

Appendix 7 – Leadership Risk Register as at 07/01/2026

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 costeffectively, 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
Impact	5 - Catastrophic			L10	
	4 - Major		L08-L11	L03-L09-L13-L14-L16	L01
	3 - Moderate		L06-L07-L12	L02-L15	L17
	2 - Minor				L04
	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 22/12/2025
	Reduction in services to customers				Planning for balanced medium term and dynamic ability to prioritise resources.	Fully								The budget for 2025/26 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 2025/26 with mitigations required if slippage is identified. The budget and transformation process for 2026/27 began in May 2025 and has involved 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. Consultation on Fairer Funding 2.0 was launched in July 2025. This provided some indications of the potential impact on the council, but the full impact will not be known until late November 2025. In the meantime the council continues to lobby the government, contribute to the District Council Network's response and to work with government as part of the MHCLG Implementation Working Group.		
	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/unitarization) 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. The council has submitted its response to the long awaited consultation on Fairer Funding 2.0. The government's response to the consultation was released late November 2025. Officers are digesting the outcome of the provisional local government financial settlement released 18 Dec and will report to members in Q4.		
	Lack of officer capacity to meet service demand.				Review of best practice guidance from bodies such as CIPFA, LGA, SDCT, DCN 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.	No change as at Q1 25/26	Risk reviewed on 16/12/2025
	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										

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					
L08 - 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	Partially	Councillor R. Parkinson	Nicola Riley	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 - 16/12/2025	
	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.																
L09 - 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.	Full risk review carried out. Risk reviewed and mitigation actions updated.	Risk reviewed on 02/12/2025	
	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.			
					H&S information is disseminated via internal communications and updates to ELT and other relevant meetings.	Fully											
L10 - 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	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 11/12/2025 - no change	
	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											

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		Fully effective Partially effective Not effective				Probability	Impact	Rating					
L11 - 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	Nicola Riley	Susan Asbury	2	4	8	↔	Action plan acted upon and shared with Overview and scrutiny committee once a year	Mitigations refreshed	Risk reviewed 16/12/2025 No changes	
	Council subject to external reviews				Safeguarding Policy and procedures in place	Fully								Comprehensive on line training available for all staff and 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								Member training completions shared twice a year			
														SAR's and Lessons Learned reports circulated to improve practice and knowledge.			
L12 - 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.	New NEDs in place following recruitment in Q2.	Risk reviewed and updated on 06/01/2026	
	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											
L13 - 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	Darren Jacobs	3	4	12	↔	Creditsafe UK tool purchased to allow Procurement to carry out supplier credit checks when required.	Mitigations in place and operational.	Risk reviewed and updated on 06/01/2026	
	Reduced resilience and business continuity				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.			
	Increased complaints and/or customer dissatisfaction				Ensuring that proactive review and monitoring is in place for key suppliers to ensure we are able to anticipate any potential service failures	Partially								Services areas to keep the key suppliers under regular check including running financial checks.			
	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 or contractor				Intelligence unit set up procurement Hub to monitor supplier and contractor market	Fully											
					Analysis of third party spend undertaken to identify and risk assess key suppliers/contractors	Fully											

