions in funding. Close monitoring of the delivery of the savings programme will take place throughout 2024/25 with mitigations required if slippage is identified. The budget and transformation process for 2024/25 was begun in May 2024 and will involve a robust review of current budgets, how those link to activity supporting the corporate priorities, and services level options to allow for prioritisation of resources.		
	Increased volatility and inability to manage and respond to changes in funding levels		Finance team made up of highly professional, competent, qualified staff.	Partially										
	Reduced financial returns (or losses) on investments/assets such as in subsidiaries.		Good networks established locally, regionally and nationally to ensure officer are aware of developments across the sector which could impact on the council.	Fully										
	Inability to deliver financial efficiencies.		Strong shareholder function and relationships with subsidiaries to manage investment risk.	Fully								Integration and continued development of Performance, Finance and Risk reporting.		
	Exposure to commercial pressures in relation to regeneration projects.		To be prudent, financial returns from the subsidiaries are not included in the MTFS until they are reasonably assured to materialise.	Partially										
	Poor customer service and satisfaction.		National guidance interpreting legislation available and used regularly.	Fully								Internal Audits being undertaken for core financial activity and capital as well as service activity.		
	Increased complexity in governance arrangements.		Progress regeneration plans in a coordinated manner. Participate in Oxfordshire Treasurers' Association's work streams.	Fully										
	Lack of officer capacity to meet service demand.		Review of best practice guidance from bodies such as CIPFA, LGA, Ofleg and NAO.	Fully										
	Lack of financial awareness and understanding throughout the council.		Treasury management and capital & Investment strategies in place and updated at least annually. Regular financial and performance monitoring in place.	Fully								Introduction and implementation of an Asset Management Strategy.		
	Increased inflation in the costs of capital schemes.		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.	Fully										
	Increased inflation in revenue costs.		Asset Management Strategy in place and embedded.	Fully								Capital & Investment Strategy agreed annually.		
				Fully										
			Transformation Programme in place to deliver efficiencies, prioritise resources, link to strategic priorities and increased income in the future.	Partially										
L02 - Statutory functions – Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.	Legal challenge	3 4 12	Embedded system of legislation and policy tracking in place, with clear accountabilities, reviewed regularly by Directors.	Partially	Councillor Brant	Stephen Hinds	Shiraz Sheikh	3 3 9	↔	Ensure Committee forward plans are reviewed regularly by senior officers.	Full risk reviewed carried out, no changes necessary for Q3	Risk reviewed on 15/01/2025		
	Loss of opportunity to influence national policy / legislation		Clear accountability for responding to consultations with defined process to ensure Member engagement	Fully										
	Financial penalties		National guidance interpreting legislation available and used regularly	Fully										
	Reduced service to customers		Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed.	Fully								Senior Officers are aware of key policy/legislative changes taking into consideration all of the Council's functions and duties arising as a result.		
	Inability to deliver council's plans		Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place	Partially										
	Exposure to commercial pressures		Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit	Fully								External support secured for key corporate projects including Growth Deal and IT Transformation Programme.		
	Reduced resilience and business continuity		Internal Audit Plan risk based to provide necessary assurances	Fully										
	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	Fully								Learning and development opportunities identified and promoted by the Chief Executive and Directors. Staff briefings on rules and procedures by MO		
			Senior Members aware and briefed regularly in 1:1s by Directors	Fully										
			Arrangements in place to source appropriate interim resource if needed	Partially								Review Directorate/Service risk registers.		
			Ongoing programme of internal communication	Fully										
			Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required	Partially								Project Management Methodology to be established with appropriate oversight. Programme Office with the appropriate capabilities to monitor deliver projects.		

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		Probability Impact Rating				Fully effective Partially effective Not effective				Probability Impact Rating				
				Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key organisational matters including resourcing.		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	Fully effective			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.		Partially effective									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.		Not effective									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 Govt 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.		
	More housing development in locations not preferred by the Council and in potentially less sustainable locations with more environmental impact.												The 2024 Annual Monitoring Report is to be presented to the Council's Executive in February 2025 which will include a review of housing land supply and any associated actions.	Risk reviewed 20-01-25
												Regular monitoring and review		
												Preparation & adoption of a new Local Plan		
												Regular Briefings for the Chair of Planning Committee and the Portfolio Holder.		
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				Partially	Councillor J. Conway	Ian Boll	David Peckford	5 3 6	↔	Member awareness of the implications of not having a five year land supply	The 2024 Annual Monitoring Report is to be presented to the Council's Executive in February 2025 which will include a review of housing land supply and any associated actions.	Risk reviewed 20-01-25
	Financial loss/ increased costs											Preparation of an Action Plan		
	Loss of important data													
	Inability to recover sufficiently to restore non-critical services before they become critical											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.
	Loss of reputation											BC Impact Assessments and BCPs being updated and reviewed by Emergency Planning Team with supporting document management system being implemented.		
	Reduced service delivery capacity in medium term due to recovery activity											Business Continuity Statement of Intent and Framework reviewed and updated to align with new incident management framework		
												Cross-council BC Steering Group meets regularly to identify BC improvements needed; BC Steering Group engagement is being achieved across all service areas.		
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				Fully	Councillor R. Parkinson	Ian Boll	Tim Hughes	2 3 6	↔	Plans tested and annual cycle clearly sets out the test/review/improve process and expectations	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											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.		
	Risk to human welfare and the environment											Supporting officers for incident response reviewed and identified across some areas, to ensure they are reviewed and updated across all service areas.		
	Legal challenge													
	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		
												Active participation in Local Resilience Forum (LRF) activities		
	Reputational damage											On-call rota being maintained and updated to reflect recent staffing changes		

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		Probability Impact Rating							Probability Impact Rating				
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 effective	Councilor 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			Fully effective							Exploitation concerns and actions discussed routinely at Joint Agency Tasking and Co-ordination meetings on a monthly basis		
	Criminal investigations potentially compromised			Fully effective									
	Potential financial liability if council deemed to be negligent.			Fully effective									
	Reputational damage to the council.			Fully effective									
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	Councilor 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.	Full risk review carried out. Risk reviewed and mitigation actions updated.	Risk reviewed on 06/01/2025	
	Criminal prosecution for failings Breach of legislation and potential for enforcement action.			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)			Fully						Relevant and required policies and procedures are regularly reviewed.			
	Reputational Impact			Fully						Working with service areas to ensure that suitable risk assessments are in place.			
				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	20 Intrusion prevention and detection monitoring and regular actions are implemented from the resulting reports	Fully	Councilor 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			Fully						Cyber Security advice and guidance regularly highlighted to all staff.			
	Individuals could be placed at risk of harm			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			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			Fully						Internal Audits complete regular cyber audits.			
	Inability to share services or work with partners			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			Fully									
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		Probability Impact Rating		Fully effective	Partially effective	Not effective										
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 established	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.						
			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												

