

AUDIT COMMITTEE

25 APRIL 2024

REPORT OF ASSURANCE AND RESILIENCE MANAGER

A.5 CORPORATE RISK UPDATE

(Report prepared by Clare Lewis)

PART 1 – KEY INFORMATION

PURPOSE OF THE REPORT

To present to the Audit Committee the updated Corporate Risk Register.

EXECUTIVE SUMMARY

- The Corporate Risk Register is normally updated and presented to the Audit Committee every 6 months. Due to conflicting work commitments the report was delayed. The report was last presented in July 2023.
- The following table summarises the position at the end of the period under review with updated information provided within the register where necessary:

Item	Number
New Risks Identified	0
Risks Removed	0
Risk Score Amended	0
Risks Under Review	17
Risks Amended	0

RECOMMENDATION(S)

That the Audit Committee notes the updates provided to the current Corporate Risk Register.

PART 2 – IMPLICATIONS OF THE DECISION

DELIVERING PRIORITIES

Risk assessment, monitoring and control forms the central tool for managing the strategic risks that may prevent the Council from achieving the corporate priorities as identified in the Corporate Plan and associated corporate goals.

FINANCE, OTHER RESOURCES AND RISK

Finance and other resources.

The risk management approach can be delivered within existing budgets.

Risk

The subject of risk and its management by the Council is set out in the main body of this report.

LEGAL

There are no specific legal implications.

OTHER IMPLICATIONS

Consideration has been given to the implications of the proposed decision in respect of the following and any significant issues are set out below.

Crime and Disorder / Equality and Diversity / Health Inequalities / Area or Ward affected / Consultation/Public Engagement.

There are no other direct implications.

PART 3 – SUPPORTING INFORMATION

BACKGROUND

The Corporate Risk Register was last presented to the Committee in July 2023. Update delayed due to conflicting work commitments.

The Terms of Reference for the Audit Committee include a responsibility to provide independent assurance of the adequacy of the risk management framework and the associated control environment. The Corporate Risk Register is, where possible, brought to the Committee at six monthly intervals to enable the Committee to fulfil its role.

CURRENT POSITION

Corporate Risk Management Framework

Although no changes have been identified as being required at this time, the framework is included at **Appendix A** following a recent review and is for information only.

Corporate Risk Register

The register has been subject to the review process with some highlights as follows.

The Council continues to deal with issues relating to Corporate IT are committed to ensuring users are not put at risk of cyber-attack. Staff continue to conduct on-line training and this forms part of the Council's induction training protocols.

Tendring Council have commenced a review of the Local Plan, in line with the agreement of the Planning Policy and Local Plan Committee. This review will be focused on updating the current plan, and not re-writing it. There are guiding principles that have to be followed during this process. This document will be passed to the Secretary of State by the current deadline - June 2025. Tendring Council intends to produce the document before expected changes take effect.

Relating to the Garden Communities project a development plan is being created through our partnerships between Tendring, Colchester and Essex which sets out a more detailed framework for the layout and delivery of the proposed garden community. This has already been subject to public consultation and has been submitted to the Secretary of State to begin the process of independent examination. A Planning Inspector has been appointed to conduct the examination, which is anticipated to take place in May 2024, subject to formal confirmation.

The changes to the Corporate Risk Register set out in this report reflect minor changes undertaken since the Committee last considered the register in July 2023. It provides updates, where needed and revises changing deadlines.

Consider the removal of item 2d - Ineffective delivery of Transforming Tendring project. As this project has now been completed.

The below table sets out **all** amendments to the Risk Register since it was last considered by the Committee in July 2023.

Risk Register Item	Amendments / Comments
New Risks Identified	None
Risks Removed	None
Risk Scores Amended	None
Risk number changed.	None
Risks Amended	<p>1a - Failure to effectively manage assets – small update to the main wording.</p> <p>1b – Catastrophic IT network failure – Physical Infrastructure control updated. Risk of aging network hardware failure.</p> <p>1c – Ineffective communication/management of information – slight update on main wording.</p> <p>2a – Coastal Defence - Responsible Cabinet member details updated to show Councillor M Bush.</p> <p>1d – Ineffective Cyber Security Physical and Application (software) Based Protection Management – main wording changed – note added in relation to the Election potentially bringing a hostile cyber-attack on public sector services.</p> <p>2e – Essex Family/Family Solutions – main text updated relating to Clacton based post being transferred to the Council establishment reducing the risk to families. Additional family solutions post funded for 21 months.</p> <p>2f – Garden Communities - current action updated to reflect the two rounds of public independent consultation being conducted and results submitted to the Secretary of State to begin an independent examination. A planning inspector has been appointed to conduct the examination in May 2024.</p> <p>3c – Health and Safety – current action updated to reflect that there is an additional NEBOSH trained officer.</p> <p>3a – Member Conduct – update provided relating to increase in complaints at District level. Training carried out by Town and Parish Councillors further training required.</p> <p>3b – Failure to comply with legislative requirements – main wording updated relating to the need to raise issues with the legal team that might cause concern at the earliest opportunity.</p> <p>3d – Fraud and Corruption – update provided on compliance team being fully staffed and project work remains ongoing.</p> <p>5a – Financial Strategy – changes to main wording relating to cost pressures report provided to full Council on Feb 24.</p>

	<p>6a – Loss of sensitive and/or personal data through malicious actions loss or theft and /or hacking - update provided on councillors adopting identical working as Officers, adoption of managed devices minimising the number of pathways an attacker can gain access. Additional training to be provided.</p> <p>6b - Disconnection from PSN Network – main wording amended to reflect the PSN certificate being updated.</p> <p>7a – Local Plan - current action update provided relating to local plan to be reviewed as agreed by the Local plan Committee in December 2023. Submission of an updated Local Plan before June 2025.</p> <p>9a – Ineffective Emergency Planning – updated main wording relating to difficulties recruiting EP staff due to home working. Additional training and communication project to be conducted.</p> <p>9b - Ineffective Business Continuity Planning – update on BIA training for key officers.</p>
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The Fraud and Risk Team continue to oversee the Councils Risk Management supported by the Councils Internal Audit Team. The table sets out the work currently being undertaken.

Agreed Action	Current Position
Management Team to promote the importance of operational risk management within the organisation and ensure that Senior Managers implement a process for identifying and mitigating risks in coordination with the Assurance and Resilience Manager	COMPLETED - Management team continue to be updated with urgent matters on a quarterly basis and the training identified below will further support this action.
Actions to be undertaken to identify and record key operational risks within service areas relating to risk management and business continuity. Support to be provided by Internal Audit manager if required	This remains ongoing with actions planned for 2024/25.

Follow up item.

Arrange Risk Management training for all departments across the council	Suitable Risk Management training has been identified; currently being reviewed with the aim of rolling this out during 24/25. (members and officers)
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BACKGROUND PAPERS FOR THE DECISION

None

APPENDICES

Appendix A – Risk Management Framework
Appendix B – Corporate Risk Register