



Wider Leadership Team - Corporate Risk Register



CRR0001 - Failure to maintain or gaps within corporate governance lead to risk of litigation, fraud/ malpractice, poor decision making or judicial review, causing serious service and financial failure (Compliance/ Legal) - (Operational)

Next Review Officer	Risk Owner	Risk Status	Impact	Likelihood	Score	Risk Score	Risk Review Date	
David Wilcock	David Wilcock	Active	Inherent	4	4	16		1 Mar 2020
			Residual	3	2	6		



Controls	Control Owner	Status	Adoption Date	Review Date
* CRR1007 Independent assurance provided by external assessors (Ofsted, Care Quality Commission etc.)	Steve Rumbelow	Control - In Place	23 Jun 15	1 Mar 20
* CRR1013 Information Governance Framework which supports compliance with all data control requirements is embedded	John Rooney	Control - In Place	23 Jun 15	1 Mar 20
* CRR1002 Code of Corporate Governance communicated, understood and followed	David Wilcock	Control - In Place	23 Jun 15	1 Mar 20
* CRR1004 Governance Board providing challenge to and co-ordination of all governance issues	David Wilcock	Control - In Place	23 Jun 15	1 Mar 20
* CRR1006 Independent assurance provided by External Audit	David Wilcock	Control - In Place	23 Jun 15	1 Mar 20
* CRR1010 Contract procedure rules which are clear, understood and being followed	David Wilcock	Control - In Place	23 Jun 15	1 Mar 20
* CRR1011 Codes of Conduct for Members and Officers which are clear, understood and followed	David Wilcock	Control - In Place	23 Jun 15	1 Mar 20
* CRR1009 Scheme of delegation which is clear, understood and being followed	Elaine Newsome	Control - In Place	23 Jun 15	1 Mar 20
* CRR1005 Independent assurance provided by Internal Audit	Ian Corbridge	Control - In Place	23 Jun 15	30 Jun 20
* CRR1003 Risk Management Strategy embedded and supports all decision making	Ian Corbridge	Control - In Place	23 Jun 15	30 Jun 20
* CRR1001 Oversight and challenge by an effective Audit and Governance Committee	Ian Corbridge	Control - In Place	23 Jun 15	30 Jun 20
* CRR1008 Anti-fraud and Corruption Strategy communicated, understood and followed	Ian Corbridge	Control - In Place	23 Jun 15	30 Jun 20
* CRR1012 Performance Management system which promotes accountability and outcome monitoring is embedded	John Rooney	Control - In Place	23 Jun 15	1 Mar 20

CRR0002 - A catastrophic event and lack of organisational resilience leads to inability to deliver our services, to then support and protect the wider community and to rebuild

the infrastructure (Operational) - (Operational)



Next Review Officer	Risk Owner	Risk Status	Impact	Likelihood	Score	Risk Score	Risk Review Date	
John Rooney	Mark Widdup	Active	Inherent	5	4	20		1 Mar 2020
			Residual	4	3	12		
Controls		Control Owner	Status	Adoption Date		Review Date		
* CRR2009 Review procedures for testing of ICT system to improve processes and resilience		Mark Dalzell	Control - In Place	23 Jun 15		1 Mar 20		
* CRR2005 Emergency plan, refreshed annually, communicated and understood		Mark Dalzell	Control - In Place	23 Jun 15		1 Mar 20		
* CRR2006 Themed plans (i.e. rest centres, flooding, Turner Brothers site) for specific purposes		Mark Dalzell	Control - In Place	23 Jun 15		1 Mar 20		
* CRR2007 Training, briefing and exercises carried out for Silver and Forward Incident officers		Mark Dalzell	Control - In Place	23 Jun 15		1 Mar 20		
* CRR2008 Multi-agency resilience forum in place to debrief incidents and conduct exercises		Mark Dalzell	Control - In Place	23 Jun 15		1 Mar 20		
* CRR2001 Corporate business continuity plan, refreshed and checked for accuracy annually		Mark Dalzell	Control - In Place	23 Jun 15		1 Mar 20		
* CRR2002 Service level business continuity plans, refreshed and checked for accuracy quarterly		Mark Dalzell	Control - In Place	23 Jun 15		1 Mar 20		
* CRR2004 Periodic corporate business continuity plan dry run exercises		Mark Dalzell	Control - In Place	23 Jun 15		1 Mar 20		
* CRR2003 Periodic training and briefing to service business continuity leads undertaken		Mark Dalzell	Control - In Place	23 Jun 15		1 Mar 20		
* CRR2010 Risk Management Strategy embedded and supports all decision making		Ian Corbridge	Control - In Place	23 Jun 15		30 Jun 20		

CRR0003 - Budget reductions required do not leave enough budget to deliver statutory services and to achieve balanced budget in 2018/19 and 2019/20 leading to a failure in legal duty (Strategic) - (Operational)

Next Review Officer	Risk Owner	Risk Status	Impact	Likelihood	Score	Risk Score	Risk Review Date	
Julie Murphy	Julie Murphy	Active	Inherent	4	4	16		30 Apr 2020
			Residual	3	3	9		
Controls		Control Owner	Status	Adoption Date		Review Date		
* CRR3005 Corporate Plan established which provides strategic direction for services		Steve Rumbelow	Control - In Place	23 Jun 15		01 Apr 20		
* CRR3001 Medium Term Financial Strategy updated bi-annually and approved by Cabinet and Council		Julie Murphy	Control - In Place	23 Jun 15		30 Apr 20		
* CRR3002 Regular reports to Wider Leadership, Cabinet and Overview and Scrutiny, Council on budget position locally and nationally		Julie Murphy	Control - In Place	23 Jun 15		30 Apr 20		
* CRR3004 Treasury Management Policy embedded and adhered to		Julie Murphy	Control - In Place	23 Jun 15		30 Apr 20		
* CRR3007 s151 Officer Report presented to Council annually prior to budget setting		Julie Murphy	Control - In Place	23 Jun 15		30 Apr 20		
* CRR3009 Corporate approach to addressing budget challenges (offices and Members working together)		Julie Murphy	Control - In Place	23 Jun 15		30 Apr 20		



* CRR3010 External audit financial resilience assessment	Julie Murphy	Control - In Place	23 Jun 15	30 Apr 20
* CRR3003 Budget monitoring embedded which pro-actively highlights financial challenges	Julie Murphy	Control - In Place	23 Jun 15	30 Apr 20
* CRR3008 Risk Management Strategy embedded and supports all decision making	Ian Corbridge	Control - In Place	23 Jun 15	30 Jun 20
* CRR3006 Organisational Development Strategy in place which aligns strategy, people and processes	Rosemary Barker	Control - In Place	24 Jun 15	

CRR0004 - Ineffective financial management and resilience leads to the Council significantly overspending the annual budget (Strategic) - (Operational)

Next Review Officer	Risk Owner	Risk Status	Impact	Likelihood	Score	Risk Score	Risk Review Date	
Julie Murphy	Julie Murphy	Active	Inherent	4	4	16		30 Apr 2020
			Residual	3	2	6		



Controls	Control Owner	Status	Adoption Date	Review Date
* CRR4005 Corporate Plan established which provides strategic direction for services	Steve Rumbelow	Control - In Place	23 Jun 15	1 Mar 20
* CRR4006 Organisational Development Strategy in place which aligns strategy, people and processes	Rosemary Barker	Control - In Place	23 Jun 15	1 Mar 20
* CRR4001 Medium Term Financial Strategy updated bi-annually and approved by Cabinet and Council	Julie Murphy	Control - In Place	23 Jun 15	30 Apr 20
* CRR4002 Regular reports to Wider Leadership, Cabinet and Overview and Scrutiny, Council on budget position locally and nationally	Julie Murphy	Control - In Place	23 Jun 15	30 Apr 20
* CRR4004 Treasury Management Policy embedded and adhered to	Julie Murphy	Control - In Place	23 Jun 15	30 Apr 20
* CRR4007 s151 Officer Report presented to Council annually prior to budget setting	Julie Murphy	Control - In Place	23 Jun 15	30 Apr 20
* CRR4009 Corporate approach to addressing budget challenges (officers and Members working together)	Julie Murphy	Control - In Place	23 Jun 15	30 Apr 20
* CRR4010 External audit financial resilience assessment	Julie Murphy	Control - In Place	23 Jun 15	30 Apr 20
* CRR4003 Budget monitoring embedded which pro-actively highlights financial challenges	Julie Murphy	Control - In Place	23 Jun 15	30 Apr 20
* CRR4008 Risk Management Strategy embedded and supports all decision making	Ian Corbridge	Control - In Place	23 Jun 15	30 Jun 20

CRR0005 - Failure of, or lack of compliance with, health and safety systems leads to harm to an individual and a corporate manslaughter/ homicide conviction (Compliance/ Legal) - (Operational)

Next Review Officer	Risk Owner	Risk Status	Impact	Likelihood	Score	Risk Score	Risk Review Date	
	Neil Thornton	Active	Inherent	4	3	12		1 Mar 2020
			Residual	4	2	8		

Controls	Control Owner	Status	Adoption Date	Review Date
* CRR5006 Member training regularly updated, fully attended and understood	Michael Garraway	Control - In Place	23 Jun 15	1 Mar 20
* CRR5002 Learning and development provided to whole workforce, primarily through e-learning	Rosemary Barker	Control - In Place	23 Jun 15	1 Mar 20
* CRR5003 Comprehensive health and well-being policies in place and adhered to	Rosemary Barker	Control - In Place	23 Jun 15	1 Mar 20
* CRR5001 Corporate Health and Safety Policy is clear, understood and being followed	Rosemary Barker	Control - In Place	23 Jun 15	1 Mar 20
* CRR5004 In house team of Health and Safety Advisers who link into the Central Health and Safety Committee	Rosemary Barker	Control - In Place	23 Jun 15	1 Mar 20
* CRR5005 Liaison with Health and Safety Executive to ensure risk and issues highlighted and addressed	Rosemary Barker	Control - In Place	23 Jun 15	1 Mar 20
* CRR5007 Risk Management Strategy embedded and supports all decision making	Ian Corbridge	Control - In Place	23 Jun 15	30 Jun 20

CRR0006 - Risk that Council and Devolution Manchester priorities are not fully aligned - (Operational)

Next Review Officer	Risk Owner	Risk Status	Impact	Likelihood	Score	Risk Score	Risk Review Date	
Steve Rumbelow	Steve Rumbelow	Active	Inherent	4	3	12		1 Mar 2020
			Residual	4	2	8		

Controls	Control Owner	Status	Adoption Date	Review Date
* CRR6001 Chief Executive is a member of AGMA WLT (Meeting of GM Chief Executives)	Steve Rumbelow	Control - In Place	14 Jul 15	1 Mar 20
* CRR6002 Leader is a member of formally constituted GM Combined Authority with other Council Leaders and Interim Mayor	Steve Rumbelow	Control - In Place	14 Jul 15	1 Mar 20
* CRR6003 Elected members from Rochdale BC sit on Scrutiny Panel	Steve Rumbelow	Control - In Place	14 Jul 15	1 Mar 20
* CRR6004 Officer representation on working groups dealing with CA/AGMA/Devolution issues as appropriate	Steve Rumbelow	Control - In Place	14 Jul 15	1 Mar 20



CRR0007 - Risk of a breakdown in community stability (Operational) - (Operational)

Next Review Officer	Risk Owner	Risk Status	Impact	Likelihood	Score	Risk Score	Risk Review Date
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John Rooney



Mark Widdup

Active

Inherent	4	4	16		1 Mar 2020
Residual	4	3	12		



Controls	Control Owner	Status	Adoption Date	Review Date
* CRR7003 Extensive partnerships developed and maintained enabling networking and intelligence sharing eg. Active citizens and multi-faith forums.	Sajjad Miah	Control - In Place	23 Jun 15	1 Mar 20
* CRR7004 Joint working with Greater Manchester authorities to monitor and mitigate risks	Sajjad Miah	Control - In Place	23 Jun 15	1 Mar 20
* CRR7007 Cohesion Hub and Consequence Management process in place	Sajjad Miah	Control - In Place	23 Jun 15	1 Mar 20
* CRR7008 Weekly tension monitoring and trigger plans in place	Sajjad Miah	Control - In Place	23 Jun 15	1 Mar 20
* The partnership Consequence Management Group (CMG) exists to provide early identification and intervention on community tensions and develop positive community cohesion and diversionary activities to mitigate risks of escalation in tension. The CMG to inform and take direction from RBC and Partners command structure.	Mark Dalzell	Control - In Place	23 Jun 15	1 Mar 20
* CRR7002 Community Cohesion Pledge signed by elected Members and Community Representatives	Mark Dalzell	Control - In Place	23 Jun 15	1 Mar 20
* CRR7009 Risk Management Strategy embedded and supports all decision making	Ian Corbridge	Control - In Place	23 Jun 15	30 Jun 20

CRR0008 - Risk of serious harm to or death of a child due to the act or omission by Council employees (Compliance/ Legal) - (Operational)


Next Review Officer	Risk Owner	Risk Status	Impact	Likelihood	Score	Risk Score	Risk Review Date	
Gail Hopper	Gail Hopper	Active	Inherent	5	4	20		1 Mar 2020
			Residual	5	3	15		

Controls	Control Owner	Status	Adoption Date	Review Date
* CRR8001 Local Safeguarding Children Board in place which provides robust challenge	Gail Hopper	Control - In Place	23 Jun 15	1 Mar 20
* CRR8003 Regional Support and Challenge including Peer Reviews	Gail Hopper	Control - In Place	23 Jun 15	1 Mar 20
* CRR8004 Performance/ Quality Assurance Framework is fully embedded	Gail Hopper	Control - In Place	23 Jun 15	1 Mar 20
* CRR8005 Ongoing and robust management of external/ commissioned service providers	Gail Hopper	Control - In Place	23 Jun 15	1 Mar 20
* CRR8006 Effective management oversight and supervision of staff	Gail Hopper	Control - In Place	23 Jun 15	1 Mar 20
* CRR8009 Critical Incident Reporting Framework in place and embedded	Gail Hopper	Control - In Place	23 Jun 15	1 Mar 20
* CRR8010 Workforce Development Strategy - training and support provided to staff	Gail Hopper	Control - In Place	23 Jun 15	1 Mar 20
* CRR8011 Local Authority provides advice/ monitoring and training on safe practice in schools	Gail Hopper	Control - In Place	23 Jun 15	1 Mar 20
* CRR8002 Independent Ofsted inspections	Sandra Bowness	Control - In Place	23 Jun 15	1 Mar 20
* CRR8007 Early Help Strategy is refreshed and re-launched	Sandra Bowness	Control - In Place	23 Jun 15	1 Mar 20
* CRR8012 Risk Management Strategy embedded and supports all decision making	Ian Corbridge	Control - In Place	23 Jun 15	30 Jun 20

CRR0009 - Risk of serious harm to or death of a vulnerable adult due to the act or omission by Council employees (Compliance Legal) - (Operational)

Next Review Officer	Risk Owner	Risk Status	Impact	Likelihood	Score	Risk Score	Risk Review Date	
	Sally McIvor	Active	Inherent	5	4	20		1 Mar 2020
			Residual	5	3	15		
Controls		Control Owner	Status	Adoption Date		Review Date		
* CRR9001	Adult Safeguarding Board in place which provides robust challenge	Sally McIvor	Control - In Place	23 Jun 15		1 Mar 20		
* CRR9008	Regional support and peer challenge	Sally McIvor	Control - In Place	23 Jun 15		1 Mar 20		
* CRR9004	PDRs, one-to-ones and supervision of staff, self assessment of practice standards applied across the service	Steven Blezard	Control - In Place	23 Jun 15		1 Mar 20		
* CRR9005	Embed adult social care safeguarding policy to ensure worker expectations regarding safeguarding practice are clearly defined and communicated	Steven Blezard	Control - In Place	23 Jun 15		1 Mar 20		
* CRR9006	Robust and regular safeguarding and case file audits	Steven Blezard	Control - In Place	23 Jun 15		1 Mar 20		
* CRR9002	Independent reviews by the Care Quality Commission (CQC)	Tracey Harrison	Control - In Place	23 Jun 15		1 Mar 20		
* CRR9007	Robust quality assurance/ contract management procedures	Tracey Harrison	Control - In Place	23 Jun 15		1 Mar 20		
* CRR9010	Ongoing sharing of intelligence information with CQC and other partners	Tracey Harrison	Control - In Place	23 Jun 15		1 Mar 20		
* CRR9011	Training strategy in place for the Service	Steven Blezard	Control - In Place	23 Jun 15		1 Mar 20		
* CRR9012	Risk Management Strategy embedded and supports all decision making	Ian Corbridge	Control - In Place	23 Jun 15		30 Jun 20		

CRR0010 - Failure to take opportunities for growth leading to a lack of investment in the Borough and lower levels of regeneration and prosperity - (Operational)

Next Review Officer	Risk Owner	Risk Status	Impact	Likelihood	Score	Risk Score	Risk Review Date	
John Searle	John Searle	Active	Inherent	4	4	16		1 Mar 2020
			Residual	3	3	9		
Controls		Control Owner	Status	Adoption Date		Review Date		
* CRR10004	Asset Management Plan is established, monitored and regularly updated	Peter Gregory	Control - In Place	23 Jun 15		1 Mar 20		
* CRR10002	Oversight and challenge of major projects and decisions by Corporate Overview and Scrutiny Committee	Mark Robinson	Control - In Place	23 Jun 15		1 Mar 20		
* CRR10003	Programme/ project management principles are applied consistently	Mark Robinson	Control - In Place	23 Jun 15		1 Mar 20		
* CRR10001	Medium Term Financial Plan is comprehensive and regularly updated	Julie Murphy	Control - In Place	23 Jun 15		1 Mar 20		
* CRR10006	Maximise opportunities for good news	Susan Ayres	Control - In Place	23 Jun 15		25 Nov 19		
* CRR10007	Early warning protocol agreed for identifying potential bad news	Susan Ayres	Control - In Place	23 Jun 15		25 Nov 19		
* CRR10005	Risk Management Strategy embedded and supports all decision making	Ian Corbridge	Control - In Place	23 Jun 15		30 Jun 20		

