

# **Cherwell District Council**

## **Audit, Accounts and Risk Committee**

**28 September 2022**

### **August 2022 Risk Monitoring Report**

#### **Report of Assistant Director – Customer Focus (Interim)**

This report is public

#### **Purpose of report**

This report summarises the Council's Risk monitoring position of August 2022.

## **1.0 Recommendations**

The meeting is recommended:

- 1.1 To consider and comment on the Risk Monitoring.

## **2.0 Introduction**

- 2.1 The Council carries out regular reviews to identify risks at the earliest opportunity, address, assess and mitigate them as soon as possible. The new format of this report will enable the Audit, Accounts and Risk Committee Meeting review the Leadership Risk Register in a timelier manner.
- 2.2 The Leadership Risk Register is a living document and is reviewed to reflect the environment in which the organisation operates; it is also formally reviewed on a monthly basis. Our risk strategy is reviewed annually and reflects the strategic priorities of the council for the forthcoming year.

## **3.0 Report Details**

### **Risk Update – August 2022**

- 3.1 The Council maintains a Leadership Risk Register. This document contains strategic risks that may impact on the performance of the Council as a whole, and in particular, on its ability to deliver its corporate priorities. The latest available version of the risk register at the date this report is published is included in this report as Appendix 1.
- 3.2 The heat map below shows the overall position of all risks contained within the Leadership Risk Register for August 2022

Risk Scorecard – Residual						
		Pro				
		1 - Remote	2 - Unlikely	3 - Possible	4 - Probable	5 - Highly
Impact	5 - Catastrophic	L18				
	4 - Major		L09	L03-L04-L05- L06-L07- L11- L14	L01	
	3 - Moderate		L10-L15	L12-L16-L17	L08- L13	
	2 - Minor		L02			
	1 - Insignificant					

Figure 2: Risk scorecard showing the risk scores in the Leadership Risk Register for July 2022

3.3 The Leadership Risk Score Table below shows the overall position of all risks contained within the Leadership Risk Register with the latest updates for August 2022.

Leadership Risk	Score	Direction of travel	Latest Update
L01 Financial Resilience	16 High Risk	↔	Risk reviewed - 13/09/2022 Mitigating actions and comments updated
L02 Statutory functions	9 Low Risk	↔	Risk reviewed - 14/09/2022 No change
L03 CDC Local Plan	12 Medium Risk	↔	Risk reviewed - 13/09/2022 – No change
L04 Business Continuity	12 Medium Risk	↔	Risk Reviewed 05/09/2022 - Comments updated.
L05 Emergency Planning (EP)	12 Medium Risk	↔	Risk Reviewed 05/09/2022 -Comments updated
L06 Safeguarding the Vulnerable – Operational and partnership actions	12 Medium Risk	↔	Risk Reviewed 05/09/2022 - Comments updated.
L07 Health and safety	12 Medium Risk	↔	Risk reviewed 14/09/22 - No changes

L08 Cyber Security	15 Medium Risk	↔	Risk reviewed 02/09/22 - No changes
L09 Safeguarding the vulnerable - Internal procedures	8 Low Risk	↔	Risk Reviewed 14/09/2022 - No changes
L10 Sustainability of Council owned companies and delivery of planned financial and other objectives	6 Low Risk	↔	Risk reviewed 14/09//2022 Comments updated
L11 Financial sustainability of third-party suppliers and contractors	12 Medium Risk	↔	Risk reviewed 07/09/2022 - No changes
L12 Corporate Governance	9 Low Risk	↔	Risk reviewed 07/09/2022 - No changes
L13 Oxfordshire Housing and Growth Deal - (contract with HMG)	12 Medium Risk	↔	Risk reviewed 14/09/2022 - Risk owner and comments updated.
L14 Workforce Strategy	12 Medium Risk	↔	Risk reviewed 14/09/2022 - No changes
L15 Covid-19 Community and Customers	6 Low Risk	↔	Risk reviewed 05/09/2022 - No changes.
L16 Covid-19 Business Continuity	9 Low Risk	↔	Risk reviewed 05/09/2022 - No changes.
L17 Post Covid-19 Recovery	9 Low Risk	↔	Risk reviewed 07/09/2022 -Risk Manager and comments updated
L18 Cessation of joint working between CDC and OCC	5 Low Risk	↓	Risk reviewed 14/09/2022- Controls, risk owner, manager, mitigating actions, residual risk and comments updated

- 3.4 The Leadership Risk Register has been thoroughly reviewed, including re-organisation of the numbering as a consequence of risks closed in the last 6 months, also, as part of the end of year review each risk was reviewed throughout.
- 3.5 The Leadership Risk Register is reviewed by the Corporate Leadership Team as part of the monthly reporting process; however, this is a live document and as such it is updated as and when required at any point during the month.
- 3.6 During August, the Leadership Risk register had one score change, **L18 Cessation of joint working between CDC and OCC**, has decreased its score

from 10 – Medium risk - to 5 - Low risk-. The following table reflects the mitigating actions and score for the mentioned strategic risk. For further details on all risks please go to Appendix 1 Leadership Risk Register August.

- 3.7 The table below shows the details of the risks that changed score during August, including the mitigating actions services are taking.

Leadership Risk	Residual Score (after mitigation)	Direction of travel	Mitigating action
<p><b>L18 Cessation of joint working between CDC and OCC</b></p>	<p>5 Low Risk</p>	<p>↓</p>	<p>The transitional plan is adaptable to ensure recommendations can be made to the JSS&amp;P Committee in a timely and effective manner. Risks are managed across the various governance arrangements and monitored by the JSS&amp;P Committee. A decoupling implementation plan is in place for CDC to effectively and efficiently manage the transitional arrangements and risks. An update has been reported to the Overview &amp; Scrutiny Committee.</p>

#### 4.0 Conclusion and Reasons for Recommendation

- 4.1 This report provides an update on progress made during July 2022, to deliver the Council’s priorities through reporting on Leadership Risk Register and providing an update on its Position. The Council is committed to risk management and reviews progress against its corporate priorities on a monthly basis.

#### 5.0 Consultation

This report sets out risk information for the fourth month of this financial year and as such no formal consultation on the content is required.

## 6.0 Alternative Options and Reasons for Rejection

- 6.1 The following alternative options have been identified and rejected for the reasons as set out below.

Option 1: This report illustrates the Council's strategic risk management. Regarding the monitoring aspects of the report, no further options have been considered. However, members may wish to request that officers provide additional information.

## 7.0 Implications

### Financial and Resource Implications

- 7.1 There are no financial and resource implications arising directly from this report.

Comments checked by:

Michael Furness, Assistant Director of Finance / Section 151, Tel: 01295 221845 [Michael.Furness@cherwell-dc.gov.uk](mailto:Michael.Furness@cherwell-dc.gov.uk)

### Legal Implications

- 7.2 There are no legal implications arising directly from this report.

Comments checked by:

Helen Lolas, Team Leader, Legal Services,  
[Helen.Lolas@cherwell-dc.gov.uk](mailto:Helen.Lolas@cherwell-dc.gov.uk), 07801 400941

### Risk Implications

- 7.3 This report contains a full update with regards to the Council's risk position at the end of August 2022. There are no risk implications arising directly from this report.

Comments checked by: Celia Prado-Teeling, Interim Assistant Director – Customer Focus, Tel: 01295 221556, [Celia.prado-teeling@cherwell-dc.gov.uk](mailto:Celia.prado-teeling@cherwell-dc.gov.uk)

### Equalities and Inclusion Implications

- 7.4 There are no equalities nor inclusion implications arising directly from this report.

Comments checked by: Celia Prado-Teeling, Interim Assistant Director – Customer Focus, Tel: 01295 221556 [Celia.prado-teeling@cherwell-dc.gov.uk](mailto:Celia.prado-teeling@cherwell-dc.gov.uk)

## 8.0 Decision Information

### Key Decision

Financial Threshold Met: No

Community Impact Threshold Met: No

**Wards Affected:**

All

## **Links to Corporate Plan and Policy Framework**

This report supports all Corporate Priorities

## **Lead Councillor**

Councillor Richard Mould – Portfolio Holder for Corporate Services

## **Document Information**

### **Appendix number and title**

- Appendix 1 – Leadership Risk Register July 2022

### **Background papers**

None

### **Report Author and contact details**

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