

Appendix 9 – 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						
L03 - CDC Local Plan - Failure to have an up to date Local Plan could result in poor planning decisions such as development in inappropriate locations. It could also make it more difficult to demonstrate an adequate supply of land for housing which could lead to more planning by appeal and decisions that are contrary to the Council's wishes. The Plan requires approval by Council to be submitted for Examination.	<p>Poor planning decisions leading to inappropriate growth in inappropriate place.</p> <p>Failure to have up to date policies that meet the District's requirements.</p> <p>Negative impact on the council's ability to deliver its strategic objectives, including for minimising carbon emissions.</p> <p>A higher number of planning appeals with associated increased costs</p> <p>Reputational damage with our local communities through not having up to date policies to meet needs and protect the environment</p> <p>Reputational damage with investor community of Cherwell as a good place to do business created by uncertainty/lack of policy clarity.</p> <p>Failure to submit Plan for Examination by June 2025 would mean that the Council would need to prepare a Local Plan under a new plan-making system on which further Gov't guidance is awaited. This would significantly delay having a new, up-to-date Plan.</p>	4	4	16	<p>The statutory 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</p> <p>Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity.</p> <p>On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies</p> <p>Regular Councillor briefings to ensure all timescale requirements are understood. Ensuring that staff and consultancy resourcing is maintained</p> <p>Political consensus - building</p>	Partially	Councillor J. Conway	Ian Boll	David Peckford	3	4	12	↔	<p>Annual (Authority) Monitoring Reports presented to the Executive on plan making and policy effectiveness.</p> <p>An updated LDS presented to the Executive when there is a significant change in the circumstances for the Local Plan timetable.</p> <p>Programme built into Directorate level objectives (e.g. via Service Plans) and staff appraisals; on-going preparation of the Local Plan is a service priority.</p> <p>Project management of the Local Plan process continues.</p> <p>Regular Corporate Director, Portfolio Holder and Members Advisory Group briefings</p> <p>Continuance of internal Members' Advisory Group meetings. Early briefing for new Portfolio Holder in May 2024 and any new Councillors</p> <p>Political consensus building through Chief Executive briefings and the Local Plan's Members Advisory Group.</p>	Full risk reviewed carried out, no changes necessary for Q1.	Reviewed on 14/08/2024
L04 - Business Continuity - 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	<p>Inability to deliver critical services to customers/residents</p> <p>Financial loss/ increased costs</p> <p>Loss of important data</p> <p>Inability to recover sufficiently to restore non-critical services before they become critical</p> <p>Loss of reputation</p> <p>Reduced service delivery capacity in medium term due to recovery activity</p>	4	4	16	<p>Business continuity strategy, statement of intent and framework in place and all arrangements overseen by a Business Continuity Steering Group</p> <p>Services prioritised and ICT recovery plans reflect those priorities and the requirements of critical services</p> <p>ICT disaster recovery arrangements in place with data centre and cloud services reducing likelihood of ICT loss and data loss</p> <p>Incident management team identified in Business Continuity Framework</p> <p>All services undertake annual business impact assessments and updates of business continuity plans</p> <p>Cross-council Business Continuity Steering Group meets regularly to identify Business Continuity improvements needed</p>	Fully	Councillor R. Parkinson	Ian Boll	Tim Hughes	2	3	6	↔	<p>BC actions post-audit in 2023 are being implemented as per plan.</p> <p>BCSG meeting routinely and corporate refresh across all areas is progressing</p> <p>BC Impact Assessments and BCPs being updated and reviewed by Emergency Planning Team with supporting document management system being implemented.</p> <p>Business Continuity Statement of Intent and Framework reviewed and updated to align with new incident management framework</p> <p>Cross-council BC Steering Group meets regularly to identify BC improvements needed; BC Steering Group has been reconvened, engagement is being made across all service areas.</p> <p>Plans tested and annual cycle clearly sets out the test/review/improve process and expectations</p>	Full risk review carried out. Mitigating actions updated.	Updated on 30/7/2024
L05 - Emergency Planning (EP) - 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	<p>Inability of council to respond effectively to an emergency</p> <p>Unnecessary hardship to residents and/or communities</p> <p>Risk to human welfare and the environment</p> <p>Legal challenge</p> <p>Potential financial loss through compensation claims</p> <p>Ineffective Cat 1 partnership relationships</p> <p>Reputational damage</p>	4	4	16	<p>Incident Management Framework in place and key contact lists updated monthly.</p> <p>Emergency Planning Lead Officer defined with responsibility to review, test and exercise plan and to establish, monitor and ensure all elements are covered</p> <p>Expert advice and support provided by Oxfordshire County Council's Emergency Planning Team under partnership arrangements.</p> <p>Council Duty Directors attend training relating to role prior to joining duty director rota and have refresh training annually</p> <p>CEX and Corporate Directors have received Strategic Co-ordinating Group (SCG) Training.</p> <p>Multi agency emergency exercises conducted to ensure readiness</p> <p>Active participation in Local Resilience Forum (LRF) activities</p> <p>On-call rota being maintained and updated to reflect recent staffing changes</p>	Fully	Councillor R. Parkinson	Ian Boll	Tim Hughes	2	3	6	↔	<p>IMF reviewed and updated. Training schedule in place and being delivered including training for new ADs/CEX and refresh for existing duty directors. Emergency plan contacts list updated monthly and reissued to all duty directors</p> <p>Supporting officers for incident response reviewed and identified across some areas, to ensure they are reviewed and updated across all service areas.</p>	Full risk review carried out. Risk controls updated	Updated on 30/7/2024

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		Probability	Impact						Probability	Impact					
		4	4		Fully effective Partially effective Not effective				2	4					
L06 - Safeguarding the Vulnerable – Operational and partnership actions- Increased harm and distress caused to vulnerable individuals and their families. 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.	Council subject to external reviews Criminal investigations potentially compromised Potential financial liability if council deemed to be negligent. Reputational damage to the council.	4	4	16	Partially effective Fully	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. Exploitation concerns and actions discussed routinely at Joint Agency Tasking and Co-ordination meetings on a monthly basis	Full risk review carried out. Risk controls updated	Updated on 30/7/2024
L07 - Health and safety Failure to ensure effective arrangements are in place for Health and Safety.	Unsafe services leading to fatality, serious injury & ill health to employees, service users or members of the public Criminal prosecution for failings Breach of legislation and potential for enforcement action. Financial impact (compensation or improvement actions) Reputational Impact	5	4	20	Fully	Councillor C. Brant	Claire Cox	Ruth Woodlidge	3	4	12	↔	Corporate H&S Auditing and Inspection programme on track. Reports issued to managers and actions tracked for completion. Work ongoing with 2 audits per calendar month. Work still in progress with service areas around the corporate H&S register, which will be managed and monitored with a focus on the depots as our highest risk areas. Relevant and required policies and procedures are regularly reviewed. Working with service areas to ensure that suitable risk assessments are in place. Working with service areas and providing training to staff where necessary.	Full risk review carried out. Risk reviewed and mitigation actions updated	Updated on 12/7/2024
L08 - Cyber Security -If there is insufficient security with regards to the data held and IT systems used by the councils and insufficient protection against malicious attacks on council's systems then there is a risk of: a data breach, or a loss of service.	Financial loss / fine Prosecution – penalties imposed Individuals could be placed at risk of harm Reduced capability to deliver services Unlawful disclosure of sensitive information Inability to share services or work with partners Loss of reputation	4	5	20	Fully	Councillor C.Brant	Stephen Hinds	David Spilsbury	3	5	15	↔	Intrusion prevention and detection monitoring and regular actions are implemented from the resulting reports Additional 3rd party monitoring in place using a SIEM tool and 24/7 monitoring via a SOC A zero trust VPN model. Schedule of regular security patching Vulnerability scanning Malware protection and detection File and data encryption on computer devices Managing access permissions and privileged users controls. Effective information management and security training and awareness programme for staff Password and Multi Factor Authentication security controls in place. Robust information and data related incident management procedures in place Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services Appropriate plans in place to ensure ongoing PSN compliance Preventative measures in place to mitigate insider threat, including physical and system security Advice received from NCSC on specific activity alerts, the increased threat of globalised ransomware and malware attacks Mimecast awareness training and comprehensive defence system deployed to improve email security	Full risk review carried out. Impacts, controls and mitigating actions updated	Updated on 12/7/2024

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		Probability	Impact Rating						Probability	Impact Rating					
L09 - Safeguarding the vulnerable - Internal procedures- Failure to work effectively with partners to identify and protect vulnerable people in the district and disrupt exploitation leaving vulnerable people at risk or subject to exploitation.	Increased harm and distress caused to vulnerable individuals and their families	4	4	16	Fully effective Partially effective Not effective	Councillor R. Patten	Ian Boll	Nicola Riley	2	4	8	↔	Action plan acted upon and shared with Overview and scrutiny committee once a year Annual refresher and new training programmes including training for new members Continue to attend safeguarding board sub groups as necessary to maintain high levels of awareness within the system and compliance with latest practice Corporate monitoring of all referrals Ensure web pages remain up to date Monitoring of implementation of corporate policies and procedures to ensure fully embedded Regular internal cross departmental meetings to discuss safeguarding practice SAR's and Lessons Learned reports circulated to improve practice and knowledge.	Full risk review carried out. Risk description and controls updated	Updated on 9/7/2024
	Council subject to external reviews				Fully										
	Criminal investigations potentially compromised				Fully										
	Potential financial liability if council deemed to be negligent				Fully										
	Reputational damage to the council				Fully										
					Fully										
					Fully										
					Fully										
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	Fully	Councillor D. Hingley	Gordon Stewart	Stephen Hinds	2	3	6	↔	A Shareholder Representative was appointed and 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.	No changes	Risk reviewed 01/04/2024
	Failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives				Fully										
	Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies				Partially										
					Fully										
					Partially										

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		Probability	Impact						Probability	Impact						
		4	4		Fully effective Partially effective Not effective				3	3						
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										
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										