



## Appendix 1



### 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	
Asif Ibrahim	Asif Ibrahim	Active	<b>Inherent</b>	4	4	<b>16</b>		1 Nov 21
			<b>Residual</b>	3	3	9		

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 Nov 21
* CRR1013 Information Governance Framework which supports compliance with all data control requirements is embedded	John Rooney	Control - In Place	23 Jun 15	1 Nov 21
* CRR1002 Code of Corporate Governance communicated, understood and followed	Asif Ibrahim	Control - In Place	23 Jun 15	1 Nov 21
* CRR1004 Governance Board providing challenge to and co-ordination of all governance issues	Asif Ibrahim	Control - In Place	23 Jun 15	1 Nov 21
* CRR1006 Independent assurance provided by External Audit	Asif Ibrahim	Control - In Place	23 Jun 15	1 Nov 21
* CRR1010 Contract procedure rules which are clear, understood and being followed	Asif Ibrahim	Control - In Place	23 Jun 15	1 Nov 21
* CRR1011 Codes of Conduct for Members and Officers which are clear, understood and followed	Asif Ibrahim	Control - In Place	23 Jun 15	1 Nov 21
* CRR1009 Scheme of delegation which is clear, understood and being followed	Michael Garraway	Control - In Place	23 Jun 15	1 Nov 21
* CRR1005 Independent assurance provided by Internal Audit	Shaun Knowles	Control - In Place	23 Jun 15	1 Nov 21
* CRR1003 Risk Management Strategy embedded and supports all decision making	Shaun Knowles	Control - In Place	23 Jun 15	1 Nov 21
* CRR1001 Oversight and challenge by an effective Audit and Governance Committee	Shaun Knowles	Control - In Place	23 Jun 15	1 Nov 21
* CRR1008 Anti-fraud and Corruption Strategy communicated, understood and followed	Shaun Knowles	Control - In Place	23 Jun 15	1 Nov 21
* CRR1012 Performance Management system which promotes accountability and outcome monitoring is embedded	John Rooney	Control - In Place	23 Jun 15	1 Nov 21



**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	<b>Inherent</b>	5	4	<b>20</b>		1 Nov 2021
			<b>Residual</b>	4	3	12		
Controls		Control Owner	Status	Adoption Date		Review Date		
* CRR2009 Review procedures for testing of ICT system to improve processes and resilience		Judith Jones	Control - In Place	23 Jun 15		1 Nov 21		
* CRR2005 Emergency plan, refreshed annually, communicated and understood		Mark Dalzell	Control - In Place	23 Jun 15		1 Nov 21		
* CRR2006 Themed plans (i.e. rest centres, flooding, Turner Brothers site) for specific purposes		Mark Dalzell	Control - In Place	23 Jun 15		1 Nov 21		
* CRR2007 Training, briefing and exercises carried out for Silver and Forward Incident officers		Mark Dalzell	Control - In Place	23 Jun 15		1 Nov 21		
* CRR2008 Multi-agency resilience forum in place to debrief incidents and conduct exercises		Mark Dalzell	Control - In Place	23 Jun 15		1 Nov 21		
* CRR2001 Corporate business continuity plan, refreshed and checked for accuracy annually		Mark Dalzell	Control - In Place	23 Jun 15		1 Nov 21		
* CRR2002 Service level business continuity plans, refreshed and checked for accuracy quarterly by services		Mark Dalzell	Control - In Place	23 Jun 15		1 Nov 21		
* CRR2004 Periodic corporate business continuity plan dry run exercises		Mark Dalzell	Control - In Place	23 Jun 15		1 Nov 21		
* CRR2003 Periodic training and briefing to service business continuity leads undertaken		Mark Dalzell	Control - In Place	23 Jun 15		1 Nov 21		
* CRR2010 Risk Management Strategy embedded and supports all decision making		Shaun Knowles	Control - In Place	23 Jun 15		1 Nov 21		



**CRR0004 - Ineffective financial management leading to failure of the Council to maintain financial resilience (Strategic, Operational)**

Next Review Officer	Risk Owner	Risk Status	Impact	Likelihood	Score	Risk Score	Risk Review Date	
Julie Murphy	Julie Murphy	Active	<b>Inherent</b>	4	4	<b>16</b>		1 Nov 2021
			<b>Residual</b>	3	2	6		
Controls		Control Owner	Status	Adoption Date		Review Date		
* CRR4001 Medium Term Financial Strategy reflects Council's priorities.		Julie Murphy	Control - In Place	23 Jun 15		1 Nov 21		
* CRR4010 External audit financial resilience assessment		Julie Murphy	Control - In Place	23 Jun 15		1 Nov 21		
* CRR4003 Budget monitoring embedded which pro-actively highlights financial challenges and mitigates risks		Julie Murphy	Control - In Place	23 Jun 15		1 Nov 21		
* CRR4008 Risk Management Strategy embedded and supports all decision making		Shaun Knowles	Control - In Place	23 Jun 15		1 Nov 21		
* CRR4011 Balances are sufficient to support the Council to remain a going concern		Julie Murphy	Control - In Place	29 Aug 19		1 Nov 21		



**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	<b>Inherent</b>	4	3	<b>12</b>		1 Nov 2021
			<b>Residual</b>	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 Nov 21		
* CRR5002 Learning and development provided to whole workforce, primarily through e-learning		Rosemary Barker	Control - In Place	23 Jun 15		1 Nov 21		
* CRR5003 Comprehensive health and well-being policies in place and adhered to		Rosemary Barker	Control - In Place	23 Jun 15		1 Nov 21		
* CRR5001 Corporate Health and Safety Policy is clear, understood and being followed		Rosemary Barker	Control - In Place	23 Jun 15		1 Nov 21		
* 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 Nov 21		
* CRR5005 Liaison with Health and Safety Executive to ensure risk and issues highlighted and addressed		Rosemary Barker	Control - In Place	23 Jun 15		1 Nov 21		
* CRR5007 Risk Management Strategy embedded and supports all decision making		Shaun Knowles	Control - In Place	23 Jun 15		1 Nov 21		

**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	<b>Inherent</b>	4	3	<b>12</b>		1 Aug 2021
			<b>Residual</b>	4	2	8		
Controls		Control Owner	Status	Adoption Date		Review Date		
* CRR6001 Chief Executive is a member of Combined Authority WLT (Meeting of GM Chief Executives)		Steve Rumbelow	Control - In Place	14 Jul 15		1 Aug 21		
* CRR6002 Leader is a member of formally constituted GM Combined Authority and AGMA with other Council Leaders and GM Mayor		Steve Rumbelow	Control - In Place	14 Jul 15		1 Aug 21		
* CRR6003 Elected members from Rochdale BC sit on the GM Corporate Issues and Reform, the GM Economy Business Growth and Skills, and the GM Housing Planning and Environment Scrutiny Panels		Steve Rumbelow	Control - In Place	14 Jul 15		1 Aug 21		
* CRR6004 Officer representation on working groups dealing with key issues for the Borough, particularly transport, economic development, spatial framework and environmental issues.		Steve Rumbelow	Control - In Place	14 Jul 15		1 Aug 21		

**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	
John Rooney	Mark Widdup	Active	<b>Inherent</b>	4	4	<b>16</b>		1 Nov 2021
			<b>Residual</b>	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 Nov 21
* CRR7004 Joint working with Greater Manchester authorities to monitor and mitigate risks	Sajjad Miah	Control - In Place	23 Jun 15	1 Nov 21
* CRR7007 Cohesion Hub and Consequence Management process in place	Sajjad Miah	Control - In Place	23 Jun 15	1 Nov 21
* CRR7008 Weekly tension monitoring and trigger plans in place	Sajjad Miah	Control - In Place	23 Jun 15	1 Nov 21
* 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 Nov 21
* CRR7009 Risk Management Strategy embedded and supports all decision making	Shaun Knowles	Control - In Place	23 Jun 15	1 Nov 21



**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	<b>Inherent</b>	5	4	<b>20</b>		1 Nov 2021
			<b>Residual</b>	5	4	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 Nov 21
* CRR8003 Regional Support and Challenge including Peer Reviews	Gail Hopper	Control - In Place	23 Jun 15	1 Nov 21
* CRR8004 Performance/ Quality Assurance Framework is fully embedded	Gail Hopper	Control - In Place	23 Jun 15	1 Nov 21
* CRR8005 Ongoing and robust management of external/ commissioned service providers	Gail Hopper	Control - In Place	23 Jun 15	1 Nov 21
* CRR8006 Effective management oversight and supervision of staff	Gail Hopper	Control - In Place	23 Jun 15	1 Nov 21
* CRR8009 Critical Incident Reporting Framework in place and embedded	Gail Hopper	Control - In Place	23 Jun 15	1 Nov 21
* CRR8010 Workforce Development Strategy - training and support provided to staff	Gail Hopper	Control - In Place	23 Jun 15	1 Nov 21
* CRR8011 Local Authority provides advice/ monitoring and training on safe practice in schools	Gail Hopper	Control - In Place	23 Jun 15	1 Nov 21
* CRR8002 Independent Ofsted inspections	Steve Kay	Control - In Place	23 Jun 15	1 Nov 21



* CRR8007 Early Help Strategy is refreshed and re-launched	Steve Kay	Control - In Place	23 Jun 15	1 Nov 21
* CRR8012 Risk Management Strategy embedded and supports all decision making	Shaun Knowles	Control - In Place	23 Jun 15	1 Nov 21

**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	
	Claire Richardson	Active	<b>Inherent</b>	5	4	<b>20</b>		1 Nov 2021
			<b>Residual</b>	5	3	15		

Controls	Control Owner	Status	Adoption Date	Review Date
* CRR9001 Adult Safeguarding Board in place which provides robust challenge	Claire Richardson	Control - In Place	23 Jun 15	1 Nov 21
* CRR9008 Regional support and peer challenge	Claire Richardson	Control - In Place	23 Jun 15	1 Nov 21
* 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 Nov 21
* 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 Nov 21
* CRR9006 Robust and regular safeguarding and case file audits	Steven Blezard	Control - In Place	23 Jun 15	1 Nov 21
* CRR9002 Independent reviews by the Care Quality Commission (CQC)	Tracey Harrison	Control - In Place	23 Jun 15	1 Nov 21
* CRR9007 Robust quality assurance/ contract management procedures	Tracey Harrison	Control - In Place	23 Jun 15	1 Nov 21
* CRR9010 Ongoing sharing of intelligence information with CQC and other partners	Tracey Harrison	Control - In Place	23 Jun 15	1 Nov 21
* CRR9011 Training strategy in place for the Service	Steven Blezard	Control - In Place	23 Jun 15	1 Nov 21
* CRR9012 Risk Management Strategy embedded and supports all decision making	Shaun Knowles	Control - In Place	23 Jun 15	1 Nov 21

**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	<b>Inherent</b>	4	4	<b>16</b>	 1 Nov 2021
			<b>Residual</b>	3	3	9	

Controls	Control Owner	Status	Adoption Date	Review Date
* CRR10004 Asset Management Plan is established, monitored and regularly updated	Beverley Hirst	Control - In Place	23 Jun 15	1 Nov 21
* CRR10002 Oversight and challenge of major projects and decisions by Corporate Overview and Scrutiny Committee	Mark Robinson	Control - In Place	23 Jun 15	1 Nov 21
* CRR10003 Programme/ project management principles are applied consistently	Mark Robinson	Control - In Place	23 Jun 15	1 Nov 21
* CRR10001 Medium Term Financial Plan is comprehensive and regularly updated	Julie Murphy	Control - In Place	23 Jun 15	1 Nov 21
* CRR10006 Maximise opportunities for good news	Susan Ayres	Control - In Place	23 Jun 15	1 Nov 21
* CRR10007 Early warning protocol agreed for identifying potential bad news	Susan Ayres	Control - In Place	23 Jun 15	1 Nov 21
* CRR10005 Risk Management Strategy embedded and supports all decision making	Shaun Knowles	Control - In Place	23 Jun 15	1 Nov 21