

ROCHFORD DISTRICT COUNCIL STRATEGIC RISK REGISTER

Risk No.	Risk Owner	Corporate Objective	Risk	Risk Category	Controls and Mitigations	Out of 5 Current Score September 2023			Further Planned Actions	Out of 5 Current Score January 2024					Further Planned Actions
						L	I	S		L	I	S			
Risk 1	Director, Policy & Delivery	Being Financially Sustainable	We fail to deliver the objectives of the Council's Business Plan in terms of measurable outcomes.	Reputation  Effects on Service  People	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	Objectives from Business Plan 2020 -2023 still in place Work beginning on new plan to replace present Business Plan Plan in place to deliver One Team New programme and project management team in place monitoring Rochford projects with services and reporting lines in place through to Exec	2	3	MEDIUM	0.2	7.80	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
Risk 2	Director, Communities & Health	Early Intervention	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.	People  Reputation  Legal/Compliance	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	3	MEDIUM	A new Safeguarding Policy and Procedures was agreed by Members in 2023. Safeguarding Training was delivered to BBC/RDC and Castlepoint Members in November 2023	2	2	LOW	0.2	4.80	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	Early Intervention	There is a serious Food, Environmental or other incident for which the Council is culpable / liable.	Reputation  Effects on Service  Financial & Resources	Premises inspections and actions under Annual Food Safety Service Plan Procedures for response to Food and Environmental complaints and reports	2	4	MEDIUM	Continuation of food inspection programme in line with the Food Standards Agencies requirements and time scales. A new food officer starts in the team on the 1 November this will provide additional resource to meet our statutory functions.	2	4	MEDIUM	0.2	11.20	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.
Risk 4	Director Assets and Investments	Early Intervention	There is a serious Health and Safety incident for which the Council is culpable / liable.	Reputation  Effects on Service  Legal/Compliance	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	3	MEDIUM	The first H&S committee under the one team partnership has been held, with updates scheduled to be presented to audit and scrutiny. The programme of training has been rolled out with officers enrolling on training to prevent H&S incidents.	2	2	LOW	0.2	4.80	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.
				People	Cloud based systems for IT and remote working established				A One Team set of Emergency Plans is being prepared to support CLT in an Emergency. Once agreed it will replace the separate plans						A One Team set of Emergency Plans is being prepared to support CLT in an

Risk 5	Director, Communities & Health	Early Intervention	We fail to respond to, or provide, relevant services in the event of an incident or disaster	Reputation	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	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 now 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.	2	3	MEDIUM	0.2	7.80	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	Maximise our Asset	Council held data is lost, disclosed, or misused to detriment of individuals or organisations as result of inadequate protection	Reputation	Data Protection measures including ICT and Information Security Policies & Procedures Data sharing protocols are in place where information is shared between parties	3	3	MEDIUM					0	0.00	
				Effects on Service	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.										
				Financial & Resources	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.										
Risk 7	Director Policy & Delivery	Enable Communities	Failure to engage with stakeholders to understand and communicate what the Council should be trying to achieve	Reputation		2	4	MEDIUM	Working on a combined Engagement Strategy, this will set out across the organisation the method to engage with stakeholders and what processes need to be followed. This will create a consistent approach  An initial consultation on the Budget has been loaded onto Engagement HQ our new engagement platform. We are monitoring this consultation to see how well it is received and where improvements can be made.  We now have a schedule of consultations for the year	2	4	MEDIUM	0.2	11.20	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 srutiny will be complete by June 2024
				People	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										
				Financial & Resources											
Risk 8	Director, Customer & Data Insight	Being Financially Sustainable	We fail to innovate and develop new ways of meeting customer needs and expectations.	Reputation	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.	2	4	MEDIUM	One Team Service Reviews continue which provide the opportunity to review how services are delivered  PMO implemented to register and monitor delivery of new projects to ensure benefits are realised - continuing to embed this corporately  Joint Service Manager for Customer Services starting 1st November 2023	2	4	MEDIUM	0.2	11.20	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 and Joint Corporate Managers appointed for Customer Services and IT and Digital.
				Effects on Service	"Connect" Programme Rochford's transformation programme #One Team is now the new Transformation Programme for both organisations.										
				Legal/Compliance	Communications of savings and consequences to Members staff residents and clients/service users Equality Impact Assessments Budgetary controls Customer Feedback										
Risk 9	Director Resources (Section 151 Officer)	Being Financially Sustainable	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.	Reputation	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.	2	5	HIGH	A review of reserves brought forward in light of 2022/23 outturn, as well as the 2023/24 budget position, will inform the ability to resource any changed corporate priorities in light of the change in Administration as the MTFS is developed. (No new corporate priorities approved)	2	5	HIGH	0.2	15.00	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.
				Effects on Service											
				Financial & Resources	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 term budget volatility as well as long term financial										
				Legal/Compliance	People Plan - Organisational Development Plan Recruitment policy and procedures Probationary periods				Supporting the reviews across both Councils to ensure job roles and						

Risk 10	Joint Acting Director of People & Governance	Maximise our Assets	Inability to recruit, retain, develop, and manage appropriately skilled staff to deliver the Council's priority outcomes	Reputation	Induction, Training and Development plans Performance Reviews Appraisals OHS referrals	1	4	MEDIUM	supporting the reviews across both Councils to ensure job roles and career pathways are in place. New Values rolled out need to embed behaviours. Review of reward and recognition packages, new website for careers. Introduction of OneYou conversations, digital exit questionnaire to be introduced.	1	4	MEDIUM	0.1	5.60	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.
Risk 11	Director Communities and Health and all Assistant Directors with contract responsibilities	Being Financially Sustainable	Failure to enter into and manage effective contractual relationships and partnerships for the delivery of services and outcomes	Reputation	Clear partnership agreements — covering legal, financial, and operational arrangements Sustainable Commissioning and Procurement Strategy Contract Procedure Rules Specific Contract procedures to prevent risk of challenge to the council and ensure compliance with regulations and relevant law.				Removed from Risk Register				0	0.00	
				Effects on Service	Specific risk analysis for each major contract Contract Terms and Conditions (including Performance Bonds) to prevent risk of challenge to the council and ensure contractor compliance.										
				Financial & Resources	Purchase Order / Quotation Terms and Conditions Clear specification of contract requirements Clear specification of tender award and bid marking criteria Monitoring processes and meetings Equality and diversity impact assessments of contract or										
Risk 12	Director Resources (Section 151 Officer)	Being Financially Sustainable	The Council could fail to provide consistent Value for Money (VFM) across its existing services, or when procuring new services	Reputation	Value for money is ensured through the Sustainable Commissioning and Procurement Strategy	2	4	MEDIUM	The consultation phase of the OneTeam review of Procurement is in progress.	2	4	MEDIUM	0.2	11.20	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.
				Effects on Service	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.										
				Financial & Resources	Internal Audit Reports consider value for money as part of most audits.										
Risk 13	Joint Acting Director of People & Governance	Being Financially Sustainable	Failure to ensure good governance of the Council's activities and delivery of its priorities.	Reputation	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	2	4	MEDIUM	The Council has resolved to move to a committee style of governance from May 2024. The Constitution Working Group will consider the committee structure and terms of reference alongside the Monitoring Officer to ensure that the governance arrangements are sound.				0	0.00	
				Financial & Resources	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										
				People	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										
				Reputation	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 BNC				Knowledge based articles continue to grow across the technical estate						



[illegible]