

ROCHFORD DISTRICT COUNCIL STRATEGIC RISK REGISTER

Risk No.	Risk Owner	Risk	Controls and Mitigations	Out of 5 Previous Score Aug 2024			Further Planned Actions	Out of 5 Current Score Nov 2024			Further Planned Actions
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Risk 1	Director, Policy & Delivery	We fail to deliver the objectives of the Council's Corporate Strategy 2024 - 2028 in terms of measurable outcomes.	Corporate Strategy 2024 -2028 agreed and supported by Medium Term Financial Strategy (MTFS) Key Themes identified key priorities under each themes identified Agreed budgets for work projects 2024/2025 Project plans and progress monitoring tools developed Project Management Support, training and development being established further in 2025	2	3	MEDIUM	New Business Plan now referred to as Corporate Strategy to go before Committee at Rochford in September for approval. Consultation on the approved plan alongside budget survey to be undertaken in autumn 2024 to determine any changes from 2025 onwards Accepted as alive document and will be consulted on each year in the Autumn Working with Members prior to Committee to ensure all parties happy Working on Performance Measures and agreed where to report to ensure the strategy does deliver.	2	3	MEDIUM	Corporate Strategy 2024 -2028 approved at Committee Corporate Strategy and Budget Consultation undertaken in Oct/Nov 2024 Information from Consultation to feed the Corporate Plan to be updated in Feb 2025 and the Budget Priorities for the long term themes are being developed to creat programme of work through to 2028 and beyond
Risk 3	Director, Communities & Health	Unable to recruit and retain suitably skilled staff to carry out the Councils statutory obligations in terms of its Food Hygiene, Health and Safety, Environmental Protection and Private Sector Housing.	The service has a detailed service plan and operating procedures that new staff or contactors can follow to ensure a consistance service is provided.	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 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.	2	4	MEDIUM	Designing new structure that will include trainee positions to enable the service to 'grow their own' talent. This will take time to reduce the risk as qualifications will be required.
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.	2	3	MEDIUM	Work underway to replace current Emergency Planning arrangements with new One Team response to emergencies, including the recruitment of Emergency Officers. Service Business Continuity plans are being written to a revised format (completed end November 2024). The new plan will then be exercised. Working with the CMT to provide out of hours information to the CCTV Room. Working to cordinate our response with partners and compiling joint plans through the Essex Resilience Forum
Risk 6	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		3	3	MEDIUM	A number of working groups have been established in terms of data protection, information governance and cyber security. A resource is now in place from Evalian to work with key officers and review the policy and support the requirements of the action plan, which will include third parties. Cyber Security e-learning is scheduled to be rolled out to all officers to complete

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	2	LOW	Consultation and Engagement Tool continues to be developed and expected to go to Committee in Aumn 2024 for approval Consultation and Engagement Calendar has been developed and updated monthly at CMT to ensure we can plan in any work. Will be renewing licence for the Engagement Platform engage with us to ensure a consitent approach across the councils	2	2	LOW	Consultation and engagement strategy to go to Committee in early 2025 for approval. Continued Development of Comms Plan to include yearly consultation plan Continued use of Engagment HQ Software to co-ordintate and improve our consultation performance Developing work to ensure information gathered in consultations is fed back
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 term budget volatility as well as long term financial planning.	2	5	HIGH	The 2023-24 outturn position was favourable, enabling proposals to add to reserves to enhance the council's financial sustainability, which will be presented to Council for approval in October. The capital programme is subject to review with the intention of addressing the inherent funding shortfall in the programme approved in February 2024. This will be approved by Council in October.	2	5	HIGH	There was a substantial underspend in 2023-24 and currently a £300k forecast underspend in 2024-25. A more granular forecast will be produced and reported in November. The 2025-26 Budget and 2025-30 Medium Term Financial Strategy will ensure financial sustainability. Revised Financial Regulations will be reported to committee in December.
Risk 10	Director of People & Governance	Inability to recruit, retain, develop, and manage appropriately skilled staff to deliver the Council's priority outcomes	People & Culture Strategy and action plan Recruitment policy and procedures Probationary periods Induction, Training and Development plans one you conversations 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	3	LOW		1	3	LOW	Work is continuing to ensure effective policies and procedures are in place in terms of recruitment and onboarding. Regular meetings are now in place with Corporate Manager with HRBP's to ensure more effective workforce planning. Also working on a key piece of work in terms of establishment control with Finance.
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 Contract Procedure Rules are close to finalisation and subject to quality control checks, with the aim of finalisaton in q3. The way in which procurement is resourced is being explored in conjunction with partners. We are in the final steps of securing our medium term procurement arrangements and this will be updated when confirmed.	2	3	MEDIUM	Updated Contract Procedure Rules will be reported to committee when fully reviewed and completed. Procurement services will be provided in a different way in future, which will be reported once in place.

Risk 13	Director of People & Governance	Failure to ensure good governance of the Council's activities and delivery of its priorities.	<p>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</p>					3	3	MEDIUM	A number of working groups have been established one of which is Information Governance. A review of IG will be undertaken by an external company Advent and will report back to IG Group
Risk 15	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.	<p>Relevant Policies and Procedures Roles and Responsibility Training 'Opt In' Consent fully detailed on all relevant paperwork. Internal Compliance Audits</p>	2	3	MEDIUM	Futher work is been undertaken with the Corporate Manager - Transformation, Policy, Funding and Performance and Data Protection Officer. A action plan is in place and extra resource from Evalian have been requested to review policy.	2	3	MEDIUM	A number of working groups have been established in terms of data protection, information governance and cyber security. A resources is now in place from Evalian to work with key officers and review the policy and support the requirements of the action plan. GDPR e-learning has been rolled out to all officers to complete
Risk 16	Director, Policy & Delivery	The partnership between Rochford District Council and Brentwood Borough Council fails to bring about the project benefits.	<p>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)</p>	3	4	HIGH	<p>Moved past service reivews and services developing a three year programme of change through Transformation Plans. Transformation plans will enable the allocation of resources to enable structured and measured change to bring about the benefits of One Team Work continues to identify opportunities to align services or processes for example procurement opportunities like those for the leisure servies. Alignment of working arrangements continue to be harmonised across both councils enabling greater connectivity and use of space between the two authorities The EELGA are undertaking a review of the Transformation Programme to identify further opportunities and direction of the programme to deliver further benefits.</p>	3	4	HIGH	<p>Continue to develop up 36 month Transformation Plans Work up resources to match the 36 month plan Continue to work through other transformation projects that arise Re[ort on the EELGA Findings to committee Develop joint Member summit to consider development of One Team, Transformation, other Joint Working and future operating model on the back of the EELGA Report</p>

Risk 17	Director Assets and Investments	The Asset Delivery Programme partnership fails to bring about the project benefits	<p>Programme appropriately resourced to deliver outcomes</p> <p>Effective governance and monitoring in place</p> <p>Programme delivered within resource skill set</p> <p>Engaged key stakeholders with understanding of the programme, its goals/achievements and good working relationships with external partners at an operational and strategic level</p> <p>Agreed programme review points</p> <p>Managed change in Senior Responsible Officer (SRO)</p> <p>Managed response to partner withdrawing from partnership</p>	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.	1	5	MEDIUM	<p>After careful consideration of various factors including the national economic situation and changes that have impacted local authorities delivery of regeneration projects, which have led to the programme in its current form becoming unviable for both parties, it has been mutually agreed that the project would not progress. Therefore, on 25 October 2024, Rochford District Council and GB Partnerships (Rochford) Limited reached a mutual decision to terminate the contract. Therefore the risk will be removed from the risk register. The Council will bring forward individual business cases on each asset for member decision.</p> <p>Both parties maintained a good working relationship throughout the project and a commercial settlement of £675k to GB Partnerships, to reflect their spend on the projects to date in obtaining planning permission which have added value to the council owned sites, was agreed upon to bring the project to a close.</p>
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</p>	3	5	VERY HIGH	<p>A Joint Cyber working Group has been initiated with specific Aims and Objectives to oversee and advise on the current cyber and data security risk landscape, and link with DR, IT change management, and business continuity planning.</p> <p>Membership of the group will be key senior officer from CLT, CMT and subject matter experts</p>	3	5	VERY HIGH	The joint Cyber Group has held its first meeting (30 Oct 24) and will be developing an action plan to enhance cyber security, improve staff and member awareness of the risks and build on response plans through a formal exercise.
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.</p> <p>Ensure the new finance structure has sufficient resilience.</p> <p>Be prepared to offer enhancements to recruit and retain staff.</p> <p>Post-restructure, develop a plan to recruit to vacancies and maintain resilience.</p>	2	4	MEDIUM	A permanent appointment to the S151 Officer post has been made, with a start date of 5 November 2024. Some vacant posts have been filled internally and remaining permanent recruitment will be complete in the autumn.	2	3	MEDIUM	A permanent appointment to the S151 Officer post has been made, with a start date of 5 November 2024. Some vacant posts have been filled internally and remaining permanent recruitment will be complete in the autumn.
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.</p> <p>Updated condition survey to highlight priority areas of work.</p> <p>Any new management fee could be negotiated</p> <p>Legal letter sent to leisure operator requesting update on the delapidation schedule</p>	2	4	MEDIUM	The Leisure Procurement has progressed after the Standard Selection Questionnaire (SSQ) were evaluated, selected bidders were invited to Submit Initial Tender (ISIT). The Council has received three high quality bids from reputable well established national operators with over 20 years' experience in managing local authority leisure facilities. The Council is meeting fortnightly with its current operator to discuss program of works, in some cases warning notices have been issued under the contract so that outstanding work is completed on time. The Council is also reprofiling its capital programme to allocate funds for the dilapidation works, under the new contract there is shared risk on the leisure centres and the funds allocated (subject to full council approval) gives certainty to the new leisure operators when finalising their final bids.	2	4	MEDIUM	<p>Plans are in place for the end of the current leisure contract to cover all eventualities.</p> <p>Contract reaching final stages of procurement with strong bids from operators. Decision is scheduled RDC in December. Given the strong bids and positive clarification meetings, the risk will reduce in terms of Members approving the successful bid.</p>
Risk 21	Director (Housing)	Increase in numbers approaching as Homeless resulting in lack of available Temporary Accommodation to be able to fulfill Statutory Homeless Duties		2	3	MEDIUM	Accommodation officers are seeking to increase the number of landlords in the private sector to access properties for use as nightly let accommodation in addition to securing properties to discharge the Council's homeless duties.	2	3	MEDIUM	Work is already underway to continue to engage with Landlords in the Private Sector to secure access to properties to discharge the Council's homeless duties via the rent deposit scheme. We are intending to develop a Temporary accommodation strategy to look at options to increase temporary accommodation options

Risk 22	Director (Environment)	Failure to develop a Sustainability strategy and action plan due to lack of engagement with communities and businesses will result in the Council actively contributing to climate decline	Alignment between Corporate Plan and Sustainability Strategy targets allows regular meeting with Chair of C&E Committee to discuss and keep on track key projects.	2	3	MEDIUM	Continuation on the delivery of Corporate objectives that are reflective of the Sustainability Strategy. A review of the Environment Strategy and early consideration of next years service plan to identify ways in which the Climate Score card score can be improved.	3	3	MEDIUM	Continuation on the delivery of Corporate objectives that are reflective of the Sustainability Strategy. A review of the Environment Strategy and early consideration of next years service plan to identify ways in which the Climate Score card score can be improved.
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