
REVIEW OF THE COUNCIL'S RISK REGISTER 2022/2023

1 PURPOSE OF REPORT

- 1.1 This report presents a six-month review of the Council's Risk Register (CRR) for 2022/2023 for Audit Committee's consideration.

2 INTRODUCTION

- 2.1 The last update was presented to Audit Committee in December 2021 when the updated 2021/2022 CRR was noted.

3 THE CORPORATE RISK REGISTER FOR 2022/2023

- 3.1 The summary 2022/2023 CRR is included at **Appendix 1**.
- 3.2 All the key risks faced by the Council are presented, together with the controls in place to mitigate these risks and an assessment of whether each is considered High, Medium, or Low Risk. Each of the risks listed in the summary is supported by a fuller risk analysis that is available on request.
- 3.3 The CRR is also supported by Service Area Risk Registers (SARRs) owned by each Assistant Director that identify the risks and mitigation controls which apply to each of the Council's service areas. They form part of a continual review and are monitored as part of the CRR review at Leadership Team meetings. The SARRs are also available on request.
- 3.4 As part of the 2022/2023 Internal Audit programme, an assessment of risk management is embedded within relevant audits undertaken. Tests seek to confirm that controls are in place and are operating well to mitigate the risk. A particular area of focus will be the new Contract Risk Register process. Service Area Risk Registers will be considered as part of relevant full audits.

4 Six Month review of the Corporate Risk Register

- 4.1 The risks on the Corporate Risk Register cover both day-to-day operations and the new projects and initiatives required to achieve the Business Plan.
- 4.2 Findings from internal audits will be reflected in the Corporate and/or Service Risk Registers as appropriate.
- 4.3 Members raised four main points at the December 2021 Audit Committee:
- Queries around the subjectiveness of risk scoring, and the suitability of the risk scoring matrix. This will be considered as part of the planned review of the Council's overall corporate risk framework, which is intended to be carried out jointly with Brentwood Borough Council (BBC) as part of the #OneTeam Transformation programme.

- A request for further assurance around risks that remain assessed as High after mitigating actions. This forms part of the overall risk management process with risks that remain High being actively monitored and further steps taken where possible to mitigate these.
- A query as to why no risks are scored as Low. It was explained that if a risk score is low then it was unlikely to warrant inclusion on the corporate risk register.
- Cyber Security Insurance – following member queries and discussion with the Council's insurance broker, a request for Cyber Security cover has been included within the current insurance renewal process to understand the options available, and associated cost, so that a further judgement can be made.

4.4 Since the December 2021 Audit Committee, Leadership Team have conducted two Quarterly Business Review meetings which considered the summary Corporate Risk Register, with a focus on High risks and Poor controls. Leadership Team also undertook a full review of the following risks between April and July 2022:

- Risk 1 (Business Plan) – minor wording updates
- Risk 4 (Incident Response) – minor wording updates
- Risk 5 (Data) – minor wording updates
- Risk 8 (Innovation) – minor wording updates
- Risk 9 (Balanced Budget) – minor wording updates
- Risk 10 (Inability to recruit / retain) – minor wording updates
- Risk 12 (Value for Money) – minor wording updates
- Risk 13 (Governance)
- Risk 14 (ICT) – minor wording updates

4.5 Risks with minor wording updates are mainly related to the removal of specific references to COVID-19 as this is now incorporated into Business as Usual and the update/transfer of risks to new owners as part of the #OneTeam Transformation project.

4.6 A new risk, Risk 16 (#OneTeam) have been added to the Corporate Risk Register to reflect the #OneTeam Transformation Project. The risk has Good controls and is rated overall as a Medium risk given the early stages of the programme. It will be monitored regularly and will be reported as part of the Councils Risk Register reports to Audit Committee.

- 4.7 The remaining risks on the Corporate Risk Register will be reviewed over the next six months along with any emerging issues.

5 Areas with ‘High’ Residual Risk

- 5.1 Risk 3b (Health and Safety) remains High, progress has been made since last reported to Audit Committee in terms of increasing controls in place including policies and procedures; however, further assurance is still required around consistent application across the Council.
- 5.2 Risk 9 (Balanced Budget) remains High, in light of the financial risks currently facing the Council. These are common across most Local Authorities but will need to be actively managed and addressed by the Council as part of its budget setting and MTFs process in order to ensure financial sustainability for the authority
- 5.3 Risk 10 (Inability to recruit/retain) remains High, due to the underlying risks facing the Council as a small council which has to compete with larger local authorities and the private sector to recruit and retain staff; as well as the specific risks associated with the #OneTeam Transformation Programme, however measures are in place to manage this risk via the Council’s People Plan and other mitigating actions as detailed in the CRR.

6 EMERGING ISSUES

- 6.1 An emerging area for consideration is the Levelling Up White Paper, published in February 2022, which is linked to the UK Shared Prosperity Fund, a fund to support mainstream employment and skills provision. Work continues to ensure that the CRR reflects this work as it progresses.
- 6.2 The impact of the situation in Ukraine, may have wider ramifications in terms of supply chain issues and cyber security.
- 6.3 The impact of national and global events on inflation rates and the associated impact of increased cost of living are being monitored and reflected in relevant risk registers.
- 6.4 The proposed “Protect Duty” aims to create a culture of security, with a consistency of application and a greater certainty of effect. The proposals target venues, organisations, businesses, local authorities, public authorities, and individuals who own or operate at publicly accessible locations’. Work continues to ensure that the CRR reflects this work as it progresses.

7 WIDER RISK UPDATE

- 7.1 For each individual Service Area, risks and actions are monitored with formal reviews taking place every six months.

7.2 For each individual Contract deemed Medium to High risk, specific risk logs and actions are monitored as part of the contract monitoring process. These will change as the contracts evolve.

7.3 For each individual Project, specific risk logs and actions are monitored within the project documentation. These will change as the projects evolve.

8 RISK IMPLICATIONS

8.1 Management of risk is fundamental to the sound operation of the Council. Failure to manage risk could have significant impact on the Council's ability to correctly define its policies and strategies or deliver against its objectives.

8.2 The implementation and operation of the Risk Management Framework will minimise risks and thus mitigate any potential strategic, operational, reputational, or regulatory consequences.

8.3 Failure to manage risk would also mean that the Council might face, censure by its External Auditors, or the potential for legal proceedings in the event of breaches of the Health and Safety at Work Act or similar legislation.

9 ENVIRONMENTAL IMPLICATIONS

9.1 None.

10 RESOURCE IMPLICATIONS

10.1 All risk management activity is undertaken within existing planned budgets.

11 LEGAL IMPLICATIONS

11.1 The Council's Risk Management Policy and Framework will assist in meeting any specific and general legislative requirements to monitor and manage its risks.

11.2 No new formal delegations are created by the Policy and Framework.

12 EQUALITY AND DIVERSITY IMPLICATIONS

12.1 None as there is no decision being made.

13 RECOMMENDATION

13.1 It is proposed that the Committee **RESOLVES**

That the content of the Corporate Risk Register for 2022/2023 be noted.



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Background Papers: -

None.

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Corporate Risk Register 2022 / 23

Risk Assessment Options:

Quality of controls

Poor	indicates no controls in place or the few that are do not mitigate the risk.
Fair	indicates that some controls in place and some reduction in risk but still not adequate.
Good	indicates that controls in place are considered adequate and reduce the risk.
Excellent	indicates that effective controls are in place that reduces the risk considerably.

Review Frequency Options:

- Risks should be reviewed regularly (typically quarterly) by the Leadership Team and relevant service areas.
- Risk analyses should be updated accordingly with the full Risk Register revised at least bi-annually.

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Part 1: Corporate Risks Dashboard

Corporate Risks	Potential Impacts												Residual Likelihood	Residual Impact	Residual Risk	
	Safeguarding	Reputational Damage	Service Disruption	Impaired Performance	Ineffective partnerships	Health and Safety	Staff Morale	Missed Opportunities	Financial costs / losses	Asset loss or damage	Contract breaches	Ineffective leadership				External Intervention
1 – We fail to deliver the objectives of the Council’s Business Plan in terms of measurable outcomes.		✓	✓	✓			✓	✓	✓			✓	✓	2	3	M
2 – There is a failure to safeguard children and adults with care and support needs from abuse and / or neglect in line with the Council’s legal responsibilities.	✓	✓					✓						✓	2	4	M
3a – There is a serious Food, Environmental or other incident for which the Council is culpable / liable.		✓	✓						✓	✓			✓	2	4	M
3b – There is a serious Health and Safety incident for which the Council is culpable / liable		✓	✓			✓			✓	✓			✓	3	4	H
4 – We fail to respond to, or provide, relevant services in the event of an incident or disaster.		✓	✓										✓	3	3	M
5 – Council held data is lost, disclosed, or misused to detriment of individuals or organisations as result of inadequate protection.		✓	✓	✓					✓		✓		✓	3	3	M
7 – Failure to engage with stakeholders to understand and communicate what the Council should be trying to achieve.		✓			✓		✓	✓	✓			✓		2	3	M
8 – Failure to innovate and develop new ways of meeting customer needs and expectations.		✓	✓	✓			✓	✓				✓	✓	2	3	M
9 – Failure to ensure financial sustainability for the Council..		✓		✓			✓	✓	✓		✓		✓	3	4	H
10 – Inability to recruit, retain, develop, and manage appropriately skilled staff to deliver the Council’s priority outcomes.	✓	✓	✓	✓			✓		✓					4	4	H
11 – Failure to enter into and manage effective contractual relationships and partnerships for the delivery of services and outcomes.		✓	✓	✓	✓						✓			3	3	M
12 – The Council could fail to provide consistent Value for Money (VFM) across its existing services or when procuring new services.		✓	✓	✓					✓		✓			2	3	M
13 – Failure to ensure good governance of the Council’s activities and delivery of its priority outcomes.		✓					✓		✓	✓		✓	✓	2	3	M

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14 – Failure to ensure Rochford’s ICT Estate supports achievement of Business Objectives.		✓	✓	✓			✓	✓	✓		✓			4	3	M
15 – 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.		✓					✓		✓					2	4	M
16 – NEW RISK: The partnership between Rochford District Council and Brentwood Borough Council fails to bring about the project benefits.		✓	✓	✓	✓		✓		✓					3	3	M

Part 2: Summary of Corporate Risks

Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
1 – We fail to deliver the objectives of the Council’s Business Plan in terms of measurable outcomes.	Chief Executive for Rochford DC and Brentwood BC	<ul style="list-style-type: none"> • Failure to refine strategic objectives to identify what is to be achieved • Failure to articulate realistic business delivery plans • Failure to allocate sufficient resource and manage key programmes of work effectively • Failure to manage performance effectively 	<ul style="list-style-type: none"> • Business Plan agreed and supported by Medium Term Financial Strategy • Key programmes of work defined • Plans identify key priorities for service delivery • Agreed budgets set for work programmes and projects • Project Plans and Progress Monitoring tools with Project Risk Registers • External project management resource 	Good	2	3	Med

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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
			supporting key Connect Transformation processes				

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<p>2 – There is a failure to ensure the safeguarding of our children and adults in the district in line with the Council’s legal responsibilities.</p>	<p>Safeguarding Lead Officer with support from the Deputy Lead Officer – Assistant Director – People and Communities</p>	<ul style="list-style-type: none"> • Children or adults with care and support needs put at risk of abuse • Children or adults with care and support needs suffer harm or abuse • Staff at risk of false accusations • Reputational damage • Financial damage • External intervention in the running of the Council as a result of safeguarding incidents 	<ul style="list-style-type: none"> • Safeguarding Policy and Procedures • DBS checks in recruitment processes • Attendance at safeguarding lead officers’ network • Attendance at multi-agency South Essex Stay Safe Group • Engagement with relevant subgroups of the Safeguarding Boards • Dedicated Safeguarding Officer Project Team to achieve and maintain 90%+ compliance with the Essex Safeguarding Boards’ set standards • Designated Safeguarding Link Officers across the organisation • Staff and Member training programmes • Compliance with all relevant guidance 	<p>Good</p>	<p>2</p>	<p>4</p>	<p>Med</p>
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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
3a – There is a serious Food, Environmental or other incident for which the Council is culpable / liable.	Assistant Director – People and Communities	<ul style="list-style-type: none"> • Failures within of our Food Safety Inspection regimes give rise to serious incidents with potentially fatal or life changing consequences • Unacceptable Food Safety Return to FSA leads to service intervention • Environmental pollution or nuisance issues are not addressed • Corporate manslaughter charges 	<ul style="list-style-type: none"> • Annual Food Safety Plan • Response procedures for Environmental Health complaints and reports • Joint enforcement plans to be established for significant problem sites with RDC planners, the HSE and / or the Environment Agency 	Good	2	4	Med
3b – There is a serious Health and Safety incident for which the Council is culpable / liable.	Assistant Director – Assets and Commercial	<ul style="list-style-type: none"> • Failures within of our H&S regimes give rise to serious incidents with potentially fatal or life changing consequences • Internally we could fail to meet obligations under the Health & Safety at Work and Fire Safety Acts and allied Regulations • Corporate manslaughter charges 	<ul style="list-style-type: none"> • Health & Safety Co-ordinators (HSCs) / Fire Marshals (FM's) and First Aiders in place, supported with training • Risk Assessments (for staff and contractors) and Safety Procedures • Annual Corporate Health and Safety Plan 	Fair	3	4	High

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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
			<ul style="list-style-type: none"> • Internal Health and Safety Assessments and Reviews • Joint enforcement plans to be established for significant problem sites with RDC planners, the HSE and / or the Environment Agency • Health and Safety officer group • Health and Safety Officer attendance at service area meetings • COVID-19 Restoration Project 				
4 – We fail to respond to, or provide, relevant services in the event of an incident or disaster.	Assistant Director – Assets and Commercial	<ul style="list-style-type: none"> • Loss of internal or public IT services • Loss or reduction in operational capacity • Inadequate response to civil / weather emergencies • Failure to respond to unauthorised or illegal 	<ul style="list-style-type: none"> • Cloud based systems for IT and remote working established • Attendance at Essex Resilience Forum • Emergency Plans and Business Continuity Plans – regularly tested and reviewed. 	Good	3	3	Med

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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
		incursions, encampments, or events	<ul style="list-style-type: none"> • Out of hours (OOH) response arrangements. • Essex Countrywide Traveller Committee Partnership Agreement • Work conducted on joint plans with partners including COVID-19 impacts. • Review of building security 				
5 – Council held data is lost, disclosed, or misused to detriment of individuals or organisations as result of inadequate protection.	Section 151 Officer (SIRO)	<ul style="list-style-type: none"> • Key operational, commercial, or personal data is lost, disclosed, or misused. • Increased risk of loss or disclosure when data is transferred between supply chain partners. • Residents or customers interests put at risk • Commercial or partnership relationships put at risk • Consequential damage claims 	<ul style="list-style-type: none"> • Data Protection measures including ICT 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) 	Good	3	3	Med

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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
		<ul style="list-style-type: none"> • Information Commissioner investigations or penalties • Reputational damage • Incorrect decisions made as the result of poor quality, or poorly interpreted, data • Failure to disclose appropriately where required 	<ul style="list-style-type: none"> • Information Security Policies • Compliance with the Transparency Code and Freedom of Information • Data quality checks • Review of software systems compliance with GDPR 				
7 – Failure to engage with stakeholders to understand and communicate what the Council should be trying to achieve.	Chief Executive for Rochford DC and Brentwood BC	<ul style="list-style-type: none"> • Council is unaware of stakeholder’s concerns, needs or ambitions • Lack of a clear vision for the future • Failure to respond to the Devolution agenda 	<ul style="list-style-type: none"> • 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 	Good	2	3	Med

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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
			service changes and other proposals				
8 – We fail to innovate and develop new ways of meeting customer needs and expectations.	Chief Executive for Rochford DC and Brentwood BC	<ul style="list-style-type: none"> • Council fails to respond to changing circumstances or needs in a sustainable way • Services fail and / or are taken over • Ineffective use or understanding of Council asset base 	<ul style="list-style-type: none"> • Staff involvement in cultural change e.g., Key Change Champions, staff consultation and innovation workshops, Connect Programme and #OneTeam Project Team. • “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 	Good	2	3	Med

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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
			<ul style="list-style-type: none"> • Project Risk Registers and Equality Impact Assessments • Lessons Learned used to inform the Connect Programme and the COVID-19 Restoration project • Budget Review Workshops • Customer Feedback 				
<p>9 – 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.</p>	<p>Section 151 Officer</p>	<ul style="list-style-type: none"> • Ongoing impacts of COVID-19 on the MTFS including potential reduction in income streams and/or increased demand for services • The Council is not able to set a balanced budget in line with its statutory duties • The Council reserves and balance levels are unsustainable in the event of an unforeseen contingency requirement 	<ul style="list-style-type: none"> • Robust Medium-Term Financial Strategy (MTFS) process linked to Business Plan objectives • Robust budgetary monitoring, control, and analysis • Quarterly financial monitoring reports to the Executive supplemented with additional information, such as COVID-19 	<p>Good</p>	<p>3</p>	<p>4</p>	<p>High</p>

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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
		<ul style="list-style-type: none"> • The Council cannot deliver its business plan objectives effectively due to financial constraints • The council does not have sufficient cash flow to meet its contractual obligations 	<p>announcements, to support decision making</p> <ul style="list-style-type: none"> • Communication of savings delivery and consequences to all stakeholders • Monitoring and analysis of Government funding announcements for future financial planning including COVID-19 announcements • Active treasury and cash flow management • Member budget briefings to discuss Financial Strategy and Corporate Matters • The provision of adequate reserves and balances to manage short term budget volatility due to COVID-19 				

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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
10 – Inability to recruit, retain, develop, and manage appropriately skilled staff to deliver the Council's priorities.	Chief Executive for Rochford DC and Brentwood BC	<ul style="list-style-type: none"> • With expertise vested in fewer individuals, the Council is at greater risk of losing key knowledge, expertise, or skill sets • Increased vacancy rates and lost skills lead to operational pressures and ultimately to service failures • Use of temporary staff or contractors leads to additional costs and / or delays • Service failures lead to potential intervention or loss of funding 	<ul style="list-style-type: none"> • '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 • #OneTeam Transformation Projects • Positive about Disabled People 	Good	4	4	High

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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
11 – Failure to enter into and manage effective contractual relationships and partnerships and contracts for the delivery of services and outcomes.	Assistant Director – People and Communities with support from all Assistant Directors with contract responsibilities	<ul style="list-style-type: none"> • Failure to adequately specify and agree required outcomes • Failure to manage contracts effectively • Failure of a contractor or contract arrangements • Service delivery failures • Creation of unexpected liabilities. • Increasing number or extent of supply chains require significant expertise or experience to risk manage 	<ul style="list-style-type: none"> • Clear partnership agreements covering legal, financial, and operational arrangements • Contract procedures • Contract Terms and Conditions • Monitoring processes and meetings • Contingency and business continuity arrangements • Contract performance bonds • Training for contract managers as required. • Major Contract Risk Registers which will be reviewed in light of COVID-19 	Good	3	3	Med
12 – The Council could fail to provide consistent Value for Money (VFM) across its existing services or obtain VFM when procuring new services.	Section 151 Officer	<ul style="list-style-type: none"> • Service costs exceed funding available due to budgetary constraints 	<ul style="list-style-type: none"> • Sustainable Commissioning and Procurement Strategy 	Fair	2	3	Med

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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
		<ul style="list-style-type: none"> • Contractual commitments become unsustainable, e.g., due to inflationary increases or inadequate contract management • Customer/resident dissatisfaction with perceived VFM of services 	<ul style="list-style-type: none"> • Contract Procedure Rules • Benchmarking, and best practice case studies • Internal and external Audit reports • Expenditure monitoring and reporting to Members • Business Process Re-engineering (BPR) as required • Robust option appraisals 				
13 – Failure to ensure good governance of the Council’s activities and delivery of its priorities.	Assistant Director – Legal and Democratic (Monitoring Officer)	<ul style="list-style-type: none"> • Failure to follow procedures leads to successful appeals or legal challenges • Misuse of the Regulation of Investigatory Powers Act (RIPA) lead to prosecutions • Failure to detect and prevent fraud or to respond to rising trends of fraud • An increasing propensity for compensation claims could 	<ul style="list-style-type: none"> • Business Plans / MTFS • Council Constitution, Financial Regulations and Contract Procedure Rules • Council, Executive and Committee, LT minutes and records of decisions • Internal Audit Programme 	Good	2	3	Med

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		<ul style="list-style-type: none"> result in additional costs and inefficient use of resources • Failure to manage performance effectively leading to reduced service delivery • Failure to supply required data to Government, or meet the Government's Transparency Code • Government intervention in services or governance matters as a result of failures 	<ul style="list-style-type: none"> • Performance and Risk? management Framework • Legally compliant tendering procedures • Anti-Fraud and Corruption Policy and Anti Money Laundering Procedures • Whistleblowing Policy and Procedures • Codes of Governance, Conduct and Registers of Interests • RIPA procedures 				
14 – The Council could fail to ensure Rochford's ICT Estate supports achievement of Business Objectives.	Assistant Director – Transformation and Customer	<ul style="list-style-type: none"> • Fail to maintain an ICT Roadmap that is fit for purpose • Be unable to obtain replacement contractors at short notice with consequent and have to obtain replacement contractors charging premium prices for service recovery actions 	<ul style="list-style-type: none"> • ICT Infrastructure Roadmap and Digital Roadmap • Project plans • Software Asset list • Budget controls • Contract Management • Programme of works identified which 	Good	4	3	Med

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		<ul style="list-style-type: none"> • Experience adverse effects on service with consequent reputational risks • Fail to update software / hardware leading to application and service delivery failure • Fail to adequately manage ICT projects 	continues to support the council's transformation agenda including further development of digitally enabled services and feedback from the COVID-19 Restoration project				
15 – 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.	Assistant Director – Legal and Democratic	<ul style="list-style-type: none"> • Failure to process sensitive / personal data appropriately leading to potentially substantial fines • Information Commissioner investigations and / or penalties 	<ul style="list-style-type: none"> • Compliance with relevant Policies and Procedures • Roles and Responsibility Training • 'Opt In' Consent fully detailed on all relevant paperwork. • Internal Compliance Audits 	Good	2	4	Med
16 – NEW RISK: The partnership between Rochford District Council and Brentwood Borough Council fails to bring about the project benefits.	Chief Executive for Rochford DC and Brentwood BC	<ul style="list-style-type: none"> • Resource the programme appropriately • Adequately monitor the programme deliverables 	<ul style="list-style-type: none"> • Programme appropriately resourced to delivery outcomes • Effective governance and monitoring in place 	Good	3	3	MED

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Risk	Lead Risk Owner	Principal impacts or consequences	Principal controls & actions	Quality of controls	Residual Likelihood	Residual Impact	Residual Risk Rating
		<ul style="list-style-type: none"> • Fail to engage appropriately with stakeholders • Comply with legislative requirements 	<ul style="list-style-type: none"> • 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) 				

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Part 3 Corporate Risk Map

Impact	4 Catastrophic		Risk 2, 3a and 15	Risks 3b and 9	Risk 10		
	3 Critical		Risks 1, 7, 8, 12 and 13	Risks 4, 5, 11 and 16	Risk 14		
	2 Marginal						
	1 Negligible						
		1 Negligible	2 Very Low	3 Low	4 Significant	5 High	6 Very High
		Likelihood					

Key	Risk level	Action required
	High	Urgent / Imperative to manage down risk – transfer or terminate
	Medium	Seek to influence risk over medium term or transfer out risk e.g. by insuring
	Low	Tolerate and Monitor – manage down if possible

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Part 4 Risk Scoring

LIKELIHOOD of event occurring					
1 Negligible	2 Very Low	3 Low	4 Significant	5 High	6 Very High
0% to 5%	6% to 15%	16% to 30%	31% to 60%	61% to 85%	86%to100%
IMPACT of event occurring					
	Negligible – 1	Marginal – 2	Critical – 3	Catastrophic – 4	
Financial	£0K - £10K	£10K - £200K	£200K - £1M	£1M- £10M	
Service Provision	Minor service delay	Short term service delay	Service suspended / medium term delay	Service suspended long term / Statutory duties not delivered	
Project	Minor delay	A few milestones missed	A major milestone missed	Project does not achieve objectives and misses majority of milestones	
Health & Safety	Sticking Plaster / first-aider	Broken bones / Illness	Loss of Life / Major illness	Major loss of life / Large scale major illness	
Objectives	Minor impact on objectives	Objectives of one section not met	Directorate Objectives not met	Corporate objectives not met	
Morale	Mild impact on morale	Some hostile relationships and minor non cooperation	Industrial action	Mass staff leaving / Unable to attract staff	
Reputation	No media attention / minor letters	Adverse Local media	Adverse National publicity	Remembered for years!	
Government relations	Minor local service issues	Poor Assessment(s)	Service taken over temporarily	Service taken over permanently	
Political	No interest / Minor attention	Adverse local media or individual public reaction	Adverse national publicity or organised public reaction	Major political reaction - remembered for years!	
Legal	No significant legal implications	Internal review and minimal media coverage	External review and impact on public opinion.	Criminal proceedings / civil litigation	

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Communities	Minimal effect on communities	Short term Impact on small group of clients / customers / communities	Long term Impact on large group of clients / customers / communities	Long term impact on vulnerable people
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