Appendix 8 – Leadership Risk Register as at 12/04/2023

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														
				Probab	ility										
		1 - Remote	2 - Unlikely	3 - Possible	4 - Probable	5 - Highly Probable									
	5 - Catastrophic			L08											
ಕ	4 - Major		L09	L03-L06-L07- L11-L14	L01										
Impact	3 - Moderate		L04-L05-L10- L15	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 risk le (no Cor	vel	Controls	Control assessment	Lead Member	Risk owner	Risk manager	(a	idual risl ofter exist controls)	ting	Direct'n of travel	Mitigating actions (to address control issues)	Comments
		Probability	Rating		Fully effective Partially effective Not effective				Probability	Impact	Rating			
L01 - Financial resilience – Failure to react to external financial impacts, new	Reduced medium and long term financial viability			Medium Term Revenue Plan reported regularly to members.	Fully								Posts are filled by appropriately qualified individuals. When posts become vacant the JD is reviewed to ensure it meets the needs of the wider team and that the essential skill levels and experience are appropriate.	The team is currently fully staffed with appropriately qualified individuals. Continuous Professional Development opportunities are offered and maximised by CIPFA, LGA, Link, Pixel. New financial system helping to support the monitoring process.
policy and increased service demand. Poor investment and	Reduction in services to customers			Balanced medium term and dynamic ability to prioritise resources	Fully								investment Strategy agreed annually. Strategic Place Shaping Board providing a gateway process for capital investment decisions which comply with governance framework.	New investment proposals are considered as part of the budget setting process and as and when they arise. The MTFS and budget setting continue to enhance the scrutiny and quality of new investments.
decisions.	Increased volatility and inability to manage and respond to changes in funding levels				Partially								Timely and good quality budget monitoring reports, particularly property income and capital. Unit 4 financial system provides improved management information.	Improvements to business partnering and budget management continue to be identified and implemented. Asset Management Strategy to be finalised and approved by Council.
	Reduced financial returns (or losses) on investments/assets such as in subsidiaries.			Good networks established locally, regionally and nationally. Strong shareholder function and relationships with subsidiaries. Financial returns from the subsidiaries are not included in the MTFS until they are reasonably assured to materialise.	Fully								Introduction and implementation of an Asset Management Strategy. Shareholder Agreements in place with subsidiaries which require regular management reports to be shared with the Shareholder which allows for dialog between the entities.	
	Inability to deliver financial efficiencies Exposure to commercial pressures in relation			National guidance interpreting legislation available and used regularly	Fully Partially								Work is underway to maximise the impact of the available space in Banbury town centre, encouraging an enjoyable shopping experience alongside space for non-retail activity to co-exist.	
	to regeneration projects. Poor customer service and satisfaction			Participate in Oxfordshire Treasurers' Association's work streams	Fully								Finance support and engagement with programme management processes, project boards and steering group.	Depending on the profile of the project, finance rep will either be at Strategic or Finance Business Partner or Service Assountant level. Involvement will reflect locally on outcomes.
	Increased complexity in governance arrangements			Review of best practice guidance from bodies such as CIPFA, LGA and NAO	Fully								Integration and continued development of Performance, Finance and Risk reporting.	Integrated reporting has been embedded but needs to be adapted to reflect requirements of the committees at which it's elements are scrutinised.
	Lack of officer capacity to meet service demand			Treasury management and capital strategies in place	Fully								Regular involvement and engagement with colleagues across the county as well as involvement in Regional and National finance forums.	Engagement with a number of national and regional networks to ensure we are as up-to-date as we can be in relation to potential funding changes from 2025/26 and impact on our MTFS.
	Lack of financial awareness and understanding throughout the council			Investment strategies in place	Fully								Regular member training and support. Briefings provided on key topics to members with particular focus on key skills for specific committees such as audit committee.	Regular training will be undertaken. Most recently, training on the Council's Treasury Management was provided to the Accounts Audit and Risk committee and open to all members.
	Increased inflation in the costs of capital schemes	4 4	16	Regular financial and performance monitoring in place	Fully	Councillor Adam Nell	Michael Furness	Joanne Kaye	4	4	16	\leftrightarrow	Budget setting will not be an annual event, but will be a continuous process of reviewing budget monitoring and reflecting trends in the MTFS.	Updated budget monitoring for 2023/24 with a greater focus on savings delivery and budget management. Introduction of Budget Oversight Group will review budget position monthly in order to challenge budget holders to manage their budgetes within approved parameters.
	Increased inflation in revenue costs			Independent third party advisers in place	Fully								Regular utilisation of advisors as appropriate.	Borrowing strategy recently reviewed in consultation with our financial advisors (amongst others).
				Regular bulletins and advice received from advisers	Fully								Internal Audits being undertaken for core financial activity and capital as well as service activity.	Regular reporting of progress on internal audits considered by the Accounts Audit and Risk Committee.
				Property portfolio income monitored through financial management arrangements on a regular basis	Partially								Summarise and distribute announcements to LT, Leader and Lead Member for Finance and all other members as and when announcements are made relating to Spending Reviews and other government announcements affecting Local Government.	No detail in the Spending Review to be able to plan for additional resources in 2024/25 with any confidence – must wait for Local Government Finance Settlement 2024 to understand the impact. All Member Briefings are held to communicate the impact of government financial settlements.

Name and Description of risk	Potential impact	risk	nt (gross) level ontrols)	Controls	Control assessment	Lead Member	Risk owner	Risk manager	(a			Direct'n of travel	Mitigating actions (to address control issues)	Comments
		Probability	Impact		Fully effective Partially effective Not effective				Probability	Impact	Rating			
				Asset Management Strategy in place and embedded. Transformation Programme in place to deliver efficiencies and increased income in the future	Partially Fully								resources compared to February 2023 assumptions. The budget for 2023/24 was agreed with savings proposal identified to contribute to addressing these reductions. Close monitoring of the delivery of the savings programme has been taking place throughout 2022/23 with mitigations required if slippage was identified. This will continue during 2023/24. If resources were to fall significantly below the 2023/24 forecast level the Council has made a number of contingencies available in 2023/24 and, if required, a review of which reserves could be made available to mitigate this would be required (e.g. due to greater ongoing impact of the cost of ligoning things of the cost of ligoning things of the cost of goods we purchase were to increase beyond the level of inflation allowed for in the	The Council currently anticipates a medium and long term funding shortfall in overall terms. Set alongiside the anticipated funding reductions anticipated to start from 2025-26 the financial resilience of the Council could be severely impacted. The Council set to 2023/24 budget on 27 Feb 2023 and will then monitor the delivery of the budget and begin preparations for the 2024/25 budget process in order to meet the forecast shortfall identified in the MTFs. The Government announced a 3 year Spending Review for 2022/23 - 2024/25 in October 2021. This provided the resource envelope for Government Departments to operate in and has set out an overall increase in local government spending power over the three year period, but did not provide any specific funding allocations for individual local authorities. In the settlement for 2023/24, the government committed to maintaining council spending power, but it is not clear how this commitment will delivered in the final year of the settlement.
L02 - Statutory functions — Failure to meet statutory obligations and	Legal challenge Loss of opportunity to influence national policy			Embedded system of legislation and policy tracking in place, with clear accountabilities, reviewed regularly by Directors. Clear accountability for responding to consultations with									Establish corporate repository and accountability for policy/legislative changes taking into consideration all of the Council's functions. Review Directorate/Service risk registers.	Development in legislation continues to be closely monitored as implemented e.g. subsidy control (formerly state aid regime) being reviewed and government guidance tracked as it is developed and published.
policy and legislative changes	/ legislation			defined process to ensure Member engagement	Fully									Additional steps are under way to develop a regular review of legislative
are not anticipated or	Financial penalties			National guidance interpreting legislation available and used regularly	Fully									developments that will be service team focused to enhance awareness of statutory obligations and legal developments.
planned for.	Reduced service to customers			Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed.	Eully									
	Inability to deliver council's plans			Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place	Partially								Ensure Internal Audit plan focusses on key leadership risks.	
	Exposure to commercial pressures			Robust Committee forward plans to allow member oversight of policy issues and risk management,										
	Reduced resilience and business continuity	3 .	4 12		Fully Fully	Councillor Barry Wood	Stephen Hinds	Shiraz Sheikh	3	3	9	\leftrightarrow		
	Reduced staff morale, increased workload and uncertainty may lead to loss of good people			assurances 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	-							Appointed Interim officer regarding FOIs/EOIs and enquiries. Regular reports to CLT and DLT outline our performance regarding meeting statutory deadlines.	
				Arrangements in place to source appropriate interim resource if needed		-							berrouding out proformatic regarding interesting statetory deadmins. Learning and development opportunities identified and promoted by the Chief Executive and Directors. First tranche of Senior Leadership training/development begins in August,	
				Ongoing programme of internal communication	Fully	-							and is cascaded throughout 2022/23. Regular communications from Chief Executive. Quarterly staff briefings from Assistant	
				Programme Boards in place to oversee key corporate	Fully	-							Directors. External support secured for key corporate projects including Growth Deal and IT	
				projects and ensure resources are allocated as required.	Fully								Transformation Programme.	
				CDC Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key	Fully									
L03 - CDC Local Plan - Failure to ensure sound, up to date local plan	Poor planning decisions leading to inappropriate growth in inappropriate place.			Local Development Scheme (LDS) is actively managed and reviewed, built into Service Plan, and integral to staff appraisals of all those significantly involved in Plan preparation and review	Partially								Regular review meetings on progress and critical path review. Regular Corporate Director and Lead Member briefings. LDS updated as required with programme management approach adopted to ensure progress against plan.	The Local Development Scheme (LDS) was last updated in September 2021. It includes programmes for the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canalside Supplementary Planning Document and work on a Community Infrastructure Levy (CIL).
remains in place for Cherwell resulting in poor	Negative (or failure to optimise) economic, social, community and environmental gain			Team capacity and capability kept under continual review with gaps and pressures identified and	Partially	1							Regular Corporate Director and Lead Member briefings	The Oxfordshire Local Planning Authorities agreed to stop work on the Oxon Plan in August 2022. Local Plans for the City and Districts will now provide the framework for the long term planning of Oxfordshire. An issues
planning decisions such as	Negative impact on the council's ability to			managed at the earliest opportunity.										consultation for the Cherwell Local Plan Review was completed on 14 Sept 2020. An Options consultation was undertaken from 29 September to 10
development in inappropriate	deliver its strategic objectives, including its commitments within the Oxfordshire Housing					Councillor Colin		David					progress against plan	November 2021. A draft Local Plan was presented to the Overview and Scrutiny Committee on 11 January 2023 and to the Executive on 19
locations, inability to demonstrate an adequate supply	& Growth Deal Increased costs in planning appeals	4	4 16			Clarke	Ian Boll	Peckford	3	4	12		LDS timeline built into Directorate level objectives (e.g. via Service Plans) and incorporated into SMART targets within staff appraisals.	January 2023. Consultation on the Plan was deferred to allow officers to consider the comments made. The consulation draft will be re-presented to the Executive in the Summer. The Local Plan programme and other LDS
	Reputational damage with investor community of Cherwell as a good place to do business created by uncertainty/ lack of policy clarity			On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies	Partially								incorporated into swark targets within start appraisals. Authority Monitoring Reports continue to be prepared on a regular annual basis.	to the Executive in the Summer: The Local Plan programme and other LDS commitments require review.

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		Probability	Impact		Fully effective Partially effective Not effective				Probability	Impact	Rating			
	Inability to deliver critical services to customers/residents			Business continuity strategy, statement of intent and framework in place and all arrangements overseen by a Business Continuity Steering Group	Fully								Business Continuity Statement of Intent and Framework due to be reviewed to align wit new incident management framework	The Council maintains businesses continuity plans for services to ensure that critical services can continue to be provided in the event of an emergency incident. Remote working enables most teams to work
services can be maintained in the	Financial loss/ increased costs	Services prioritised and ICT recovery plans reflect those priorities and the requirements of critical services	Fully								Cross-council BC Steering Group meets regularly to identify BC improvements needed	effectively from home and sustain services in the event of travel disruption or inability to use council buildings. A new incident management framework was approved by CLT in November, has been shared with Duty		
long term incident impacting on the	Loss of important data			ICT disaster recovery arrangements in place with data centre and cloud services reducing likelihood of ICT loss and data loss	Fully Council	Councillor Eddie							ICT transition to data centre and cloud services has reduced likelihood of ICT loss and data loss	Directors and has been published on the Intranet. The Council's Intranet pages on Business Continuity have also been updated to provide better information for staff. A document repository and management system is
	Inability to recover sufficiently to restore non- critical services before they become critical	4	4 1	Incident management team identified in Business Continuity Framework		Reeves	Ian Boll	Richard Webb	2	3	6		Corporate ownership and governance revised as a result of separation of OCC and CDC	now in place for key business continuity plans and is in the process of being populated with new documents when they are refreshed. Teams have been asked to update BIAs and a review of Business Continuity Plans has
	Loss of reputation	All services undertake annual business impact assessments and updates of business continuity plans	Partially								BC Impact assessments and BCPs being updated and reviewed by OCC's Emergency Planning team with supporting document management system being implemented.	started. Residual risk assessment updated in January to reflect recent actions.		
	Reduced service delivery capacity in medium term due to recovery activity			All services maintain business continuity plans	Partially								BC exercises to be arranged Incident management framework in place and revised to reflect arrangements post	
													separation from OCC. The IMF is available on the Intranet to all staff.	

Name and Description of risk	Potential impact	Inherent risk le (no Con	vel	Controls	Control assessment	Lead Member	Risk owner	Risk manage	(a	idual ris ofter exi	isting	Direct'		Comments
		Probability			Fully effective Partially effective Not effective				Probability	Impact	Rating			
L05 - Emergency Planning (EP) - Failure to ensure that the local authority has plans in place to respond appropriately to a civil emergency	Inability of council to respond effectively to an emergency Unnecessary hardship to residents and/or communities Risk to human welfare and the environment			Incident Management Framework in place and key contact lists updated monthly. Emergency Planning Lead Officer defined with responsibility to review, test and exercise plan and to establish, monitor and ensure all elements are covered Expert advice and support provided by Oxfordshire County Council's Emergency Planning Team under partnership arrangements.	Fully Fully								Emergency plan contacts list being updated monthly and reissued to all duty managers periodically. Available on ELT Teams channel. OCC Emergency Planning providing expert advice and support under a partnership arrangement which continues post decoupling. Supporting officers for incident response identified in the emergency plan and wallet guide.	The council is maintaining its duty director rota for any emergency incidents that might arise. Training has been provided for new Extended leadership Team members to support them in their new role as Duty Director. A new incident Response Framework was approved by CLT in November, has been provided to Duty Directors and is now published on the intranet for all staff to access. A staff briefing on the Duty Director and Emergency Response arrangements was included in the All Staff Briefing in early February. The new IMF reflects changes following separation from OCC. Duty Directors also have access to this framework on the Cherwell
fulfilling its duty as a category one responder	Legal challenge Potential financial loss through compensation claims ineffective Cat 1 partnership relationships	4 4	16	Council Duty Directors attend training relating to role prior to joining duty director rota and have refresh training annually Multi agency emergency exercises conducted to ensure readiness Active participation in Local Resilience Forum (LRF)	Fully Partially Fully	Councillor Eddie Reeves	Ian Boll	Richard Web	2	3	6	\leftrightarrow	Refreshed incident management plan developed and pushed following separation from OCC. Staff briefed on arrangements at February all staff briefing. Training provided for all Duty Directors in late 2021 and early 2022. Training for new dut directors arranged for October and December 2022. All senior managers who provide the Duty Director rota have opportunity attend multi-agency exercises and duty manager training with OCC senior managers. On-call rota being maintained and updated to reflect recent staffing changes	Resilience Direct pages along with a key contacts guide. The Council's website information relating to Emergency Planning has also been updated. A 'lessons learned' review of an incident in July (which resulted in no
L06 - Safeguarding the Vulnerable –	Increased harm and distress caused to			activities Community Safety Partnership monitors risks and oversees the actions needed to reduce risks of	Partially								Authority continues to be represented at the Local Resilience Forum Engagement with the Oxfordshire partnerships protocol review to identify improvements to local arrangements in support of the strategic partnerships.	Work is continuing to implement changes to the local arrangements for tackling child exploitation following the Jacob CSPR. A wider parterships
Operational and partnership actions-Failure to work effectively with partners to identify and protect vulnerable	vulnerable individuals and their families. Council subject to external reviews Criminal investigations potentially compromised			exploitation Engagement with Joint Agency Tasking and Co- ordinating Group (IATAC) and Cherwell Operations Group to share information and plan actions on known risks and vulnerable people with partners. Representation at county Child Exploitation sub-group of the Safeguarding Children Board, the countywide	Fully								Child Exploitation prevalence report reviewed with LPA Commander. CSP to adopt improved oversight of the local arrangements to ensure these are effective.	review for the Coxfordshire strategic partnerships has been undertaken and will conclude in early 2023. This is expected to lead to changes in how the strategic partnerships work together. Plans are in development for local reporting on exploitation risks to Community Safety Partnerships which will support the Partnership to ensure that local response arrangements are
people in the district and disrupt exploitation leaving vulnerable people at risk or subject to exploitation.	Potential financial liability if council deemed to be negligent. Reputational damage to the council.	4 4	16	Modern Slavery Partnership and Safer Oxfordshire Partnership. Representation at the Children Missing and Exploited Network meetings for north Oxfordshire. Engagement at an operational and tactical level with relevant external agencies and networks to deliver community based disruption and preventative actions.	Fully	Councillor Eddie Reeves	lan Boll	Richard Web	3	4	12	\leftrightarrow	Community based exploitation disruption coordinated through the Joint Agency Tasking and Coordination Process. Continue to engage with partnership arrangements in place to identify risks.	
				Arrangements in place to ensure local framework of partnership meetings are effective and robustly identify and tackle risks.	Partially									

Name and Description of risk	Potential impact	Inherent (risk lev (no Cont	/el	Controls	Control assessment	Lead Member	Risk owner	Risk mana	ger (sidual ris after exi controls	sting	Direct'n of travel	Mitigating actions (to address control issues)	Comments
		Probability	Rating		Fully effective Partially effective Not effective				Probability	Impact	Rating			
safety Failure to ensure effective arrangements are in place for Health	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	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.	Fully	Councillor R. Mould	Claire Cox	Ruth Wooldrid	ge 3	4	12	4	As a result of decoupling from OCC the strategic H&S lead is no longer in place but a recruitment campaign in progress to recruit a Health and Safety Manager who will take a corporate lead on Health and Safety matters. Post decoupling senior management will have monthly monitoring of H&S matters as a standing item at senior management meetings. The corporate H&S register will be managed and monitored with a focus on the deposts aour highest risk areas. Corporate H&S Auditing and Inspection programme on track. Reports issued to managers and actions tracked for completion. Relevant and required policies and procedures are being reviewed.	The Health and Safety Manager commenced employment on 1 December 2022 and is taking forward actions arising from the recent Health and Safety Audit report. Health and Safety matters regularly discussed across the organisation. Auditing and inspection programme being reviewed to ensure relevance along with the forms that are completed. Review of escalation process from any audit actions to be undertaken also along with timeframes. Corporate Arrangements have now been updated and the H&S Policy is going to Personnel Committee on the 15th March 2023.

Name and Description of risk	Potential impact	Inherent (gr risk leve (no Contro	el .	Controls	Control assessment	Lead Member	Risk owner	Risk mana		esidual (after e contro	existin	; <u>'</u>	Direct'n of travel	Mitigating actions (to address control issues)	Comments
		Probability	Rating		Fully effective Partially effective Not effective				1	Probability	mbdm	Kating			
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, a loss of service, cyberransom.	Financial loss / fine Prosecution – penalties imposed Individuals could be placed at risk of harm Reduced capability to deliver customer facing services Unlawful disclosure of sensitive information Inability to share services or work with partners Loss of reputation	4 5	20	Managing access permissions and privileged users through AD and individual applications Schedule of regular security patching Vulnerability scanning Malware protection and detection 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 Adequate preventative measures in place to mitigate insider threat, including physical and system security insider threat mitigated through recruitment and line management processess A complete restructure and update of the technical approach for the infrastructure has resulted in a move to	Fully Fully Fully Fully Fully Fully Fully Fully	Councillor Richard Mould	Stephen Hinds	David Spilsburn	- 1 3	3 5	3	1.5	\leftrightarrow	Cyber Security is mandatory e-learning for all staff to be completed annually and is part of new starters induction training. Members given presentations and cyber training with the Police Cyber Security Advisor. The Regional Police Cyber Security Advisor have given a series of all-Council staff awareness sessions. Microsoft Multi-Factor Authentication is embedded to authenticate users providing an enhanced level of cyber security. If implemented an intrusion prevention and detection system which is monitored, and regular actions are implemented from the resulting reports. Cyber Security advice and guidance regularly highlighted to all staff. 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 Audit completed cyber audits with no major issues or significant risks identified. Joint OCC/CDC Cyber Security Officer in place - this is likely to continue after decoupling under SIA. Additional IT security advice provided for all staff during the Covid-19 working at home period including online coronavirus related scams. Cyber Security Manager has reviewed advice and provided assurance on our compliance. All staff reminded to be vigilant to unexpected emails due to the heightened risk of cyber attack due to escalating tensions in Eastern Europe.	Cyber security incidents are inevitable. The only way to manage this risk is to have effective controls and mitigations in place including audit and review. The controls and any further controls will not reduce the potential impact should the risk occur e.g., if we were subject to a ransomware attack the effect on the council could be catastrophic. We do have controls in place to revent this happening and plans to deal with and recover from such an incident should it occur. The controls in place have reduced the probability from 'probable' to 'possible', we don't believe that this is reduced further to the point of it being 'unlikely' as it is possible, we could be subjected to either a cyber incident or data breach within the Council. The National Cyber Security Centre (NCSC) advise an increased risk of cyberattack due to escalating tensions in Eastern Europe. The overall risk score remains the same. A recent Audit of the Cyber function (CDC and OCC jointy) rated the that the system of control is being mantained (Amber) it should be noted that two elements of the Audit were red rated, and these were regarting procedural documentation which since have been resolved.
				a zero trust model. Advice received from NCSC on specific activity alerts, the increased threat of globalised ransomware and malware attacks.	Fully										

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IO9 - Safeguarding the vulnerable - internal procedures- failure to follow our internal policies and procedures in relation to safeguarding vulnerable adults and children or raising concerns about their welfare.	Increased harm and distress caused to vulnerable individuals and their families Council could face criminal prosecution Criminal Investigations potentially compromised Potential financial liability if council deemed to be negligent. Reputational damage to the council	4 4	16	Safeguarding lead in place and clear lines of responsibility established Safeguarding Policy and procedures in place information on the intranet on how to escalate a concern Mandatory training and awareness raising sessions are now in place for all staff. Safer recruitment practices and DBS checks for staff with direct contact Data sharing agreement with other partners Attendance at Children and Young People Partnership Board (CYPB) Annual Section 11 return compiled and submitted as required by legislation.	Fully	- Councillor Phil Chapman	Yvonne Rees	Nicola Riley	2	4	8	\leftrightarrow	Monitoring of implementation of corporate policies and procedures to ensure fully embedded Ensure web pages remain up to date Annual refresher and new training programmes including training for new members Attendance at safeguarding boards and participation in learning events Continue to attend safeguarding boards and participation in learning events continue to attend safeguarding board sub groups as necessary to maintain high levels of awareness within the system and compliance with latest practice Regular internal cross departmental meetings to discuss safeguarding practice Action plan acted upon and shared with Overview and scrutiny committee once a year Corporate monitoring of all referrals	General Safeguarding training has been promoted to Members resulting in a positive response.
LIO - 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 Failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies	3 5	15	Annual business planning in place for all companies to fundue 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 Laison Meeting including the 5.151 Officer and Monitoring Officer takes place on a quarterly basis. A governance review is being undertaken and initial recommendations have been approved by the Shareholder Committee. Regular meetings are in place between the Council's 5.151 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. Clear governance arrangements are in place. A governance review is being undertaken and initial recommendations have been approved by the Shareholder Committee. Sound monitoring in place of both business and financial aspects of the companies and the impact on overall council performance through the Fshareholder for the Knareholder Committee.	Fully Fully Partially Fully	Councillor Adam Nell	Yvonne Rees	Stephen Hind:	2	3	6	÷	A Shareholder Representative has been appointed following the decoupling from OCC, the Shareholder Representative is a former Chief Executive, regular governance arrangements are in place. Resilience and support being developed across business to support and enhance knowledge around council companies. Skills and experience being enhanced to deliver and support development, challenge and oversight. Work with one company to ensure long term support arrangements are put in place.	A formal governance review is being undertaken by the Shareholder Representative and the Monitoring Officer following the decoupling from OCC as part of the overall Transition Plan. The update Governance report was taken to CLT on 41th September. SH transitioned as Stakeholder representative on 24th November, with ongoing support in the intering from NE. The review of the governance how with a third party assessing this. Work is organing between 61 and OCD to ensure a viable business plan moving forward. Independent advice has been agreed to review any case but forward. Business Case (Stack 18) due for approval at April Shardesber Committee (committee date moved). Report and plan for futre of Crown House already developed and due for approval at aforementioned committee meeting. Both have been reveiwed independently by Savills

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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	4 12	Ensure contract management in place review and anticipate problems within key service suppliers and partners Business continuity planning arrangements in place in regards to key suppliers Ensuring that proactive review and monitoring is in place for key suppliers to ensure we are able to anticipate any potential service failures		Councillor Adam Nell	Shiraz Sheikh	твс	3	4	12	↔	and partners to gain early understanding of the effects of COVID-19 lockdown, have on supply. The Procurement Team is now providing ELT members and identified Contract Mangers a monthly update of all suppliers with spend above £25k. C/w a credit risk rating score to enable contract managers to manage any identified risks, with support from the Procurement Team. Furthermore, as a result of Covid-19 the likelihood of this risk is deemed to have increased and thus the procurement and finance team now hold a	Shiraz Sheikh is taking operational lead with Simon Moody regarding procurement. Communications to go out in December 2022. Shiraz Sheikh extending SLA with Publica. Contracts Register almost complete with over 500 contracts now recorded.
	Reduced resilience and business continuity Increased complaints and/or customer dissatisfaction Increased costs and/or financial exposure to the Council due to having to cover costs or			intelligence unit set up procurement Hub to monitor supplier and contractor market Analysis of third party spend undertaken to identify and risk assess key suppliers/contractors	Fully								Business continuity plans in place	

Name and Description of risi	Potential impact	Inherent risk I (no Cor	evel	Controls	Control assessment	Lead Member	Risk owner	Risk manager	(af	lual risk ter exist ntrols) F	ng	Direct'n of travel	Mitigating actions (to address control issues)	Comments
		Probability	Rating		Fully effective Partially effective Not effective				Probability	Impact	Rating			
on service delivery or the implementation of major projects	Risk of fraud or corruption		16	framework. Includes project and programme governance. Internal audit programme aligned to leadership risk register. Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc. HR policy framework. Annual governance statement process undertaken for 2021/22 connects more fully and earlier with ELT and	Fully Fully Partially Partially Partially Partially Fully Fully Fully Fully Fully	Councillor Barry Wood	Stephen Hinds	Shiraz Sheikh	3	3	9		Standing item at senior officer meetings – regular review of risk and control measures – through CLT and DLTs. Leadership programme identifying Programme and Project Management is being developed and rolled out to ELT during 2022/23. The Monitoring Officer is a member of full member of CLT. The Annual Governance Statement was produced and has been published. The Corporate Governance Assurance Group continues to map governance processes to ensure visibility and to refresh them.	Risk is currently under complete review. Review of Constitution is underway, due to go to full council 27/02

Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)		Controls	Control assessment	Lead Member	Risk owner	er Risk manage		Residual risk level r (after existing controls) PvI		Dir	ect'n travel	Miligating actions (to address control issues)	Comments
		Probability	Rating		Fully effective Partially effective Not effective				Drohability	Floodbilly	Rating	0			
Housing and Growth Deal - (contract with HMG)	Failure to meet its obligations as a partner within the Growth Deal could see Cherwell as a factor in Government holding back some or all of its funding and/or cease to extend the arrangement beyond 2023.			Established programme structure and partnership ethos to support effective programme delivery. .	Fully		Ian Boll	Robert Jolle	: Jolley 4					A CDC GD programme and programme board capability.	The five year Oxfordshire Housing and Growth Deal contract between the Oxfordshire-system partners and HM Government substantially concluded on 31st March 2023. The Homes from Infrastructure (Hfl) workstream, however, continues and is being reviewed to rebalance the programme within financial parameters; work continues with the various local authority partners and the Future Oxfordshire Partnership in pursuit of this objective.
	Failure to replace Programme Management Officer could adversely affect delivery and stability of the overall Cherwell programme.			Put suitable arrangements in place to deliver the Project Management function.	Partially controlled through the partial repurposing of the role of one of the Workstream Leads.					1 3	3 13	→	1	Meetings to take place with key colleagues to implement suitable arrangements to deliver the Project Management function.	
	Infrastructure milestone delivery late (for infrastructure linked to accelerated housing)			Engagement with housing developers to understand their commercial constraints.	Partially									Work stream plans of work (work stream brief, schedule, RAID log) . Structured engagement with developers to better understand their needs.	
	Delivery of Infrastructure projects fail to accelerate housing delivery as commercial pressures impact house builders			Identify potential "top up" schemes to supplement GD affordable housing scheme.									-	Appropriate escalation of issues to agree programme flexibilities where required.	
	Oxfordshire Plan delivered late			Develop Year 5 (final year) Plans of Work to detail the expected delivery by CDC for Year 5 of the Growth Deal Programme; building on the experiences and knowledge gained during previous years.										Ongoing work with partners to realistically reflect deliverable schemes within programme time frame.	
L14 - Workforce Strategy	Limit our ability to recruit, retain and develop staff			Analysis of workforce data and on-going monitoring of issues.	Partially	Councillor R. Mould	Yvonne Rees					12 ←		Development of relevant workforce plans.	There are a number of emerging issues in terms of recruitment and retention within the local government workforce especially at entry level roles where competition with the private sector is fierce and in senior management poles where these leafs to be a paging lawforce. HP is
The lack of	Impact on our ability to deliver high quality services			Key staff in post to address risks (e.g. strategic HR business partners)	Fully								ħ	Development of new L&D strategy, including apprenticeships.	
	Services Overreliance on temporary staff	3 4		Dusiness partners) Weekly Vacancy Management process in place	Fully			Claire Co.	эх 3	3 4	12		↔	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. There are indications that specific service areas are beginning to experience recruitment difficulties for professional roles. It is to working with the relevant directors to consider	management roles where there tends to be an ageing workforce. HR is working with areas experiencing recruitment and retention difficulties.
	Additional training and development costs			Ongoing service redesign will set out long term service requirements	Partially								Ī	alternative resourcing methods. 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.	