

Appendix 1 – Leadership Risk Register as at 14/08/2024

| 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-L14 | L01 | |
| | 3 - Moderate | | L04-L05-L10 | L02-L12-L13 | | |
| | 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. 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. Integration and continued development of Performance, Finance and Risk reporting Internal Audits being undertaken for core financial activity and capital as well as service activity Introduction and implementation of an Asset Management Strategy Capital & Investment Strategy agreed annually Posts are filled by appropriately qualified individuals Regular involvement and engagement with colleagues across the county Regular member training and support Regular utilisation of advisors as appropriate Summarise and distribute announcements to CLT and members. Timely and good quality budget management reports, particularly property income and capital Work is underway to maximise the impact of the available space in Banbury town centre | Full risk review carried out, controls and mitigating actions updated | Update On 8/8/2024 |
| | Reduction in services to customers | | | | Planning for balanced medium term and dynamic ability to prioritise resources. | Fully | | | | | | | | | | |
| | 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 | | | | | | | | | | |
| | 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 | Partially | | | | | | | | | | |
| | Poor customer service and satisfaction | | | | National guidance interpreting legislation available and used regularly. | Fully | | | | | | | | | | |
| | 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 Oflog and NAO. | Fully | | | | | | | | | | |
| | Lack of financial awareness and understanding throughout the council | | | | Treasury management and capital & Investment strategies in place in place and updated at least annually. Regular financial and performance monitoring in place. | Fully | | | | | | | | | | |
| | 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 | | | | | | | | | | |
| | | | | | 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. Ensure Internal Audit plan focusses on key leadership risks. Establish corporate repository and accountability for policy/legislative changes taking into consideration all of the Council's functions. External support secured for key corporate projects including Growth Deal and IT Transformation Programme. Learning and development opportunities identified and promoted by the Chief Executive and Directors. First tranche of Senior Leadership training/development begins in August, and is cascaded throughout 2022/23. Staff briefings on rules and procedures by MO Review Directorate/Service risk registers. Ensure Committee forward plans are reviewed regularly by senior officers. Ensure Internal Audit plan focusses on key leadership risks. Establish corporate repository and accountability for policy/legislative changes taking into consideration all of the Council's functions. | Full risk reviewed carried out, no changes necessary for Q1. | Updated on 14/08/2024 |
| | 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 | | | | | | | | | | |
| | 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 | | | | | | | | | | |
| | 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 | | | | | | | | | | |
| | | | | | Senior Members aware and briefed regularly in 1:1s by Directors | Fully | | | | | | | | | | |
| | | | | Arrangements in place to source appropriate interim resource if needed | 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. | 4 | 4 | 16 | Continue in linking in with Oxfordshire partnerships protocol review to ensure outcomes relevant to CDC are understood and implemented as necessary | Partially | Councillor R. Parkinson | Ian Boll | Tim Hughes | 2 | 4 | 8 | ↔ | Continue in linking in with Oxfordshire partnerships protocol review to ensure outcomes relevant to CDC are understood and implemented as necessary. | Full risk review carried out. Risk controls updated | Updated on 30/7/2024 |
| | Council subject to external reviews | | | | Exploitation concerns and actions discussed routinely at Joint Agency Tasking and Co-ordination meetings on a monthly | 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. | Full risk review carried out. Risk reviewed and mitigation actions updated | Updated on 12/7/2024 |
| | 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 | | | | | | | | | | |
| 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 | Councillor C.Brant | Stephen Hinds | David Spisbury | 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 | Updated on 12/7/2024 |
| | Prosecution – penalties imposed | | | | Additional 3rd party monitoring in place using a SIEM tool and 24/7 monitoring via a SOC | Fully | | | | | | | | | | |
| | Individuals could be placed at risk of harm | | | | A zero trust VPN model. | Fully | | | | | | | Cyber Security advice and guidance regularly highlighted to all staff. | | | |
| | Reduced capability to deliver services | | | | Schedule of regular security patching | Fully | | | | | | | 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 | | | |
| | Unlawful disclosure of sensitive information | | | | Vulnerability scanning | 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. | | | |
| | Inability to share services or work with partners | | | | Malware protection and detection | Fully | | | | | | | Internal Audits complete regular cyber audits. | | | |
| | Loss of reputation | | | | File and data encryption on computer devices | 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. | | | |
| | | | | | 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 | | | | | | | | | | | |

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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 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 | Full risk review carried out. Risk description and controls updated | Updated on 9/7/2024 |
| | 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 01/04/2024 |
| | 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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| 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 | 3 | 9 | ↔ | 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 | Updated on 14/8/2024 |
| | | | | 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 I. Middleton | 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 | Full risk review carried out. Residual risk rating and mitigating actions updated | Risk reviewed and updated 16/7/2024 |
| | | | | 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 are 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 reviewed carried out. Mitigating actions updated. | Risk reviewed and updated 10/7/2024 |
| | 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 | | | | | | | | | | |