

Appendix 1 – 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						
		Probability				
		1 - Remote	2 - Unlikely	3 - Possible	4 - Probable	5 - Highly Probable
Impact	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		
		Probability	Impact	Rating					Probability	Impact	Rating					
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	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							Integration and continued development of Performance, Finance and Risk reporting.			
	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							Internal Audits being undertaken for core financial activity and capital as well as service activity.			
	Inability to deliver financial efficiencies.				Strong shareholder function and relationships with subsidiaries to manage investment risk.	Fully							Introduction and implementation of an Asset Management Strategy.			
	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							Capital & Investment Strategy agreed annually.			
	Poor customer service and satisfaction.				National guidance interpreting legislation available and used regularly.	Fully							Posts are filled by appropriately qualified individuals.			
	Increased complexity in governance arrangements.				Progress regeneration plans in a coordinated manner. Participate in Oxfordshire Treasurers' Association's work streams.	Fully							Regular involvement and engagement with colleagues across the county and nationally. The potential for local government reorganisation (devolution/unitarisation) has been noted but as yet the potential impact on the council is unknown. Officers will continue to monitor the discussions at local and national levels.			
	Lack of officer capacity to meet service demand.				Review of best practice guidance from bodies such as CIPFA, LGA, Oflog and NAO.	Fully							Regular member training and support.			
	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							Regular utilisation of advisors as appropriate.			
	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							Summarise and distribute announcements to CLT and members.			
	Increased inflation in revenue costs.				Asset Management Strategy in place and embedded.	Fully							Timely and good quality budget management reports, particularly property income and capital.			
					Transformation Programme in place to deliver efficiencies, prioritise resources, link to strategic priorities and increased income in the future.	Partially							Work is underway to maximise the impact of the available space in Banbury town centre.			
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							Ensure Internal Audit plan focusses on key leadership risks.			
	Financial penalties				National guidance interpreting legislation available and used regularly	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.			
	Reduced service to customers				Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed.	Fully							External support secured for key corporate projects including Growth Deal and IT Transformation Programme.			
	Inability to deliver council's plans				Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place	Partially							Learning and development opportunities identified and promoted by the Chief Executive and Directors. Staff briefings on rules and procedures by MO			
	Exposure to commercial pressures				Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit	Fully							Review Directorate/Service risk registers.			
	Reduced resilience and business continuity				Internal Audit Plan risk based to provide necessary assurances	Fully							Ensure Committee forward plans are reviewed regularly by senior officers.			
	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							Ensure Internal Audit plan focusses on key leadership risks.			
					Senior Members aware and briefed regularly in 1:1s by Directors	Fully							Establish corporate repository and accountability for policy/legislative changes taking into consideration all of the Council's functions.			
					Arrangements in place to source appropriate interim resource if needed	Partially							Project Management Methodology to be established with appropriate oversight. Programme Office with the appropriate capabilities to monitor deliver projects.			
					Ongoing programme of internal communication	Fully							Review Directorate/Service risk registers.			
					Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required.	Partially										
					Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key organisational matters including resourcing.	Fully										

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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. 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	16	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	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. Exploitation concerns and actions discussed routinely at Joint Agency Tasking and Co-ordination meetings on a monthly basis	Full risk review carried out. Risk controls updated	Risk reviewed on 14/01/2025
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	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. 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.	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. 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. Relevant and required policies and procedures are regularly reviewed. Working with service areas to ensure that suitable risk assessments are in place. Working with service areas and providing training to staff where necessary.	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 Veritas 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
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 Prosecution – penalties imposed Individuals could be placed at risk of harm Reduced capability to deliver services Unlawful disclosure of sensitive information Inability to share services or work with partners Loss of reputation	4	5	20	Intrusion prevention and detection monitoring and regular actions are implemented from the resulting reports Additional 3rd party monitoring in place using a SIEM tool and 24/7 monitoring via a SOC A zero trust VPN model. Schedule of regular security patching Vulnerability scanning Malware protection and detection File and data encryption on computer devices Managing access permissions and privileged users controls. Effective information management and security training and awareness programme for staff Password and Multi Factor Authentication security controls in place. 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 Preventative measures in place to mitigate insider threat, including physical and system security 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	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. Cyber Security advice and guidance regularly highlighted to all staff. 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 bite size regular training 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. Internal Audits complete regular cyber audits. Cyber Security lead has specific responsibility for Cyber Security, and we have engaged a specialist partner to advise on industry best practices and standards.	Full risk review carried out. Impacts, controls and mitigating actions updated	Risk reviewed 08/01/2025

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		Probability Impact	Rating		Fully effective Partially effective Not effective				Probability Impact	Rating						
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. Patten	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												

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		Probability	Impact	Rating					Probability	Impact	Rating						
L11 - Financial sustainability of third-party suppliers and contractors	The financial failure of a third party supplier and contractors results in the inability or reduced ability to deliver a service to customers or provide goods needed. A reduced supply market could also result in increased costs due to the council's loss of competitive advantage.	3	4	12	Ensure contract management in place review and anticipate problems within key service suppliers and partners	Partially	Councillor C Brant	Shiraz Sheikh	TBC	3	4	12	↔	Creditsafe UK tool purchased to allow Procurement to carry out supplier credit checks when required.	No changes	Risk reviewed on 15/01/25	
					Business continuity planning arrangements in place in regards to key suppliers	Partially								Service areas to ensure supplier suitability checks have been carried out prior to award of contract and hold meetings as required with suppliers to review higher risk areas and ensure risks are being managed. Reminders to be sent to all who have Procurement/Contract Management responsibility to regularly meet with key suppliers and partners to gain early understanding of any issues arising.			
					Ensuring that proactive review and monitoring is in place for key suppliers to ensure we are able to anticipate any potential service failures	Partially											
					Reduced resilience and business continuity	Intelligence unit set up procurement Hub to monitor supplier and contractor market								Fully			Services areas to keep the key suppliers under regular check including running financial checks.
					Increased complaints and/or customer dissatisfaction	Analysis of third party spend undertaken to identify and risk assess key suppliers/contractors								Fully			
	Increased costs and/or financial exposure to the Council due to having to cover costs or provide service due to failure of third party supplier of contractor																

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		Probability Impact	Rating						Probability Impact	Rating											
L12 - Corporate Governance - Failure of corporate governance leads to negative impact on service delivery or the implementation of major projects providing value to customers.	Threat to service delivery and performance if good management practices and controls are not adhered to.	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																
				Review of the Constitution by the MO with member involvement and approval by the Full Council	Fully																
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.	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					
				Need to institute regular and effective dialogue with developers.	Partially																
	Delivery of Infrastructure projects fail to accelerate housing delivery as commercial pressures impact house builders																				
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	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																
L15 - Local Government Reorganisation Potential impact that the Local Government Reorganisation 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.																				