

# Joint Audit and Governance Committee



Report of the Head of Corporate Services

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To: Joint Audit and Governance Committee

DATE: 11 July 2021

## Corporate risk review

### Recommendation

That the Committee notes the half yearly progress review of the corporate risk registers as outlined in the risk management strategy.

### Purpose of the review

1. This is the half yearly progress review of the corporate risk registers for South Oxfordshire District Council and Vale of White Horse District Council. This review follows on from the joint audit and governance committee report in January 2021.
2. The contact officers are Yvonne Cutler Greaves, Assurance Team Leader and Allison Holliday Risk and Insurance Officer for South Oxfordshire District Council (SODC) and Vale of White Horse District Council (VoWHDC).

### Strategic Objectives

3. Openness and accountability in South Oxfordshire.
4. Working in an open and inclusive way in the Vale of White Horse.

## Background

5. The corporate risk registers attached have been compiled as outlined in the risk management framework and reviewed and updated with individual Heads of Service, considering the ongoing impact of Covid 19 on the councils' operations and the recovery roadmap.
6. There are a total of 37 risks (46 last report) on the South Oxfordshire District Council Corporate risk register and 38 risks (47 last report) on the Vale of White Horse District Council corporate risk register.
7. The top 10 risks for South Oxfordshire District Council are shown below:

Risk ref	Description	Risk score
		Gross/Net
2	IT Cybersecurity breach.	9/8
49	Third party BCP is not fit for purpose.	8/8
3	IT infrastructure not supported.	8/8
60 New Risk	Failure to procure insurance on time.	8/8
61 New Risk	Failure to eliminate or significantly reduce the revenue budget funding gap in the medium to long term.	8/6
11	Failure to fulfil the Data Protection legislative requirements.	8/6
9	Failing to have an effective health and safety management system in place.	8/6
7	Poor staff morale, wellbeing and personal security.	8/6
15	Failure of third-party contracts to deliver acceptable levels of service	8/5
51/52	Failure to anticipate the impact of the requirements of recovery road map on our districts.	8/5

8. The top 10 risks for Vale of White Horse District Council are shown below:

Risk ref	Description	Risk score
		Gross/Net
2	IT Cybersecurity breach.	9/8
50	Third party BCP is not fit for purpose.	8/8
3	IT infrastructure not supported.	8/8

63 New Risk	Failure to procure insurance on time.	8/8
15	Failure of third-party contracts to deliver acceptable levels of service.(Higher in Vale due to greater loss at Leisure Centres)	8/8
64 New Risk	Failure to eliminate or significantly reduce the revenue budget funding gap in the short to medium term.	8/6
11	Failure to fulfil the Data Protection legislative requirements.	8/6
9	Failing to have an effective health and safety management system in place.	8/6
7	Poor staff morale, wellbeing and personal security.	8/6
51/52	Failure to anticipate the impact of the requirements of recovery road map on our districts.	8/5

9. Three risks in South and two in Vale have increased their net risk score since last reported in Jan 2021:

Risk ref South/Vale	Description	Risk score Gross/Net
49/50	Third Party BCP not fit for purpose.	8/8
3/3	IT Infrastructure not supported.	8/8
13 South	Failure to manage council finances. Increased in South to 5/5. Vale is already at this level.	5/5

10. One risk in South has increased its gross risk score:

Risk ref	Description	Risk score Gross/Net
23 South	Lack of informed decision making re planning.	7/5

11. One risk has reduced its net risk score since last reported in Jan 2021:

Risk ref South/Vale	Description	Risk score Gross/Net
34/33	Failure to provide suitable council office accommodation that is fit for purpose on time.	7/3

12. There are three new risks for South Oxfordshire District Council and Vale of White Horse District Council:

Risk ref South/Vale	Description	Risk score Gross/Net
60/63	Failure to procure insurance on time.	8/8
61/64	Failure to realise increased revenue streams in the medium to long term (South); Short to medium term (Vale)	8/6
62/65	Government actions in the Oxford-Cambridge Arc are outside council control	3/3

13. Three risks have been successfully mitigated and completed:

Risk ref South/Vale	Description
46/45	Uncertainty over the expressway route.
57/59	Failure to meet the statutory deadline to review the Statement of Licensing Policy by January 2021.
59/61	Failure to effectively manage concurrent events in 2020/2021 (Covid 19/adverse weather/Brexit and elections).

14. One risk has been merged:

Risk ref South/Vale	Description
44/43	New channels of revenue growth (merged with 14/14 Failure to maximise opportunities to realise areas of revenue growth.

15. Four Covid specific risks have been removed to the Council response to Covid 19 Risk Register.

Risk ref South/Vale	Description
58/60	Failure to prevent fraud when managing test and trace isolation grants.
52/54	Failure to prevent fraud when managing business grants.
53/55	Lack of clarity and transparency from central government on the council allocation of limited Discretionary Grants and Government backed business grants.
55/53	Failure to manage expectations as to role of new community support hub.

16. Four risks have been returned to the appropriate service area risk registers for review:

Risk ref South/Vale	Description
29/29	Failure to address or remove barriers to Small and Medium Enterprises (SME) growth.
30/30	Insufficient support (including the EU funding shortfall) is provided to key research sites.
31/31	Failure to deliver the actions on the BIS (Business Information System).
17/17	Enterprise zone 1 pace of expansion is not quick enough to realise the business rate income.

17. Covid 19 Roadmap to Recovery. The Assurance team leader is present at the monthly triage meetings, where risks and opportunities are reviewed to ensure due diligence and to support the councils' decision making. The current risk register is attached.

### Financial Implications

18. There are financial implications attached to managing the risks outlined in the corporate risk registers, and risk owners are responsible for ensuring costs of mitigation are proportionate to the risk exposure.

### Legal Implications

19. None.

### Risks

20. Risk identification is an integral part of this progress review.

### Other Implications

21. None

### Appendices:

- South Corporate Risk Register summary July 2021
- South Corporate Risk Register July 2021
- Vale Corporate Risk Register summary July 2021
- Vale Corporate Risk Register July 2021
- Covid risk register version 015 June 2021