

Southend-on-Sea Borough Council

Report of Chief Executive and Town Clerk
To
Audit Committee

On
28 June 2017

Agenda
Item No.

Report prepared by: Tim MacGregor – Team Manager, Policy
& Information Management and Louisa Bowen, Senior
Business Management Advisor

2017-18 Corporate Risk Register

Executive Councillor – Cllr Lamb

1 Purpose of Report

1.1 To consider the 2017/18 Corporate Risk Register.

2 Recommendations

3 That Audit Committee considers the 2017/18 Corporate Risk Register.

3.1 Corporate Risk Register 2017/18

3.1.1 The Council's Corporate Risk Register sets out the key risks to the successful delivery of the Council's corporate aims and priorities and outlines the key controls and actions to mitigate and reduce risks, or maximise opportunities.

3.1.2 The Corporate Management Team (CMT) have undertaken a review of the current register, pending a potentially more substantial review later in the year. This in the context of the proposed work to further develop and align work on risk across the Council so that the approach to risk management is better embedded, supports the governance framework, the transformation agenda and integrated decision making. This is outlined in the report on the 'Risk Management Framework' elsewhere on the agenda.

3.1.3 The notable revisions to the previous CRR (last considered by Audit Committee in January) are:

- A new risk (no. 3, replacing 'partnership arrangements') on risks and potential missed opportunities on the impact of the 'external environment' covering: - a new Government agenda; relationships with partners following senior management changes across partner organisations and Brexit.
- Merger of the risks relating to the sea front cliff movement and surface water flooding.

- A new risk on 'Information Management' that will include action on the General Data Protection Regulation and cyber security.

3.1.4 The format of the Corporate Risk Register follows a 3 stage process:

1st stage: An 'inherent score' with the risk assessed with no controls, assurance or actions in place.

2nd stage: The 'current score' where the risk is assessed with controls, assurances and progress against identified actions. The current score is adjusted in light of progress against actions.

3rd stage: The target score which is the risk with the controls, assurances and actions, as if they have been completed

The current score is then adjusted in light of progress against actions.

3.1.5 Updates on the Corporate Risk Register are reported to CMT quarterly and to Audit Committee every 6 months.

3.1.6 Corporate Directors ensure service specific risks are managed within their departments, within service plans and in accordance with the risk management strategy and processes. 'Red' rated risks with corporate implications can be escalated to CMT via Corporate Directors. Actions for all these risks are updated and reviewed by Departmental Management Teams.

3.1.7 Operational risks, managed within departments, are also assessed as part of reviews undertaken by Internal Audit and project risks are monitored by the CMT where applicable.

4 Corporate Implications

4.1 Contribution to Council's Vision & Corporate Priorities

The Corporate Risk Framework underpins the operational effectiveness of the Council's Corporate Governance arrangements and specifically monitors progress of managing key risks associated with the successful delivery of Corporate Aims and Priorities.

4.2 Financial Implications

Any financial implications arising from identifying and managing risk will be considered through the normal financial management processes. Proactively managing risk can result in reduced costs to the Council by reducing exposure to potential loss.

4.3 Legal Implications

The Accounts and Audit Regulations 2003 require that:

The relevant body shall be responsible for ensuring that the financial management of the body is adequate and effective and that the body has a sound system of internal control which facilitates the effective exercise of that body's function and which includes the arrangements for the management of risk.

4.4 People Implications

Any people and property implications arising from identifying and managing risk will be considered through the Council's normal business management processes.

4.5 Property Implications
None specific

4.6 Consultation
Consultation has taken place with key stakeholders.

4.7 Equalities Implications
Corporate equalities considerations have been considered in the drafting of the Register and any specific equality related risks have been identified for the Council.

4.8 Risk Assessment
Failure to implement a robust assurance framework which includes fit for purpose risk management arrangements increases the risk that Council objectives will not be delivered.

4.9 Value for Money
Effective forecasting and timely management of risk is a key factor in preventing waste, inefficiency and unnecessary or unplanned use of resource.

4.10 Community Safety Implications
None specific

4.11 Environmental Impact
None specific.

5 Appendices

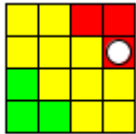
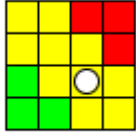
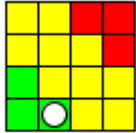
Appendix 1 - 2017/18 Corporate Risk Register

2017-18 Corporate Risk Register

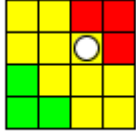
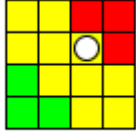
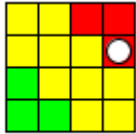
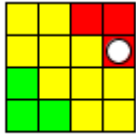
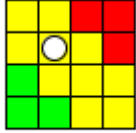
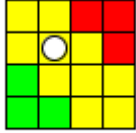
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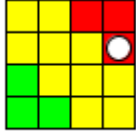
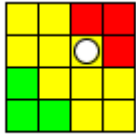

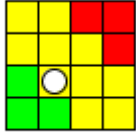





Risk Title	1. Budget for 2018-21						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood
1718CRR01	Risk that the scale of predicted funding reductions for 2018-20 budgets will result in significant adverse impact on council services	Joe Chesterton	Strategic	Financial/Reputational	16		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood
<p>1. Control: Budget setting process to identify required savings through: budget proposal reports to Departmental and Corporate Management Teams; member seminars; Cabinet; Scrutiny Committees; Council Assurance: reports to and minutes of meetings.</p> <p>2. Control: Management oversight of budget setting process through: reports to CMT and Administration Assurance: Reports/Minutes</p> <p>3. Control: Senior member and Chief Executive challenge to departments on proposed savings Assurance: Reports and minutes of meetings.</p> <p>4. Control: Director challenge to Heads of Service Assurance: Minutes of Departmental Management Team meetings/emails.</p> <p>5. Control: Medium Term Financial Strategy (MTFS), including budget pressures to regularly consider financial impact of Government policy reported to CMT, Cabinet and Council Assurance: Reports and minutes of meetings.</p>					9		
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	Impact
1718CRA0101	Budget Timeline outlining key milestones to be agreed with the Administration and Senior Leadership Team.	Joe Chesterton	18-Mar-2018	May 17: Timeline in place with key deadlines.		4	
1718CRA0101	Continually monitor and assess government's position on grant to be distributed to Local Authorities and other Government announcements that impact funding	Joe Chesterton	18-Mar-2018	May 17: Director of Finance and Resources horizon scanning for all relevant Government announcements and finance settlements taken into account in setting the 2017/18 budget.			
1718CRA0103	All Member briefing session on local government finance	Joe Chesterton	30-Nov-2017	May 17: Cabinet discussion held in April with further discussion in July to confirm the position			
1718CRA0104	Continual monitoring, risk assessment and reporting of progress on options to meet the saving targets required to set balanced budgets in 2017/18 to 2019/20	Joe Chesterton	31-Mar-2018	May 17: Relevant meetings have been arranged and will be included in budget timeline. Cabinet held in April with a further two scheduled for mid/late July 2017.			

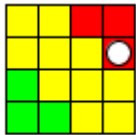
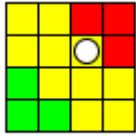
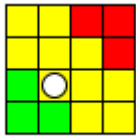
Risk Title	2. Recruiting and retaining staff							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score			
1718CRR02	Risk that failure to retain or recruit staff with the required skills and experience will result in an inability to deliver key projects or services to meet expectations of residents, members, businesses and partners.	Joanna Ruffle	Strategic	Service Provision	12		 Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)								
List of controls and associated assurances to ensure controls are working					Current risk score	6	 Likelihood	
<p>1. Control: Managing Organisational Change Policy; Redeployment Policy & Procedure; Redundancy Policy & Procedure Assurance: Policy documents available via intranet.</p> <p>2. Control: Oversight of policies and procedures to ensure consistency of HR policies and processes and in implementing policies relating to restructure through the People Management & Development Working Party; Corporate Management Team and Workforce Planning Panel Assurance: Reports to and Minutes of meetings.</p> <p>3. Control: All staff vacancies, redeployments and redundancies reviewed by the Workforce Planning Panel Assurance: Minutes of Workforce Planning Panel</p> <p>4. Control: New recruitment provider to identify recruitment hotspots and plan effective recruitment campaigns Assurance: Service Level Agreement, Contract management.</p>								
Stage 3 - Further actions to reduce the risk (target risk)								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	2	 Likelihood
1718CRA0201	Continue to embed Talent Management Strategy (including apprenticeships, graduate traineeships, graduate sponsorships and career progression)	Joanna Ruffle	31-Mar-2018	May 17: Work continues in to 2017/18 - please see the actions below as these link in to this action.	✓			
1718CRA0202	Participate in regional Children's Social Care Workforce project	Joanna Ruffle	31-Mar-2018	May 17: Project continuing into 2nd year, following approval at East of England Chief Executive Forum on 10 June.	✓			
1718CRA0203	Participate in regional Planners Workforce project	Peter Geraghty	31-Mar-2018	May 17: Project scoped. The Council involved from both HR and operational perspective	✓			
1718CRA0204	Develop a framework contract to deliver professional/interim resources to supplement the Reed contract	Joanna Ruffle	31-Mar-2018	May 17: contract has been let, developed and implemented; this is likely to drive the Talent Management Strategy.	✓			
1718CRA0205	Role of Resourcing Manager agreed and funded to drive talent management initiatives across the organisation	Joanna Ruffle	31-Mar-2018	May 17: The role of the Resourcing Manager has been agreed, funded and appointed. The project plan and talent management initiatives are currently underway and will be developed for this year.	✓			

Risk Title	3. Partnership arrangements							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1718CRR03	Risk that the impact of, or a failure to take advantage of, a new Government agenda, changes to senior personnel and the lead up to Brexit may hamper the ability of the Council to achieve key priorities.	Chief Executive	Strategic	Reputation	12			
Stage 2 - Risk with Controls and Assurances (current risk)								
List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood	
1. Control: Southend Borough Council active member of South East Enterprise Partnership (SELEP) Board and officers aligned to relevant working groups to engage and influence activity and decisions, Assurance: Minutes/Reports 2. Control: Corporate Delivery Board Assurance: Minutes/Reports 3. Control: Success For All Children Group Assurance: Children and Young People Plan/Reports/Minutes 4. Control: Health and Wellbeing Board Assurance: Joint Health and Wellbeing Strategy/Report/Minutes								6
Stage 3 - Further actions to reduce the risk (target risk)								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	Impact	Likelihood
1718CRA0301	Maintaining, renewing and building relationships with key partners	Chief Executive	31-Mar-2018	May 17: Relationships to be developed through formal and informal channels				
1718CRA0302	Continue to undertake horizon scanning of key developments in relation to new government legislation, policy and Brexit negotiations	Chief Executive	31-Mar-2018	May 17: On-going monitoring of initiatives that will have financial implications, to access impact on the Council's finances and new policy developments highlighted via 'Policy Watch' briefing, continue to be undertaken.				
1718CRA0303	Work with Mid and South Essex health and social care partners to develop a multi-year Sustainability and Transformation Plan (STP)	Simon Leftley	31-Mar-2018	May 17: STP has progressed considerably during Q4 of 16/17. Social Care has been engaged throughout the process of consultation. Due to further consultations with key stakeholders now required the delivery of the Business Case has been delayed until mid-summer 2017. This provides an opportunity for SBC to engage in greater detail.				
1718CRA0304	Ensure the on-going sustainability of the BEST (Business Essex Southend & Thurrock) Growth Hub within the LEP umbrella through delivery of South East Business Boost and planning for longer term funding and operation.	Andrew Lewis	31-Mar-2018	May 17: Delivery commenced on the £12.9m ERDF 'South East Business Boost' project. Awaiting announcement on further Business, Energy & Industrial Strategy (BEIS) 'core' growth hub funding to 20/21 - to be announced in Autumn Statement 2017.				
1718CRA0305	Continue to make the case for Growth Fund Investment in Southend by working with the South Essex Growth Partnership and SELEP.	Andrew Lewis	31-Mar-2018	May 17: Local Growth Fund (LGF) prioritisation and allocation complete. Airport Business Park Southend successfully allocated £19.89m of LGF funds. Further projects included on federated board's project pipeline list. No new LGF funds within the lifetime of the current parliament.				

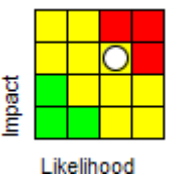
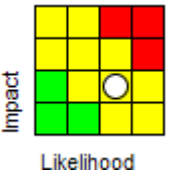
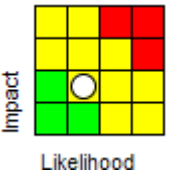
Risk Title	4. Housing Policy						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		 Likelihood
1718CRR04	Risk that changes to government housing policy (such as selling off high value council properties) and increasing levels of housing need (notably homelessness) results in further significant pressure on council budgets.	Simon Leftley	Strategic	Financial	9		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		 Likelihood
1. Control: Core Strategy and Local Development Plan in place Assurance: Strategy documents 2. Control: Cabinet/Scrutiny Assurance: Reports/Meeting minutes 3. Control: Housing Strategy Assurance: Documents					12		 Likelihood
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	 Likelihood
1718CRR0401	Review and update Housing Strategy in light of the Thames Gateway South Essex Strategic Market Assessment and housing policy announcements.	Sharon Houlden	31-Mar-2018	May 17: The latest Strategic Housing Market Assessment update has only recently been published. We will use this to inform a review and updated Housing Strategy.	✓	6	 Likelihood
1718CRR0402	Work in partnership to develop affordable housing	Sharon Houlden	31-Mar-2018	May 17: The Council continues to work closely with Developers and Housing Associations to maximise the number of new affordable homes built in the Borough. New approaches to developing affordable housing will be explored in the updated Housing Strategy.	✓		
1718CRR0403	Work collaboratively to develop a coordinated approach to homelessness prevention	Sharon Houlden	31-Mar-2018	May 17: The Council works closely with a wide range of agencies to prevent homelessness. A refresh of the Homelessness Prevention Strategy is being developed during 17/18.	✓		

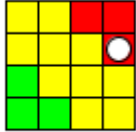
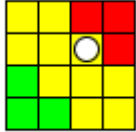

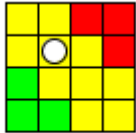




Risk Title	5. Local Infrastructure							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1718CRR05	Risk that failure to maintain access to future rounds of the Regional Growth Fund and Department for Transport Challenge Fund will significantly restrict future infrastructure improvements.	Andrew Lewis	Strategic	Financial	12		Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)								
List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood	
1. Control: Highway/Footpath Assets Management inventory in place Assurance: Reports 2. Control: Monthly progress reported to DMT and senior managers Assurance: Reports/Minutes 3. Control: Regular reporting to Capital Delivery Board Assurance: Reports/Minutes 4. Control: Cabinet/Scrutiny Assurance: Reports/Meeting minutes					9		Likelihood	
Stage 3 - Further actions to reduce the risk (target risk)								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	Impact	Likelihood
1718CRA0501	Produce a Transport Asset Management Plan to support the maintenance and improvement of the roads, pavements and street furniture across the Borough	Paul Mathieson	31-Mar-2018	May 17: DfT self-assessment form submitted to DfT confirming Band 2 status. Work progressing to Band 3 status.		4		Likelihood
1718CRA0502	Continue to make the case for Growth Fund Investment in Southend by working with the South Essex Growth Partnership and SELEP.	Paul Mathieson	31-Mar-2018	May 17: Airport Business Part (ABP) £19.89m application approved to proceed to Business Case development for assessment by SELEP Independent Technical Evaluator with view to completing by June 2017 and approval by Board September.				
1718CRA0503	Conduct detailed self-assessment to support Challenge Fund bid	Paul Mathieson	31-Mar-2018	May 17: Challenge Fund Tranche 2A application submitted on 31st March for drainage improvements. Bid for £565k. Further Challenge Fund guidance released in April being studied.				
1718CRA0504	Complete Whole Government Account return (with Finance Dept)	Paul Mathieson	31-Mar-2018	May 17: Underway and part of Transport Asset Management Plan project. Returns with Finance for review. Finance discussing background data with Audit.				

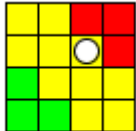
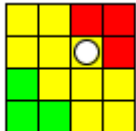

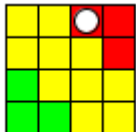




Risk Title	6. Alternative service delivery models						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1718CRR06	Risk that failure to effectively manage (staffing, relationships, contracts) the transition to alternative service delivery models results in the organisation not meeting its statutory responsibilities to residents/customers	Simon Leftley; Andrew Lewis	Strategic	Financial	9		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
1. Control: Corporate Delivery Board Assurance: Reports/Meeting minutes 2. Control: Changes to service delivery considered by Scrutiny/Cabinet/Council Assurance: Reports/Minutes. 3. Control: Government Consultations register to record forthcoming changes in Government policy and potential legislation to enable potential implications to be considered. Assurance: Consultation register held on intranet. 4. Control: Regular tracking of new legislation, government regulations and policy developments. Assurance: Production of Policy briefings and reports to Corporate Management Team.							9
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
1718CRA0601	Explore alternative delivery models for Adult Social Care services	Simon Leftley	31-Mar-2018	May 17: The design of the locality model for services has been completed and the complex care service is now embedded.	✓	4	
1718CRA0603	Implement the outcome of the Library Review in accordance with the delivery plan contained within the Library Development Strategy 2013 – 2028	Scott Dolling	31-Mar-2018	May 17: Works proceeding to revised plan. Leigh Library to be carried over into 2017/18. Works to Westcliff Library completed	✓		

Risk Title	7. Health and Social Care integration						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood
1718CRR07	Risk that failure to integrate health and social care effectively (inc Pioneer, Better Care Fund (BCF) and Care Act) will harm the ability of the health and care system to operate at optimal levels, adversely affecting service provision and council finances.	Simon Leftley	Strategic	Service provision, Financial	12		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		Impact Likelihood
1. Control: Joint Executive Group (JEG). Assurance: Reports/Meeting Minutes. 2. Control: Health and Wellbeing Board. Assurance: Reports/Meeting Minutes. 3. Control: Locality Transformation Group. Assurance: Reports/Meeting Minutes. 4. Control: Corporate Delivery Board. Assurance: Reports/Meeting Minutes.					9		
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	Impact Likelihood
1718CRA0701	Ensure that the Health and Wellbeing Strategy is underpinned by relevant performance indicators	Simon Leftley	31-Mar-2018	May 17: A robust performance framework is in place and is routinely reported to Health and Wellbeing Board. The board continues to review priorities and are currently reviewing focus of activity for the next 12 months. Any change in priorities will require a realignment of performance management framework.	✓	4	
1718CRA0702	Work with Southend Clinical Commissioning Group (CCG) and partners to support Integrated Pioneer status	Simon Leftley	31-Mar-2018	May 17: BCF planning process delayed due to General Election. Improved BCF plan 75% progressed and agreed. Relationships continue to develop and grow aligned to agreed Locality approach.	✓		
1718CRA0703	Better Care Fund (BCF)	Simon Leftley	31-Mar-2018	May 17: Delay to publication of planning for 17/18 - 18/19 documents due to General Election. Current date of publication is unknown. Improved BCF (iBCF) is 75% agreed and due for formal HWB approval.	✓		



Risk Title	8. Contract Management							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	6	 Impact Likelihood	
1718CRR08	Risk that failure to embed effective contract management, combined with contract price inflation, across the authority will result in a loss of value for money, saving opportunities and/or quality of service provision.	Simon Leftley	Strategic	Financial				
Stage 2 - Risk with Controls and Assurances (current risk)								
List of controls and associated assurances to ensure controls are working					Current risk score	6	 Impact Likelihood	
1. Control: Contract price inflation clauses (linked to government indices) included within Highways contracts, Assurance: Contract documentation 2. Control: Capital Projects Board Assurance: Reports/Meeting Minutes 3. Control: Corporate Delivery Board Assurance: Reports/Meeting Minutes 4. Control: Contract management arrangements Assurance: Contract documentation/minutes/								
Stage 3 - Further actions to reduce the risk (target risk)								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	4	 Impact Likelihood
1718CRA0801	Governance and Monitoring of highway contracts to ensure proper management including new processes and workflows to support the management of these contract	Paul Mathieson	31-Mar-2018	May 17: ongoing. Symology work progressing well. Neil Hoskins/Derek Carpenter now managing Lot 1, Justin Styles managing Lot 2 as temporary replacement for David Gilkes	✓			
1718CRA0802	Employ where appropriate professional cost advice on all major projects and update and refresh cost plans on regular basis.	Andrew Lewis	31-Mar-2018	May 17: Utilising in house expertise and conducting early contractor involvement. Call-off framework for cost consultation advice being utilised where required. Project variations reported to Place Department Capital Board.	✓			
1718CRA0803	Deliver a programme of contract management training and support across the organisation.	Mark Atkins	31-Mar-2018	May 17: Have delivered programme of Contract Management to key contract managers across SBC as originally agreed. Further sessions are planned to expand to other stakeholders, but do not form part of this action.	✓			

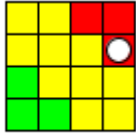
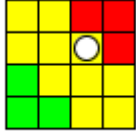
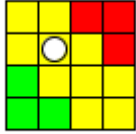
Risk Title	9. Secondary education and school places						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1718CRR09	Risk that failure to provide the required number of school places and to narrow the gap in results at secondary schools will lead to an undesirable level of young people NEET and significant reputational damage for the Council.	Simon Leftley	Strategic	Reputational	9		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
1. Control: Improving Learning Together Strategy in place with impact reviewed by Success for All Group Assurance: Report/Minutes. 2. Control: Partnership with South Essex Teaching School Alliance established Assurance: Reports/Minutes. 3. Control: Pupil Premium Strategy Group Assurance: Reports/Minutes. 4. Control: School Support Improvement Board Assurance: Reports/Minutes. 5. Control: Success for All Children Group Assurance: Reports/Minutes					6		
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
1718CRA0901	Further develop the School Led School Improvement System (school-to-school support).	Brin Martin	31-Mar-2018	May 17: Work continues to build the relationship and operational delivery of SETSA for improving the Sector. New proposals from the DfE will potentially allow this to expand, if any bid was to be successful	✓	4	
1718CRA0902	Provide support to secondary schools causing concern (including working with Regional Commissioner).	Brin Martin	31-Mar-2018	May 17: Support for the current maintained school continues through the IEB. Discussions with the CEO of the two Academies will potentially allow a bid for additional capacity and resource to be made from the DfE for new support for these three schools.	✓		
1718CRA0903	Develop a secondary school places strategy to cater for the increasing pupil numbers.	Brin Martin	31-Mar-2018	May 17: Secondary school place "strategy" high profile, and working its way through SBC processes. Plans worked up to meet the demand in 2018/9, and for 2019/20, contingent upon any changes made resulting from the election outcome.	✓		
1718CRA0904	Establish a strategic Education Board to co-ordinate and monitor performance and policy.	Brin Martin	31-Mar-2018	May 17: Education Board and sub groups working effectively. Improvements resulting from the PwC review being undertaken. Board selected as a finalist in 2017 MJ awards for excellence in governance and scrutiny.	✓		
1718CRA0905	Develop an Education and Skills Strategy	Brin Martin	31-Mar-2018	May 17: Strategy currently being consulted upon and drafted by Place	✓		

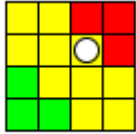
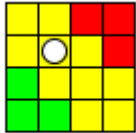
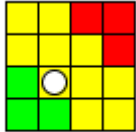
Risk Title	10. Flooding / Cliff Slip							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1718CRR10	Risk that surface water flooding, breach of sea defences and/or seafront cliff movement, will result in damage to property and infrastructure as well as significant disruption.	Andrew Lewis	Strategic	Reputational, Reputational	12		Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)								
List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood	
1. Control: Flooding Reports considered by Cabinet Assurance: Reports/Meeting minutes. 2. Control: Gully cleaning programme in place Assurance: Programme documents. 3. Control: Regular monitoring of Met Office weather alerts Assurance: Alerts/Reports 4. Control: Cabinet/Scrutiny Assurance: Reports/Meeting minutes					9		Likelihood	
Stage 3 - Further actions to reduce the risk (target risk)								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	Impact	Likelihood
1718CRA1001	Ensure compliance with the requirements of the Floods and water Management Act 2010 with regard to Sustainable Drainage Systems (SuDS).	Richard Atkins	31-Mar-2018	May 17: Modelling completed for Central Area; outputs have been presented to SBC. Chalkwell - estimate awaited.		6		Likelihood
1718CRA1002	Jointly investigate with Anglia Water Services, possible improvements to drainage system.	Richard Atkins	31-Mar-2018	May 17: Anglian Water Services to be engaged to discuss modelling outputs for Central Area and Victoria Road, and identify joint or independent actions.				
1718CRA1003	Development of a Cliff Slip Strategy based on a risk minimisation approach	Richard Atkins	31-Mar-2018	May 17: Issue to tender invitations being considered by Procurement				
1718CRA1004	Progression of Sea Defence Scheme at Shoebury Common - consultation options	Richard Atkins	31-Mar-2018	May 17: Preliminary survey work has been undertaken				
1718CRA1005	Shoreline Management Strategy - consultation	Richard Atkins	31-Mar-2018	May 17: Report being prepared for Autumn Cabinet				

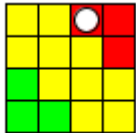
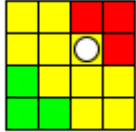
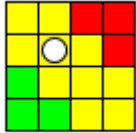
Risk Title	11. Information Management						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood
1718CRR11	Risk that a failure to ensure the Council has a coherent and comprehensive approach to Information Management, and is sufficiently prepared for the General Data Protection Regulation (GDPR), will result in significant financial and reputational damage to the Council	Joanna Ruffle	Strategic	Reputational, Financial	9		Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood
1. Control: Senior Information Risk Owner - Assurance: Annual SIRO report to Cabinet 2. Control: Annual IG Toolkit assessment - Assurance: Report from independent assessment. 3. Control: Regular reports to Corporate Management Team. Assurance: Reports/Minutes 4. Control: Corporate Information Governance Group: Assurance: Reports/Minutes					9		Likelihood
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	Impact
1718CRA1101	Reconstitute the Corporate Information Governance Group to oversee the Information Management Strategy Action Plan and act as project board for implementation of GDPR	Joanna Ruffle	31-Mar-2018	May 17: CMT agreed revised Terms of Reference, 17.05.17, group to meet in June.		12	
1718CRA1102	Develop and implement a GDPR Project Plan	Lysanne Eddy	31-Mar-2018	May 17: GDPR project officer appointed. Draft Project Plan prepared.			
1718CRA1103	Ensure information management is a key part of the Council's transformation agenda.	Joanna Ruffle	31-Mar-2018	May 17: The Council is due to seek a partner to undertake a transformation diagnostic			
1718CRA1104	Ensure the Council's cyber security arrangements are up to date and robust enough to withstand attacks.	Nick Corrigan	31-Mar-2018	May 17: 1. Updated and tested backup regimes to ensure they are encrypted and robust 2. Concluded two major audits of data security and cyber security to satisfactory standard 3. Jointed the national communication of Cyber Notifications (WARP)			
1718CRA1105	Review the Council's approach to use of , including the sharing of, information and data	Joanna Ruffle	31-Mar-2018	May 17: Council is currently a member of the Whole Essex Information Sharing Framework - Issue to be reviewed by the Corporate Information Governance group			

Risk Title	12. Ofsted joint inspection						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1718CRR12	Risk that the actions and expected outcomes from the Children's Services Improvement Plan are not achieved within expected timescales, resulting in a failure to achieve a rating of 'Good' in future Ofsted inspection.	Simon Leftley	Strategic	Reputational	9		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working							
<p>1. Control: Monitoring and updating of the Children Service's Improvement Plan by the CS Improvement Board. Assurance: Reports/minutes of CS Improvement Board meetings.</p> <p>2. Control: Monitoring and updating of the Leadership Narrative Document for Children's services. Assurance: Report/Minutes of Children's Services Improvement Board meetings.</p> <p>3. Control: Children's Service Improvement Board bi-monthly meetings Assurance: Report/Minutes.</p> <p>4. Control: Children's Departmental Management Team. Assurance: Monthly Performance reports/ minutes of meetings.</p> <p>5. Control: People Extended DMT Assurance: Reports to/notes from meetings.</p> <p>6. Control: Local Safeguarding Children's Board (LSCB) to complement the children's service improvement plans Assurance: Reports/minutes.</p> <p>7. Control: Improvement Board Independent Expert, advice and support. Assurance: Reports to John O'Loughlin, Simon Leftley and the Improvement Board</p>					Current risk score	9	
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
1718CRA1202	Develop and enhance the resourcing available to the Council's Children's Service, with the recruitment of additional social workers; the embedding the work of the recently appointed 'Practise Lead' to promote good practice and 'Participation Lead' to	John O'Loughlin	31-Mar-2018	May 17: All additional social workers and the Practice Lead are in post. The initial secondment of the Participation lead has now finished and it has been decided not to recruit to a full time post. This role will be incorporated into a new one year Practice Lead post (approx. 0.3.FTE of the post will be dedicated to young people's participation). We are in the process of recruiting to this post.		6	
1718CRA1203	Implementation of the new social care management system, Liquid Logic, due to go live from April 2017	John O'Loughlin	31-Mar-2018	May 17: The implementation of the LL continues and is on track for a go live date of October 2017.			
1718CRA1204	Embed the new Edge of Care Team, to support those children at risk of entering, or re-entering, the care system (particularly older children at risk from the breakdown of foster care placements.	John O'Loughlin	31-Mar-2018	May 17: Currently 26 cases referred to Edge of Care through either placement panel or via Early help Contact Point – Edge of Care supporting 14 Foster Carers, where the placement is at risk of breaking down, additionally 9 families whose children are at risk of entering care and 3 family reunifications. As a new service Edge of Care is continuing to			

				embed process and structure, the service is now able to record on Carefirst, discussed future recording of data via Liquid Logic, quality assurance systems to measure and evidence outcomes now in place.				
1718CRA1205	Implement and embed the Early Help Phase 2 programme, which, working in partnership with other care professionals will aim to improve the first contact service for vulnerable children.	John O'Loughlin	31-Mar-2018	May 17: Internally Early Help has integrated and there is now a single front door with Early Help and Social care. Currently working on implementing the Transformation Maturity Model toolkit and have seconded a worker from Family Mosaic into the EHFS team. Discussions are being held with Commissioning Team to see how we can align services in the future.				
1718CRA1207	Undertake a full budget and performance review of Children's Services to assess levels of resourcing against the demand for services.	Simon Leftley	31-Mar-2018	May 17: The budget and performance review is currently in a formative stage, scoping and research are being undertaken and commencement of the review is expected in the Autumn. Over the summer a management review is being completed and this will report to the Children services improvement Board in September.				

Risk Title	13. Waste Management						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1718CRR13	Risk of contractor failing to meet contractual requirements to effectively manage waste contractual arrangements results in additional financial liability for the Council and loss of service quality.	Andrew Lewis	Strategic	Reputational, Financial	12		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
1. Control: Regular contract management meetings with suppliers Assurance: Meeting Minutes/Reports 2. Control: Data set monitored by DMT and senior managers Assurance: Reports/Minutes 3. Control: Cabinet/Scrutiny Assurance: Reports/Meeting minutes					9		 Likelihood
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
1718CRA1301	Ensure contractors are performing to service outputs and that performance management is monitored to achieve service standards as specified within relevant	Carl Robinson	31-Mar-2018	May 17: Performance management framework incorporated within the contract. Contractor performance has not achieved some set target outcomes for 2016-17. This is being addressed with senior management to ensure contact compliance is adhered to in future contract years to ensure specification standards are met and Veolia fully comply with their bid submission. Appropriate performance deductions will be applied and where necessary in accordance with the contract.	✓	6	 Likelihood
1718CRA1303	Ensure frontline waste collection, street cleansing and ancillary service contractor is performing to service outputs and that performance management is monitored to achieve service standards as specified within relevant contracts	Carl Robinson	31-Mar-2018	May 17: Performance management framework incorporated within the contract. Contractor performance has not achieved some set target outcomes for 2016-17. This is being addressed with senior management to ensure contract compliance is adhered to in future contract years to ensure specification standards are met and Veolia fully comply with their bid submission. Appropriate performance deductions will be applied and where necessary in accordance with the contract.	✓		
1718CRA1304	Ensure SBC have access to waste disposal and treatment facilities that deliver value for money for the Council.	Carl Robinson	31-Mar-2018	May 17: The MBT facility is still in commissioning phase and the Longstop date 31/1/17 has been missed by the contractor. SBC are continuing with negotiations with ECC to determine its options going forward. Essex and Southend Officer/Member Board meetings are also continuing.	✓		

Risk Title	14. Health Lifestyles						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1718CRR 14	Risk that continued pressure on the health system including Public Health funding results in a failure to adequately address lifestyle behaviours and reduce health inequalities.	Andrea Atherton	Strategic	Financial, Service Provision	9		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
1. Control: Joint Executive Group (JEG). Assurance: Reports/Meeting Minutes. 2. Control: Health and Wellbeing Board. Assurance: Reports/Meeting Minutes. 3. Control: Monthly data set monitored by DMT and senior managers: Assurance: Report/Minutes 4. Control: Cabinet/Scrutiny Assurance: Reports/Meeting minutes					6		 Likelihood
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
17/18 PHA 10	Public Health Responsibility Deal	Lee Watson	31-Mar-2018	May 17: Planning first "Wellbeing Champion" network for businesses, this group will provide feedback loop for PHRD and support co-design future offer of support to businesses through the programme. Planning started for a review of support available for takeaway businesses.	✓	4	 Likelihood
17/18 PHA 14	Healthy Lifestyle Service	Margaret Gray	31-Mar-2018	May 17: MECC still in development (elearning) face to face sessions being planned. Starting discussions regarding alignment with localities. Recovery plan to be requested.	⚠		
17/18 PHA 24	Social marketing programme	Andrea Atherton; Marion Gibbon	31-Mar-2018	May 17: Clean Air Day & National Bike Week being planned (w/c 12.6.17)	✓		
17/18 PHA CPA 08	Physical Activity Strategy	Margaret Gray	31-Mar-2018	May 17: Focus has been around refresh and restructure of community reference group, (Active Southend). First Exec Group meeting planned. Engaged with Coventry on the Move to learn about their approach and if/how it would have benefits in Southend.	⚠		

Risk Title	15. Major Developments							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score			
1718CRR15	Risk that failure of partners to progress major infrastructure developments (e.g. Seaways, Airport Business Park and Queensway) will result in significant financial and reputational damage to the Council.	Simon Leftley; Andrew Lewis	Strategic	Reputational, Financial	12		 Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)								
List of controls and associated assurances to ensure controls are working					Current risk score	9	 Likelihood	
1. Control: Corporate Deliver Board. Assurance: Reports/Minutes. 2. Control: Capital Projects Board Assurance: Reports/Meeting Minutes 3. Control: Project Boards Assurance: Reports/Meeting Minutes 4. Control: Cabinet/Scrutiny Assurance: Reports/Meeting minutes								
Stage 3 - Further actions to reduce the risk (target risk)								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	6	 Likelihood
1718CRA1501	Queensway Area Regeneration Project, 16/17 actions: • Progress the finance option & housing plans for the Queensway area regeneration project • Consultation & communication with existing Queensway residents to inform specifications for the redevelopment.	Emma Cooney	31-Mar-2018	May 17: Report to March Cabinet, agreeing a borough wide decant policy applying to tenants who may have to move as a result of a regeneration project and a local lettings policy for tenants on Queensway Estate in advance of redevelopment/regeneration. Meeting also agreed a process to appoint a preferred project partner. Consultation on related transportation issues due to begin shortly.	✓			
1718CRA1502	Airport Business Park 2016/17 actions: • To commence Phase 1 infrastructure works • To agree Westcliff Rugby Club relocation strategy and commence work • To submit a planning application for the Innovation centre	Andrew Lewis	31-Mar-2018	May 17: £3.2m spent by 31st March 2017 - to be audited for s151 sign of summer 2017 in accordance with SELEP procedures. £19.89m Local Growth Fund (LGF) funding secured Feb 2017 which will pay for the innovation centre design and build however due to the late notification of LGF outcome a planning application has not yet been submitted. Plans are in place to submit later this calendar year.	✓			
1718CRA1503	Seaway Car Park 2016/17 actions: • To support Turnstone to submit a planning application • To meet the Coach Park Relocation Condition • To support Turnstone in securing prime tenants	Joe Chesterton	31-Mar-2018	May 17: Anchor tenant secured subject to contract. Scheme progressing well with planning application due in 2017.	✓			