

ROCHFORD DISTRICT COUNCIL STRATEGIC RISK REGISTER

Risk No.	Risk Owner	Risk	Controls and Mitigations	Out of 5 Current Score January 2024			Further Planned Actions	Out of 5 Current Score May 2024			Further Planned Actions
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Risk 1	Director, Policy & Delivery	We fail to deliver the objectives of the Council's Business Plan in terms of measurable outcomes.	Business Plan agreed and supported by Medium Term Financial Strategy (MTFS) Key programmes of work defined Plans identify key priorities for service delivery Agreed budgets for work programmes and projects Project plans and progress monitoring tools External project management resource supporting key Connect and #OneTeam Transformation processes	2	3	MEDIUM	Work continues with MOU Group to create the new Business Plan for 2024 - 2030. This will identify new themes of work that will feed into the Programme and Project Management Teams work. The Programme & Project Team will monitor, measure and report back to the appropriate groups and committee so issues are kept on top of and the new business plan will remain on track to succeed	3	2	MEDIUM	New business plan continues to be worked upon. Plan and timeline set out to deliver new Business Plan Consultation being programmed which requires procurement Draft Themes agreed although final wording is likely to change the sentiment will remain Early Priorities that support the work of the emerging Business Plans themes are being worked up by the Administration which will enable the priorities to be monitored and measured.
Risk 2	Director, Communities & Health	There is a failure to ensure the safeguarding of our children and adults in the district (whether or not ordinarily resident here) who: (a) have needs for care and support (whether or not the authority is meeting any of those needs), (b) is experiencing, or is at risk of, abuse or neglect, and (c) as a result of those needs is unable to protect himself or herself against the abuse or neglect or the risk of it.	Safeguarding Policy and Procedures DBS checks in recruitment processes Attendance at safeguarding lead officers' network Attendance at multi-agency South Essex Stay Safe Group Designated person(s) for safeguarding issues Staff and Member training programmes Compliance with guidance from Essex Safeguarding Children Board (ESCB) and Essex Safeguarding Adults Board (ESAB)	2	2	LOW	Staff training to be developed as part of the online training package and refresher training for new members of staff and elected members.				
Risk 3	Director, Communities & Health	There is a serious Food, Environmental or other incident for which the Council is culpable / liable.	Premises inspections and actions under Annual Food Safety Service Plan Procedures for response to Food and Environmental complaints and reports	2	4	MEDIUM	A new food officer was appointed in November 2023. This officer is newly qualified and as such is limited to the work they are permitted to carry out. They are in process of completing the Chartered Institute of Environmental Health development portfolio. Once completed they will be able to undertake higher risk inspections. It is estimated that this will be completed by July 2024. In the meantime we are using a contractor to carry out some of the food inspections. We also have a vacant post in Environmental Protection that would help cover noise nuisance complaints and air quality, that we plan to advertise next financial year.	2	4	MEDIUM	One of the Environmental Protection officers has started the higher food hygiene certificate to allow them to conduct food inspections. This will mean that in the next two years they will be qualified to conduct food hygiene inspections, this is around the same time when one of the current food team is planning to retire. All Officers who conduct food inspections will carry out suitable inspections to maintain their competency.
Risk 4	Director Assets and Investments	There is a serious Health and Safety incident for which the Council is culpable / liable.	Health & Safety Co-ordinators (HSCs) / Fire Marshals (FMs) and First Aiders in place Risk Assessments (for staff and contractors) and Safety Procedures Regular Corporate Health and Safety Assessment Health and Safety Policy – Annual Review Improvements to building security for RDC offices. Contract Monitoring to review Health and Safety Compliance of Contractors, Partners and/or anyone working for/on behalf of Rochford District Council.	2	2	LOW	The One Team Health and Safety Strategy was approved by the Executive January 2024. This has enabled a streamline of underpinning policies to be refreshed and streamlined. Officers throughout the Council have completed their IOSH training and there is a training programme being developed to ensure staff stay up to date and are able to manage any incident.	2	2	LOW	There has been no further change since the last quarter. Officers have identified a workplan on actions refreshing underpinning policies. Creating bitesize sheets for staff to understand their H&S responsibility. The Health and Safety committee are considering how an action plan can support the Council reporting on preventative measure highlighting the accidents that have been avoided. Online training is being rolled out across the authority and a detailed training programme is being developed alongside HR.

Risk 5	Director, Communities & Health	We fail to respond to, or provide, relevant services in the event of an incident or disaster	Cloud based systems for IT and remote working established Attendance at Essex Resilience Forum Emergency Plans – regularly tested and reviewed Business Continuity Plans – regularly tested and reviewed Out of hours (OOH) response arrangements Prepare staff to assist in emergencies Essex Countrywide Traveller Committee Partnership Agreement Review of building security	2	3	MEDIUM	A One Team set of Emergency Plans is being prepared to support CLT in an Emergency. Once agreed it will replace two plans and training will take place. A One Team Business Continuity Plan has been agreed and work is underway to support this with Service BC Plans. Once finalised the plan will be tested. Proposals are under discussion to recruit and train Emergency Officers. RDC will use the BBC CCTV Room for out of hours calls and a One Team approach developed for dealing with calls. The Essex Resilience Forum has received additional resource.				
Risk 6	Joint Acting Director of People & Governance	Council held data is lost, disclosed, or misused to detriment of individuals or organisations as result of inadequate protection	Data Protection measures including Information Security Policies & Procedures Data sharing protocols are in place where information is shared between parties Annual review of systems and software required to ensure the necessary compliance by Government Connect Code of Connection (CoCo) (or necessary compliance levels?) Freedom of information (FOI) and Subject Access Request (SAR) procedures are in place. A data breach was experienced by the Revenues & Benefits software provider, Capita. The breach did not include sensitive personal data of Rochford residents but officers are working closely with Capita and the LGA (as other councils were also affected). The breach has been reported to the Information Commissioner.					3	3	MEDIUM	
Risk 7	Director Policy & Delivery	Failure to engage with stakeholders to understand and communicate what the Council should be trying to achieve	Consultation programmes involve Members, Residents, Businesses, Service Users, Parishes, Partners, and Staff Communications initiatives including RDC website Networking meetings with partners organisations and businesses Equality and diversity impact assessments of service changes and other proposals	2	4	MEDIUM	Engagement Strategy continues to be developed. This strategy is in draft form, has information and draft guidance and will be scrutinised by lead member for Communications. Engagement and how we consult with stakeholders has been requested to be investigated by a member. This will go before the O & S Cttee for approval as a piece of work. This will involve the scrutiny of the emerging engagement strategy. Will go to Committee in March and work on the Strategy and its scrutiny will be complete by June 2024	2	2	LOW	Engagement Report went to committee and work is part of forward plan that cannot be considered until after the General Election The Engagement Strategy Continues to be developed. Committee wanted strategy to be consulted upon and therefore working up the consultation with local groups Seeking to report back to Committee in the autumn with Draft Strategy
Risk 8	Director, Customer & Data Insight	We fail to innovate and develop new ways of meeting customer needs and expectations.	Monitoring of Government announcements on public spending levels Staff involvement in cultural change e.g., Key Change Champions, staff consultation and innovation workshops, Connect Programme and #OneTeam Project Team. #One Team is now the new Transformation Programme for both organisations. "Connect" Programme Rochford's transformation programme #One Team is now the new Transformation Programme for both organisations. Communications of savings and consequences to Members staff residents and clients/service users Equality Impact Assessments Budgetary controls Customer Feedback	2	4	MEDIUM	One Team roadmaps to be implemented to review how services are delivered PMO implemented to register and monitor delivery of new projects to ensure benefits are realised Joint Corporate Managers appointed for Customer Services and IT and Digital.	2	4	MEDIUM	Service plans and transformation plans are in development which will provide a mechanism to capture, approve and track service improvements Telephony improvements being implemented Q1/Q2 2024-25 Corporate Programme Board meets monthly to approve new projects, monitor delivery and ensure benefits are realised

Risk 9	Director Resources (Section 151 Officer)	Failure to ensure financial sustainability for the Council. This includes the requirement to set a balanced budget and Medium Term Financial Strategy (MTFS) to allow for the successful delivery of the Council's priorities as set out in its Business Plan, ensuring robust financial controls are in place to keep the budget on track in-year, and delivery of the Council's Capital Programme.	Robust budgetary monitoring & control is exercised by regular reporting and challenge with budget holders. Quarterly budget monitoring reports are presented to committee. Policy ideas and savings proposals are communicated with stakeholders via the appropriate forums, including the budget survey and Member briefings. The Medium Term Financial Strategy reflects corporate priorities, in the context of Government funding announcements for future financial planning. Active treasury management and cash flow management ensure cash is managed with a view to security, liquidity and yield. Adequate reserves and balances are maintained to manage short	2	5	HIGH	The 2024/25 Budget and 2024 - 29 MTFS approved 20 February 2024. This will enable the production of detailed budgets for distribution to budget holders. A meeting of Extended Leadership Team is scheduled for 19 March 2024 to provide a briefing on the Budget and its implications, as well as planned actions over the medium term to ensure delivery of the MTFS.	2	5	HIGH	An early report to Strategy, Finance & Policy Committee will set out the updated 2024-25 capital programme, incorporating a proposed resolution to programme funding and rolled-over projects from 2023-24.
Risk 10	Joint Acting Director of People & Governance	Inability to recruit, retain, develop, and manage appropriately skilled staff to deliver the Council's priority outcomes	People Plan - Organisational Development Plan Recruitment policy and procedures Probationary periods Induction, Training and Development plans Performance Reviews Appraisals OHS referrals Digitalised Procedure notes to be made available to appropriate officers in event of manager or other experienced officers' absence / non-availability Flexible retirement policy and procedure	1	4	MEDIUM	New People & Culture Strategy to be launched with a focus on retention and succession planning within services. Recruitment and Selection policy being reviewed as well as process to ensure these are effective when recruiting and onboarding to roles.		4		
Risk 12	Director Resources (Section 151 Officer)	The Council could fail to provide consistent Value for Money (VFM) across its existing services, or when procuring new services	Value for money is ensured through the Sustainable Commissioning and Procurement Strategy Contract Procedure Rules (CPR) and Purchase ordering rules. Benchmarking, VFM and best practice case studies form part of Business Plan support activities. External Audit produce an annual report to Audit Committee on value for money. Internal Audit Reports consider value for money as part of most audits.	2	4	MEDIUM	The Procurement OneTeam review is complete and implemented. A newly arising vacancy in one of the two Senior Procurement Officer posts is subject to recruitment in March 2024. The Contract Procedure Rules are subject to review in early 2024/25.	2	4	MEDIUM	The Procurement OneTeam review is complete and implemented. A newly arising vacancy in one of the two Senior Procurement Officer posts was subject to a failed recruitment in March 2024; since then, the other Senior Procurement Officer has resigned. Subsequently, the two procurement posts have been included in the Finance review and recruitment will begin once the review is finalised in July. The Contract Procedure Rules are subject to review in early 2024/25.
Risk 13	Joint Acting Director of People & Governance	Failure to ensure good governance of the Council's activities and delivery of its priorities.	Business Plans / Medium Term Financial Strategy The Local Code of Corporate Governance Council Constitution, Financial Regulations and Contract Procedure Rules Codes of Conduct and Registers of Interests for Officers and Members Council, Executive and Committee, LT reports, minutes, and records of decisions Internal Audit Programme Annual Governance Statement (AGS) and allied assurance framework Purchasing procedures Legally compliant tendering procedures Anti-Fraud and Corruption Policy Whistle Blowing Policy & Procedure National Fraud Initiative Anti-Money Laundering Procedures Project Plans, business cases and risk registers for each project Performance management system and reports Consultation documents and responses to consultation Community Right to Challenge process Regulation of investigatory Powers Act (RIPA) monitoring procedures and reports Compliance with new and updated legislation expected of Local Government								

Risk 14	Director Customer and Data Insight	Rochford's ICT Estate does not fully support the achievement of the Business Objectives	ICT Infrastructure Roadmap Digital Roadmap Contract and Performance Monitoring processes Lead Officer responsible for ICT Software and Hardware fully understood and managed by key officer(s) within RDC ICT decisions consider council wide issues and support RDC service delivery ICT assets are prioritised based on core functions and maintained Physical security of ICT assets protected Cyber Security controls in place Data loss controls (including Records and Retentions Policy Information Management Policy) Defined procedures in the event of the loss of access Supporting ICT policies and procedures in place Onsite and remote support procedures Partnership with Brentwood BC to provide additional skills and resilience External parties engaged to provide specialist services i.e. Cloud infrastructure, security	2	4	MEDIUM	Following Corporate Management review we are conducting a deeper review into processes, resources and contracts to align these to Business Objectives. Greater Knowledge sharing across the partnership, and further investment in IT training. Peer challenges in approaches, and better leveraging technology investments.	2	4	MEDIUM	Working with the Corporate Management Team and using embedded Business Change Management processes we will continue to improve, update and support the technical infrastructure that creates the technology foundations for service delivery. We will continue to work with our partners to align contracts and services to the changing business needs. Further funding will be sought for key equipment and End User Devices to support Officers in their Service delivery and allow robust security practices to be maintained.
Risk 15	Joint Acting Director of People & Governance	The Council fails to ensure compliance with the General Data Protection Regulations (GDPR) and is unable to demonstrate consistent application of information standards, controls, and statutory compliance.	Relevant Policies and Procedures Roles and Responsibility Training 'Opt In' Consent fully detailed on all relevant paperwork. Internal Compliance Audits	2	4	MEDIUM	Continue to embed the Joint DPO service, raising further awareness of the service and look for efficiencies on process				
Risk 16	Chief Executive Officer at Brentwood Borough and Rochford District Council	The partnership between Rochford District Council and Brentwood Borough Council fails to bring about the project benefits.	Programme appropriately resourced to delivery outcomes Effective governance and monitoring in place Programme delivered within resource skill set Cross Council/services working produces successful delivery of programme Engaged key stakeholders with understanding of the programme, its goals/achievements and good working relationships with external partners at an operational and strategic level Personal/sensitive data appropriately between both Councils Managed change in Senior Responsible Officer (SRO)	2	4	MEDIUM	Continuing Quarterly reports to both Councils providing updates on performance of the transformation project. Financial monitoring in place and this is being reported as part of the MTFS Benefits tracker in place and reported to the Programme Board where the leaders and deputy leaders of both organisations sit. Provides both financial and non financial benefits. Report to One Team Programme Board seeking to move into a further phase of the Transformation programme and implement Road Maps as an alternative to service reviews in order to drive out the required benefits of some of the more difficult services				
Risk 17	Director Assets and Investments	The Asset Delivery Programme partnership fails to bring about the project benefits	Programme appropriately resourced to deliver outcomes Effective governance and monitoring in place Programme delivered within resource skill set Engaged key stakeholders with understanding of the programme, its goals/achievements and good working relationships with external partners at an operational and strategic level Agreed programme review points Managed change in Senior Responsible Officer (SRO) Managed response to partner withdrawing from partnership	3	5	VERY HIGH	The Council is reviewing its partnership.	3	5	VERY HIGH	The Council continues to review the partnership and to carry out the appropriate financial due diligence and risk assessment regarding the asset viability.

Risk 18	Director (Customer & Data Insight)	There is a threat of loss of data or access to network due to cyber attack that may result in digital disruption with a loss of productivity and service provision to residents.	<p>We have a Managed Security Service that includes a Security Operations Centre to monitor cyber threats. Immediate response plans are in place for critical threats, and regular investigation review are held, along with Account contract meetings.</p> <p>Most recent extensive cyber audit provided moderate assurance.</p> <p>Sept 2023 - implementation of a secondary Palo Alto backup Firewall & the introduction of the Janet network resolver service (JNRS) offering an additional light touch web filtering service for malicious content websites. Geo Blocker for remote access in place.</p>	3	5	VERY HIGH	<p>Actively involved in Essex-wide LA cyber partnership, with response framework, sharing intelligence and good practice.</p> <p>Member of regional WARP (Warning, Advice and Reporting Point) to share and receive up-to-date advice on information security threats, incidents and solutions.</p> <p>Improving policies to direct operational resources.</p> <p>Working with commercial partners to continually improve cyber defences</p>	3	5	VERY HIGH	<p>We continue to work with Partners across Essex, sharing best practice and intelligence. Work continues on data protection and recovery and we work with external parties on advice and good practice.</p> <p>We will continue to educate Officers and share information on current threat.</p> <p>We are looking to NCSC and LGA for support and good practice.</p>
Risk 19	Director (Resources)	Vacancies and uncertainty for the Finance service coupled with a lack of available supply undermines the Council's financial management and control	<p>Prioritise financial services that are statutory. Ensure the new finance structure has sufficient resilience. Be prepared to offer enhancements to recruit and retain staff. Post-restructure, develop a plan to recruit to vacancies and maintain resilience.</p>	3	4	HIGH		3	4	HIGH	The consultation on the review of the finance service is scheduled to be complete by the end of June 2024, after which existing staff will be incorporated into the new structure and vacant posts will be filled. Parallel with this, recruitment to the Director of Resources post is aimed to be complete in the summer.
Risk 20	Director of Assets & Investment/ Director of Community and Health	Current leisure operator fails to complete the outstanding delapidations as required from the management agreement for Clements Hall and Rayleigh Leisure Centre which could impact on any new operator as part of the joint leisure procurement. If the works are not undertaken then could fall to the Council or risk closure of the leisure facilities	<p>Regular meeting with current leisure operator. Updated condition survey to highlight priority areas of work. Any new management fee could be negotiated. Legal letter sent to leisure operator requesting update on the delapidation schedule</p>					4	5	VERY HIGH	<p>Considerations to be included as part of any capital programme of works</p> <p>Option analysis of risks and mitigations to be undertaken alongside the impact of the current shadow bids for the leisure procurement.</p>