

Appendix 1 - Leadership Risk Register Quarter 1, 2023

Table 1 – Summary of all risks in the Leadership Risk Register with residual scores (after controls) and rating for Q12023

High Risk (16-25) – requires active management to bring score down when possible and maintain it at an acceptable level.

Medium Risk (10 -15) - 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 controls to reduce the probability if this can be done cost effectively, but management to ensure the impact remains low should be adequate. Re-asses frequently to ensure condition remains the same.

Risk Name	Risk Quarter 1	
	Residual Score	Rating
L01 Financial resilience	16	▲
L08 Cyber Security	15	●
L03 CDC Local Plan	12	●
L06 Safeguarding the Vulnerable - Operational and partnership actions-	12	●
L07 Health and safety	12	●
L11 Financial sustainability	12	●
L13 Major Infrastructure Projects and Programmes	12	●
L14 Workforce Strategy	12	●
L02 Statutory functions	09	★
L12 Corporate Governance	09	★
L09 Safeguarding the vulnerable - Internal procedures-	08	★
L04 Business Continuity	06	★
L05 Emergency Planning (EP)	06	★
L10 Sustainability of Council owned companies and delivery of planned financial and other objectives	06	★

Table 2 - Overall position of all the risks contained within the Leadership Risk Register for Quarter 1, 2023 including their impact and probability scores (after controls).

		Probability				
		1 - Remote	2 - Unlikely	3 - Possible	4 - Probable	5 - Highly Probable
Impact	5 - Catastrophic			L08		
	4 - Major		L09	L03-L06-L07-L11-L14	L01	
	3 - Moderate		L04-L05-L10	L02-L12	L13	
	2 - Minor					
	1 - Insignificant					

Leadership Risk Register

L01 Financial resilience

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
Failure to react to external financial impacts, new policy and increased service demand. Poor investment and asset management decisions.	Cllr A Nell	Joanne Kaye	Treat	▲	16
<p>Risk - Control and Action Suggestions</p> <p>Medium Term Revenue Plan reported regularly to members. Balanced medium term and dynamic ability to prioritise resources. Highly professional, competent, qualified staff. Good networks established locally, regionally and nationally. Strong shareholder function and relationships with subsidiaries. Financial returns from the subsidiaries are not included in the MTF5 until they are reasonably assured to materialise. National guidance interpreting legislation available and used regularly. Progress regeneration plans in a coordinated manner. Participate in Oxfordshire Treasurers' Association's work streams. Review of best practice guidance from bodies such as CIPFA, LGA and NAO. Treasury management and capital strategies in place Investment strategies in place Regular financial and performance monitoring in place. 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. Asset Management Strategy in place and embedded. Transformation Programme in place to deliver efficiencies and increased income in the future</p>					
<p>Comments and Last Updated</p> <p>Risk Reviewed and updated on 03/07/2023</p>					

L02 Statutory functions

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual ↑
Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.	Cllr S Dallimore	Shiraz Sheikh	Treat	★	09
<p>Risk - Control and Action Suggestions</p> <p>Embedded system of legislation and policy tracking In place, with clear accountabilities, reviewed regularly by Directors.</p> <p>Clear accountability for responding to consultations with defined process to ensure Member engagement</p> <p>National guidance interpreting legislation available and used regularly</p> <p>Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed.</p> <p>Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place</p> <p>Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit</p> <p>Internal Audit Plan risk based to provide necessary assurances</p> <p>Strong networks established locally, regionally and nationally to ensure influence on policy issues. In addition two Directors hold leading national roles</p> <p>Senior Members aware and briefed regularly in 1:1s by Directors</p> <p>Arrangements in place to source appropriate interim resource if needed</p> <p>Ongoing programme of internal communication.</p> <p>Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required</p> <p>CDC Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key organisational matters including resourcing.</p>					
<p>Comments and Last Updated</p> <p>Risk reviewed on 06/07/2023 - No changes</p>					

L03 CDC Local Plan

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
Failure to ensure sound, up to date local plan remains in place for Cherwell resulting in poor planning decisions such as development in inappropriate locations, inability to demonstrate an adequate supply of land for housing and planning by appeal	Cllr D Sames	David Peckford	Treat		12

Risk - Control and Action Suggestions

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. Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity. On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies

Comments and Last Updated

Risk Reviewed on 05/07/2023 - The emerging draft of the Local Plan is scheduled to be re-presented to the Council's Executive in September 2023.

L04 Business Continuity

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
Failure to ensure that critical services can be maintained in the event of a short or long term incident impacting on the delivery of the Council's operations	Cllr P Chapman	Tim Hughes	Treat		06

Risk - Control and Action Suggestions

Business continuity strategy, statement of intent and framework in place and all arrangements overseen by a Business Continuity Steering Group
 Services prioritised and ICT recovery plans reflect those priorities and the requirements of critical services
 Incident management team identified in Business Continuity Framework
 All services undertake annual business impact assessments and updates of business continuity plans
 Cross-council BC Steering Group meets regularly to identify BC improvements needed

Comments and Last Updated

Risk Reviewed on 05/07/2023 - No changes

L05 Emergency Planning (EP)

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
Failure to ensure that the local authority has plans in place to respond appropriately to a civil emergency fulfilling its duty as a category one responder	Cllr P Chapman	Tim Hughes	Treat	★	06

Risk - Control and Action Suggestions

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.
 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) activities
 On-call rota being maintained and updated to reflect recent staffing changes

Comments and Last Updated

Risk Reviewed on 05/07/2023 - No changes

L06 Safeguarding the Vulnerable - Operational and partnership actions-

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
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.	Cllr P Chapman	Tim Hughes	Treat	●	12

Risk - Control and Action Suggestions

Engagement with the Oxfordshire partnerships protocol review to identify improvements to local arrangements in support of the strategic partnerships. Outcomes of review to be implemented.
 Child Exploitation prevalence report reviewed with LPA Commander following each CE sub-group meeting.
 Community based exploitation disruption coordinated through the Joint Agency Tasking and Coordination Process.

Comments and Last Updated

Risk Reviewed on 05/07/2023 - No changes

L07 Health and safety

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
Failure to ensure effective arrangements are in place for Health and Safety.	Cllr S Dallimore	Ruth Wooldridge	Treat	●	12

Risk - Control and Action Suggestions

Corporate H&S governance arrangements and policies are regularly reviewed and updated by the Corporate H&S Team and monitored by the H&S Assurance Board. Directors and service leads are responsible for ensuring H&S arrangements are in place within their areas or responsibility. Managers are responsible for ensuring operational health and safety risks are assessed and effective control measures implemented.

Consultation with employee representatives via employer and union consultative committees (Unison)

Corporate H&S Training provided via corporate learning and development programme. Training for operational risks may be organised by services.

H&S performance monitored by accident and incident reports and corporate H&S auditing and inspection programme.

H&S information is disseminated via internal communications and updates to ELT and other relevant meetings.

Comments and Last Updated

Risk Reviewed on 06/07/2023 - No changes

L08 Cyber Security

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
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, cyber- ransom.	Cllr S Dallimore	David Spilsbury	Treat	●	15

Risk - Control and Action Suggestions

File and data encryption on computer devices

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 processes

A complete restructure and update of the technical approach for the infrastructure has resulted in a move to a zero trust model.

Advice received from NCSC on specific activity alerts, the increased threat of globalised ransomware and malware attacks.

Comments and Last Updated

Risk reviewed on 05/07/2023 - No changes

L09 Safeguarding the vulnerable - Internal procedures-

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
Failure to follow our internal policies and procedures in relation to safeguarding vulnerable adults and children or raising concerns about their welfare.	Cllr P Chapman	Nicola Riley	Treat	★	08

Risk - Control and Action Suggestions

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 (CYPPB)
 Annual Section 11 return compiled and submitted as required by legislation.

Comments and Last Updated

Risk Reviewed on 06/07/2023 - New member training will be launched in the bitesize briefing on 24th July.

L10 Sustainability of Council owned companies and delivery of planned financial and other objectives

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
Failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives	Cllr A Nell	Stephen Hinds	Treat	★	06

Risk - Control and Action Suggestions

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.
 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.
 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 Shareholder Representative meetings and through the reporting to the Corporate Leadership Team on a monthly basis.
 Training in place for those undertaking roles relating to the companies.

Comments and Last Updated

Risk reviewed on 06/07/2023 - Governance Review completed and approved by Shareholder Committee

L11 Financial sustainability

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
Financial sustainability of third-party suppliers and contractors	Cllr A Nell	Michael Sullivan	Treat		12

Risk - Control and Action Suggestions

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
 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

Comments and Last Updated

Risk reviewed on 06/07/2023 - Controls - Contract management sits with individual service departments as owners of those contracts.

L12 Corporate Governance

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
Failure of corporate governance leads to negative impact on service delivery or the implementation of major projects providing	Cllr S Dallimore	Shiraz Sheikh	Treat		09

Risk - Control and Action Suggestions

Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.
 Clear accountability and resource for corporate governance (including the shareholder role).
 Integrated budget, performance and risk reporting framework.
 Corporate programme office and project management 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 CLT.
 Annual Review of the Constitution by the MO with member involvement and approval by the Full Council

Comments and Last Updated

Risk reviewed on 30/06/2023 - Amendments made to the risk controls

L13 Major Infrastructure Projects and Programmes

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
(incorporating residual Oxfordshire Housing and Growth Deal Homes from Infrastructure workstream)	Cllr D Ford	Robert Jolley	Treat	●	12
Risk - Control and Action Suggestions Need to establish appropriate officer and stakeholder governance structures to support effective programme delivery. Need to institute regular and effective dialogue with developers.					
Comments and Last Updated Risk reviewed on 30/06/2023 - Name changed in May 2023					

L14 Workforce Strategy

Risk Description	Portfolio Holder	Monitoring Officer	Risk Response	R.A.G	Actual
The lack of effective workforce strategies could impact on our ability to deliver Council priorities and services	Cllr S Dallimore	Claire Cox	Treat	●	12
Risk - Control and Action Suggestions Analysis of workforce data and on-going monitoring of issues. Key staff in post to address risks (e.g. strategic HR business partners) Weekly Vacancy Management process in place Ongoing service redesign will set out long term service requirements					
Comments and Last Updated Risk reviewed on 05/07/2023 - No changes					