## 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	1	s		L	1	s		
Risk 1	Director, Policy & Delivery		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	MEDIUI	A 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, meassure 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 &	Early Intervention	There is a serious Food, Environmental or other incident for which the Council is culpable / liable.	Reputation  Effects on Service	Premises inspections and actions under Annual Food Safety Service Plan Procedures for response to Food and Environmental complaints	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	2	4	MEDIU	A 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
	Health		cuipable / liable.	Financial & Resources	and reports			a	additional resource to meet our statutory functions.					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.
				Reputation	Health & Safety Co-ordinators (HSCs) / Fire Marshals (FMs) and									
	Director Assets and Investments	Early Intervention	There is a serious Health and Safety incident for which the Council is culpable / liable.	Effects on Service	First Alders 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 H	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 thorughout 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.
				Legal/Compliance										
				People	Cloud based systems for IT and remote working established				A One Team set of Emergency Plans is being prepared to support LT in an Emergency. Once agreed it will replace the seperate plans					IA 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  Effects on Service	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 M 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.	
			Reputation	Data Protection measures including ICT and 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					
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	Effects on Service	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.	3	3	MEDIUM	м	
			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.					
			Reputation	Consultation programmes involve Members, Residents,				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 has information and drraft guidance and will be scrutinised by lead members.	
Risk 7	Director Policy & Delivery	Failure to engage with stakeholders to Enable Communities understand and communicate what the Council should be trying to achieve	People	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	2	4	MEDIUM	approach  M 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 this consultation to see how well it is received and where	nent and how we consult with stakeholders has been requested to be ted by a member. This will go before the 0 & S Cttee for approaval as if work. This will involve the scrutiny of the emerging engagement of Committee in March and work on the Strategy and its srutiny will be
			Financial & Resources	and other proposals				improvements can be made.  We now have a schedule of consultations for the year  Will go to Committee in March and work on the Strategy and its srutiny will complete by June 2024	
				Monitoring of Government announcements on public spending	· · · · · ·				
			Reputation	levels Staff involvement in cultural change e.g., Key Change Champions, staff consultation and innovation workshops, Connect Programme and #OneTeam Project Team.				One Team Service Reviews continue which provide the opportunity to review how services are delivered  One Team roadmaps to be implemented to review how services are delivered	red
Risk 8	Director, Customer & Data Insight	Being Financially Sustainable We fail to innovate and develop new ways of meeting customer needs and expectations.	Effects on Service	#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.	2	4	MEDIUM	PMO implemented to register and monitor delivery of new projects M to ensure benefits are realised - continuing to embed this  2 4 MEDIUM 0.2 11.20 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 Digit	e realised and
			Legal/Compliance	Communications of savings and consequences to Members staff residents and clients/service users Equality Impact Assessments Budgetary controls Customer Feedback				Joint Service Manager for Customer Services starting 1st November 2023	
		Failure to ensure financial sustainability for the Council. This includes the requirement to set a balanced budget	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					
Risk 9	Director Resources (Section 151 Officer)	and Medium Term Financial Strategy Being Financially (MFFS) 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	Effects on Service	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		A review of reserves brought forward in light of 2022/23 outturn, as well as the 2023/25 Budget and 2024 - 29 MTFS approved 20 February 2024. This enable the production of detailed budgets for distribution to budget holder resource any changed corporate priorities in light of the change in Administration as the MTFS is developed. (No new corporate priorities approved)  The 2024/25 Budget and 2024 - 29 MTFS approved 20 February 2024. This enable the production of detailed budgets for distribution to budget holder enable the production of detailed budgets for distribution to budget holder enable the production of detailed budgets for distribution to budget holder or provide a briefing on the Budget and its implications, as well as planned act over the medium term to ensure delivery of the MTFS.	dget holders. A n 2024 to
		budget on track in-year, and delivery of the Council's Capital Programme.	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				Summertion the randowe arrose both Councile to encure inh 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  Effects on Service	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	supporting the reviews across both countries to ensure jour roles and career pathways are in place. New Values roled 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. Reruitment and Selection policy being reviewed as well as process to ensure these are effective when recruiting and onboarding to roles.
	<del>Director</del>			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					
Risk 11	Communities and Health and all Assistant Directors with	Being Financially Sustainable	Failure to enter into and manage effective contractual relationships and partnerships for the delivery of services and outcomes.	Effects on Service	council and ensure compiliance with regulations and relevant- law- specific risk analysis for each major contract Contract Terms and Conditions (including Performance Bonds) to prevent risk of hallenge to the council and ensure contractor	=		Removed from Risk Register		0 0.00
	contract- responsibilities-			Financial & Resources	compilance.  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-					
				Reputation	Value for money is ensured through the Sustainable Commissioning and Procurement Strategy					
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	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.	2 4	4 MEDIUM	The consultation phase of the OneTeam review of Procurement is in progress.		The Procurement OneTeam review is complete and implemented. A newly arising vacancy in one of the two Senior Procurement Officer posts is subject to review in early 2024/25.
				Financial & Resources	Internal Audit Reports consider value for money as part of most audits.					
				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					
Risk 13	Joint Acting Director of People & Governance	Being Financially Sustainable	Fallure to ensure good governance of the Council's activities and delivery of its priorities.	Financial & Resources	Annual Governance Statement (AGS) and allied assurance framework Purchasing procedures Legally compliant tendering procedures Anti-Fraud and Corruption Policy Whiste Blowing Policy & Procedure National Fraud Initiative Anti-Money Laundering Procedures Project Plans, business cases and risk registers for each project	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
				People	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			Knowledge based articles continue to grow across the technical estate		

Risk 14	Director Customer and Data insight	Maximise our Assets	Rochford's ICT Estate does not fully support the achievement of the Business Objectives	Effects on Service  Financial & Resources	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	Joint helpdesk is live and further adoption of ITIL Framework is intended to include Incident, Problem, Change & Project management  Performance dashboard in development to report suite of data produced by the helpdesk  Continue to streamline processes across BBC & RDC IT teams, offering support and resilience, and increasing officer skills through shared knowledge and collaboration	2	4	Following Corporate Management review we are conducting a deeper review into processes, resoruces and contracts to align these to Business Objectives.  MEDIUM 0.2 11.20 Greater Knowledge sharing across the partnership, and further investment in IT training.  Peer challenges in approaches, and better leveraging technology investments.
Risk 15	Director, Customer & Data Insight		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.	Reputation Financial & Resources	Relevant Policies and Procedures Roles and Responsibility Training 'Opt In' Consent fully detailed on all relevant paperwork. Internal Compliance Audits	2	4	MEDIUM	Joint DPO from Evalian has been appointed to cover the Data Protection Officer over both Councils.	2	4	MEDIUM 0.2 11.20 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	Being Financially Sustainable	The partnership between Rochford District Council and Brentwood Borough Council falls to bring about the project benefits.	Reputation  Effects on Service  Financial & Resources	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	Ongoing and continual review of the progress of the service reviews Review Financial outcomes against expected outcomeSeeking Peer Review to gain an insightful view of the partnership and how it works for both organisation	2	4	Continuing Quarterly reports to both Councils providing updates on performance of the transfrmation project.  Financial montoring in place and this is beinmg reported as part of the MTFS  Benefits tracker in place and reported to the Programme Board where the leaders and deptuy leaders fo 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 benfits of some of the more difficult services
Risk 17	Director Assets and Investments	Being Financially Sustainable	The Asset Delivery Programme partnership fails to bring about the project benefits	Reputation  Effects on Service  People	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		3	5	VERY HIGH 0.3 22.50 The Council is reviewing its partnership.
Risk 1	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.	Effects on Service  Financial & Resources	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.  Most recent extensive cyber audit provided moderate assurance.	3	5	VERY HIGH	Annual Pen test conducted 11 <sup>th</sup> – 15 <sup>th</sup> September & separate IT Security review completed with Audit & Security team at Basildon. Cyber Security Courses booked for ICT team in 2023/2024. Conlituue to adopt best practice, working alongside BBC, EDP & NCSC.  Cyber roadshows being delivered by Essex Police October 2023. Backun storage solutions to be prioritised on completion of	3	5	Actively involved in Essex-wide LA cyber partnership, with response framework, sharing intelligence and good pratice.  Weens of regional WARP (Warning, Advice and Reporting Point) to share and receive up-to-date advice on information security threats, incidents and solutions.

	Reputation	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.		Sharepoint Migration is Open Principles on Chipmeton of Sharepoint Migration in Sept 2023. Immutable solutions will be favoured ensuring that data cannot be altered in any way. This is an additional measure that will protect against ransomware attacks or other data loss.  Q2 phishing campaign conducted		Improving policies to direct operational resources.  Working with commercial partners to continually improve cyber defences
Risk 19					0	0.00