

# Southend-on-Sea Borough Council

Agenda  
Item No.

Report of Chief Executive and Town Clerk  
To

**Audit Committee**

On

**29<sup>th</sup> June 2016**

Report prepared by:  
Tim MacGregor – Team Manager, Policy and Information

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**2016-17 Corporate Risk Register**

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**Executive Councillor – Cllr Lamb**

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**A Part 1 Public Agenda Item**

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## **1 Purpose of Report**

1.1 To consider the 2016/17 Corporate Risk Register.

## **2 Recommendations**

2.1 **That CMT/Audit Committee considers the 2016/17 Corporate Risk Register.**

## **3 Background**

### **3.1 Corporate Risk Register 2016/17**

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 Risk Register has been refreshed to reflect the challenges for 2016/17 and is attached at **Appendix 1**.

3.1.3 The Corporate Management Team have identified the following areas to be included in, and then reviewed, as part of the Corporate Risk Register for 2016/17:

- Council Budget for 2017-20
- Recruiting and retaining staff
- Partnership arrangements
- Housing Policy
- Local Infrastructure
- Alternative service deliver models
- Health and Social Care Integration
- Contract management
- Secondary education and school places
- Surface water flooding
- Seafront cliff movement
- Ofsted joint inspection
- Waste Management
- Healthy Lifestyles
- Major developments

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 will be 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 Corporate Delivery Board 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 - Corporate Assurance Risk Register 2016/17**



# Corporate Assurance Risk Register June 2016/17

## Contents

- Section 1**            **3 Stage Risk Scoring Process**  
Brief description of the 3 stage risk scoring process and clarification of each stage
- Section 2**            **Risk Matrix**  
The matrix used for calculating Risk score.
- Section 3**            **Corporate Assurance Risk Register**
- Inherent, Current and Target scores
  - Controls and Assurances
  - Future Actions and comments.

Southend-on-Sea Borough Council's Corporate Assurance and Risk Register is a best practice template for recording and managing risks. The Council also promotes the use of Assurance and Risk Registers for managing risks within service areas which are recorded and managed in service and project plans.

The Risk Register is a management tool where a review and updating process identifies, assesses and manages down the risk to acceptable levels. It provides a framework in which problems that may arise and adversely affect the delivery of the Council's aims and priorities are captured and actions instigated to reduce the likelihood and impact of that particular risk.

## Section 1 - Three Stage Risk Scoring Process

Southend-on-Sea Borough Council operates a 3 Stage Risk Scoring process as outlined in the Council's Risk Management Toolkit which is available on the Council intranet site. The information below offers a brief overview of each stage of the Risk process.

**Inherent score** – the risk scored with no controls, assurances or actions in place.

**Current score** – the risk scored with controls, assurances and progressed actions.

**Target score** – the risk score with controls and assurances in place and linked actions completed.

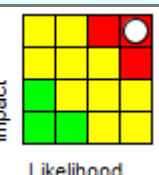
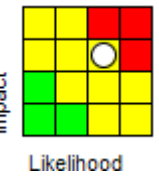
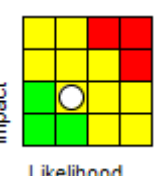
As controls and assurances are put in place and actions completed the Risk will be more controlled and, therefore, the current score moves towards the Target Score. The current score from the last reported Corporate Risk Register is shown in brackets.

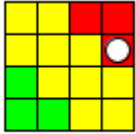
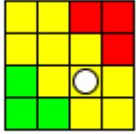

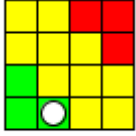



## Section 2 - Risk Matrix

E X A M P L E S				IMPACT	CORPORATE RISK GRID			
Reputational:	Compliance	Financial:	Service Provision / Continuity:					
National publication (name and shame) by external body leading to a loss of control over the running of Council operations. Front page of national paper.	The council faces serious penalties or prosecution & criticism from institutions such as, Ombudsman, Information commissioner. Customers are treated unfairly & suffer damage by the council.	Over £1m loss More than 20% of total budget individually or cumulatively	Service delivery affected by over 3 months. Statutory / critical service delivery will cease for a period of time without any effective contingency.	Catastrophic	4	8	12	16
National or local front-page press article leading to a reduced ability to affectively deliver one or more services. National press article.	The council may face criticism and be ordered to comply with legislation by an external body as a result of a breach.	Between £500k - £1m, 10-20% of total budget individually or cumulatively	Delivery affected between 1 & 3 Months. Loss of a non-critical service for a significant period of time.	Severe	3	6	9	12
Disgruntled local groups/ individuals possibly leading to internal complaints with research into the causes. Local press article &/or ombudsman enquiry.	The council may commit largely undetectable breaches in legislation and internal procedures that could have other minor effects on reputation, service delivery etc.	Between £50k - £499k, 5 – 10% of total budget individually or cumulatively	Delivery affected by up to 1 month. Minor disruption or inconvenience to service delivery & customers. (Reduced staffing, late opening, temp loss of IT).	Material	2	4	6	8
Rumour and gossip	All other material risks.	Under £50k, less than 5% of total budget individually or cumulatively	Minor disruption	Negligible	1	2	3	4
					Unlikely <10%	Likely 10-40%	Very Likely 40-75%	Almost Certain >75%
					LIKELIHOOD			

# 2016-17 Corporate Risk Register

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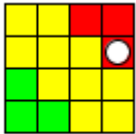
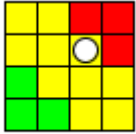
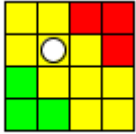
Risk Title	1. Budget for 2017-20						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1617CRR01	Risk that the scale of predicted funding reductions for 2017-20 budgets will result in significant adverse impact on council services	Sally Holland	Strategic	Financial/Reputational	16		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working							
<p><b>1. Control:</b> Budget setting process to identify required savings through: budget proposal reports to Departmental and Corporate Management Teams; member seminars; Cabinet; Scrutiny Committees; Council <b>Assurance:</b> reports to and minutes of meetings.</p> <p><b>2. Control:</b> Management oversight of budget setting process through: reports to CMT and Administration <b>Assurance:</b> Reports/Minutes</p> <p><b>3. Control:</b> Senior member and Chief Executive challenge to departments on proposed savings <b>Assurance:</b> Reports and minutes of meetings.</p> <p><b>4. Control:</b> Director challenge to Heads of Service <b>Assurance:</b> Minutes of Departmental Management Team meetings/emails.</p> <p><b>5. Control:</b> Medium Term Financial Strategy (MTFS), including budget pressures to regularly consider financial impact of Government policy reported to CMT, Cabinet and Council <b>Assurance:</b> Reports and minutes of meetings.</p>					Current risk score	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	
1617CRA0101	Continually monitor and assess government's position on grant to be distributed to Local Authorities and other Government announcements that impact funding	Joe Chesterton	31-Mar-2017	Head of Finance and Resources horizon scanning for all relevant government announcements. Utilising treasury network as an additional source of information.	✓	4	 Likelihood
1617CRA0102	Budget Timeline outlining key milestones to be agreed with the Administration and Senior Leadership Team.	Joe Chesterton	30-Sep-2016	In progress - draft timeline being prepared.	✓		
1617CRA0103	All Member briefing session on local government finance	Joe Chesterton	31-Oct-2016	Briefing session planning underway.	✓		
1617CRA0104	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-2017	Relevant meetings have been arranged and will be included in budget timeline. Cabinet/CMT meeting to be held in July.	✓		

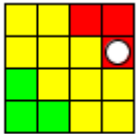
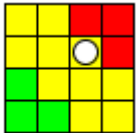

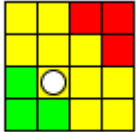



Risk Title	2. Recruiting and retaining staff						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood
1617CRR02	Risk that failure to retain or recruit staff with the required skills and experience will result in an inability to deliver key projects or services to meet expectations of residents, members, businesses and partners.	Sally Holland	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	Impact	Likelihood
<p><b>1. Control:</b> Managing Organisational Change Policy; Redeployment Policy &amp; Procedure; Redundancy Policy &amp; Procedure <b>Assurance:</b> Policy documents available via intranet.</p> <p><b>2. Control:</b> Oversight of policies and procedures to ensure consistency of HR policies and processes and in implementing policies relating to restructures through the People Management &amp; Development Working Party; Corporate Management Team and Workforce Planning Panel <b>Assurance:</b> Reports to and Minutes of meetings.</p> <p><b>3. Control:</b> All staff vacancies, redeployments and redundancies reviewed by the Workforce Planning Panel <b>Assurance:</b> Minutes of Workforce Planning Panel</p> <p><b>4. Control:</b> New recruitment provider to identify recruitment hotspots and plan effective recruitment campaigns <b>Assurance:</b> Service Level Agreement, Contract management.</p>					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	Impact
1617CRA0201	Continue to embed Talent Management Strategy (including apprenticeships, graduate traineeships, graduate sponsorships and career progression)	Joanna Ruffle	31-Mar-2017	Specific action identified within People Management Strategy action plan to progress this work.		2	
1617CRA0202	Participate in regional Children's Social Care Workforce project	Joanna Ruffle	31-Mar-2017	Project to continue into 2 <sup>nd</sup> year subject to approval at East of England Chief Executive Forum on 10 <sup>th</sup> June.			
1617CRA0203	Participate in regional Planners Workforce project	Dean Hermitage	31-Mar-2017	Initial meeting held to scope project. Being considered at East of England Chief Executive Forum on 10 <sup>th</sup> June.			
1617CRA0204	Develop a framework contract to deliver professional/interim resources to supplement the Reed contract	Joanna Ruffle	31-Mar-2017	Corporate Management Team approved report. Resources to develop framework currently being recruited.			



Risk Title	<b>3. Partnership arrangements</b>							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1617 CRR 03	Risk that failures in partnership working as a result of pressures on partner organisations reduces the ability of the Council to achieve its objectives and adversely affects service provision and council finances.	Rob Tinlin	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	
<p><b>1. Control:</b> 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 , <b>Assurance:</b> Minutes/Reports</p> <p><b>2. Control:</b> Corporate Delivery Board <b>Assurance:</b> Minutes/Reports</p> <p><b>3. Control:</b> Success For All Children Group <b>Assurance:</b> Children and Young People Plan/Reports/Minutes</p> <p><b>4. Control:</b> Health and Wellbeing Board <b>Assurance:</b> Joint Health and Wellbeing Strategy/Report/Minutes</p>								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
1617CRA03 01	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-2017	Dr Anita Donley appointed as Mid and South Essex STP lead. Submission due from Essex Success Regime STP footprint at end of June 2016. Southend on Sea Borough Council (SBC) to draft and submit letter to Essex Success Regime programme office setting SBC position and requirements for STP plan.				
1617CRA03 03	Work with Government and local partners to develop and deliver a devolution deal which maximises benefits for Southend, building on City Deal and profile of the Thames Gateway	Andrew Lewis	31-Mar-2017	In May, Leaders and Chief Executives meeting voted against a devolution deal with a Mayor but that finding other ways of achieving the outcomes and mechanisms agreed through the process should be explored. The announcement of the Thames Estuary 2050 Growth Commission in the 2016 Budget now draws particular attention to this area with potential opportunities to raise profile and attract new investment. Officers are in regular contact with civil servants to keep updated on engagement opportunities with a forward plan for the Commission expected mid-late June.				
1617CRA03 04	Secure funding to ensure on-going sustainability of the BEST Growth Hub within the LEP umbrella	Andrew Lewis	31-Mar-2017	Outline bid has been progressed to full business case which is going through final negotiations with DCLG prior to submission for approval				

1617CRA03 04	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-2017	Four business cases for projects in Southend have been prepared and submitted to an independent evaluator. These business cases will be assessed against the SELEP prioritisation framework ready to be agreed by the Growth Partnership then submitted by the LEP to Government by 28th July. The link to the Thames Estuary Growth Commission is key in the narrative linking these projects.				
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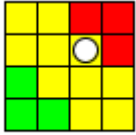
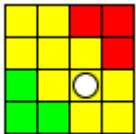
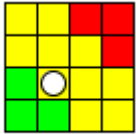
Risk Title	4. Housing Policy						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	12	 Likelihood
1617CRR04	Risk that changes to government housing policy (such as selling off high value council properties) and increasing levels of housing need (notably homelessness) results in further significant pressure on council budgets.	Simon Leftley	Strategic	Financial			
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					Current risk score	9	 Likelihood
<b>1. Control:</b> Core Strategy and Local Development Plan in place <b>Assurance:</b> Strategy documents <b>2. Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes <b>3. Control:</b> Housing Strategy <b>Assurance:</b> Documents							
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	 Likelihood
1617CRR0401	Review and update Housing Strategy in light of the Thames Gateway South Essex Strategic Market Assessment and housing policy announcements.	Sharon Houlden	31-Mar-2017	An organisation wide Corporate Housing Strategy being developed with input from Housing, Planning and Finance.	✓	6	
1617CRR0402	Work in partnership to develop affordable housing	Sharon Houlden	31-Mar-2017	On-going discussions with Registered Providers and Developers	✓		
1617CRR0403	Work collaboratively to develop a coordinated approach to homelessness prevention.	Sharon Houlden	31-Mar-2017	Work stream underway bringing together a range of services to review service delivery and complexity of need of those presenting as homeless. Being picked up as an element of the Corporate Housing Strategy.	✓		

Risk Title	<b>5 Local Infrastructure</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1617CRR05	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		
<b>1. Control:</b> Highway/Footpath Assets Management inventory in place <b>Assurance:</b> Reports <b>2. Control:</b> Monthly progress reported to DMT and senior managers <b>Assurance:</b> Reports/Minutes <b>3. Control:</b> Regular reporting to Capital Delivery Board <b>Assurance:</b> Reports/Minutes <b>4. Control:</b> Cabinet/Scrutiny <b>Assurance:</b> 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	
1617CRR0501	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-2017	Project board and governance structure set up. Dedicated project officer in place. Project Board meets monthly to monitor progress and is chaired by Corporate Director for Place.		4	 Likelihood
1617CRR0502	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-2017	Local Growth Fund (LGF) investment update: £3.2m agreed for Airport Business Park. 10 <sup>th</sup> June Accountability Board to sign off business case for Kent Elms junction (final scheme design to be confirmed) and Southend Central Area transport scheme. Process of prioritisation underway for LGF phase 3 projects: Better Queensway and Airport Business Park put forward.			
1617CRR0503	Conduct detailed self-assessment to support Challenge Fund bid	Paul Mathieson	31-Mar-2017	Underway and part of Transport Asset Management Plan project.			
1617CRR0504	Complete Whole Government Account return (with Finance Dept)	Paul Mathieson	31-Mar-2017	Underway and part of Transport Asset Management Plan project.			

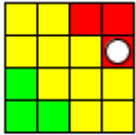
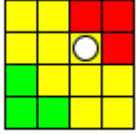

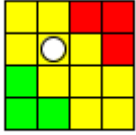

Risk Title	6. Alternative service delivery models							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1617CRR06	Risk that failure to effectively manage (staffing, relationships, contracts) 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	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><b>1. Control:</b> Corporate Delivery Board <b>Assurance:</b> Reports/Meeting minutes</p> <p><b>2. Control:</b> Changes to service delivery considered by Scrutiny/Cabinet/Council <b>Assurance:</b> Reports/Minutes.</p> <p><b>3. Control:</b> Government Consultations register to record forthcoming changes in Government policy and potential legislation to enable potential implications to be considered. <b>Assurance:</b> Consultation register held on intranet.</p> <p><b>4. Control:</b> Regular tracking of new legislation, government regulations and policy developments. <b>Assurance:</b> Production of Policy briefings and reports to Corporate Management Team.</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	Likelihood
1617CRA0501	Explore alternative delivery models for Adult Social Care services	Simon Leftley	31-Mar-2016	Considerable work undertaken between SBC and Southend CCG in remodelling community recovery pathways including development of localities. Work streams being overseen by Sharon Houlden.		4		
1617CRA0502	Implement the new model of service delivery for Ground Maintenance Service	Nick Harris	31-Mar-2016	New model of service delivery operational since 1st April 2016.				
1617CRA0503	Implement the outcome of the Library Review in accordance with the delivery plan contained within the Library Development Strategy 2013 – 2028	Nick Harris	31-Mar-2016	Work being undertaken to develop a programme of capital improvement works at Leigh, Kent Elms & Westcliff.				
1617CRA0504	Continue to embed the Council's new frontline waste collection, street cleansing and ancillary service contracts	Dipti Patel	31-Mar-2016	New contract started on 5th October 2015 and includes commitment to increase recycling rates to 60% and redesigning the Household Waste Recycling Centres.				

Risk Title	7. Health and Social Care Integration					
<b>Stage 1 - Risk without controls (Inherent risk)</b>						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood
1617CRR07	Risk that failure to integrate health and social care effectively (inc Pioneer, Better Care Fund 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	 Likelihood
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>						
<b>List of controls and associated assurances to ensure controls are working</b>					Current risk score	Impact Likelihood
<p>1. <b>Control:</b> Joint Executive Group (JEG). <b>Assurance:</b> Reports/Meeting Minutes.</p> <p>2. <b>Control:</b> Health and Wellbeing Board. <b>Assurance:</b> Reports/Meeting Minutes.</p> <p>3. <b>Control:</b> Locality Transformation Group. <b>Assurance:</b> Reports/Meeting Minutes.</p> <p>4. <b>Control:</b> Corporate Delivery Board. <b>Assurance:</b> Reports/Meeting Minutes.</p>						
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>						
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score Impact Likelihood
1617CRA0701	Ensure that the Health and Wellbeing Strategy is underpinned by relevant performance indicators	Simon Leftley	30-Sep-2016	A robust performance framework is in place and is routinely reported to Health and Wellbeing Board.		 Likelihood
1617CRA0702	Work with Southend Clinical Commissioning Group (CCG) and partners to support Integrated Pioneer status	Simon Leftley	31-Mar-2017	Integrated Commissioning function now well established between CCG and SBC. Work programme to support the Pioneer is now completely aligned with BCF work programme re Locality Transformation and the redesign of adult social care.		
1617CRA0703	Better Care Fund (BCF)	Simon Leftley	31-Mar-2017	For 2016/17 the BCF plan has been approved and will be formally created through a S75 agreement. This will be completed by 30th June 2016. Pioneer Programme Board has changed to the Locality Transformation Group and reports directly to the Senior Officers Transformation Oversight group and Health and Wellbeing Board.		

Risk Title	<b>8. Contract Management</b>							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score			
1617CRR08	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	9		 Impact 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	 Impact Likelihood	
<b>1. Control:</b> Contract price inflation clauses (linked to government indices) included within Highways contracts, <b>Assurance:</b> Contract documentation <b>2. Control:</b> Capital Projects Board <b>Assurance:</b> Reports/Meeting Minutes <b>3. Control:</b> Corporate Delivery Board <b>Assurance:</b> Reports/Meeting Minutes <b>4. Control:</b> Contract management arrangements <b>Assurance:</b> Contract documentation/minutes/meetings								
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
1617CRR0801	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-2017	Service mangers for the five lots continue to manage and monitor the contracts. New processes and workflows being developed e.g. Symology and in conjunction with Asset Management Plan.	✓			
1617CRR0802	Employ where appropriate professional cost advice on all major projects and update and refresh cost plans on regular basis.	Andrew Lewis	31-Mar-2017	Utilising in house expertise and conducting early contractor involvement. Call-off framework for cost consultation advice being utilised where required. Project variations reported to Corporate Delivery Board.	✓			
1617CRR0803	Deliver a programme of contract management training and support across the organisation.	Mark Atkins	31-Mar-2017	Training content/delivery being scoped. Procurement advisors linking with contract managers for contracts over threshold (£75k).	✓			

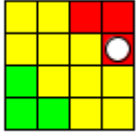
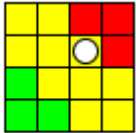
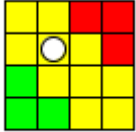
Risk Title	<b>9. Secondary education and school places</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1617CRR09	Risk that failure to provide the required number of school places and failure to narrow the gap in results at secondary schools will lead to an undesirable level of young people not in education, employment or training (NEET) and significant reputational damage for the Council.	Simon Leftley	Strategic	Reputational	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		
<b>1. Control:</b> Improving Learning Together Strategy in place with impact reviewed by Success for All Group <b>Assurance:</b> Report/Minutes. <b>2. Control:</b> Partnership with South Essex Teaching School Alliance established <b>Assurance:</b> Reports/Minutes. <b>3. Control:</b> Pupil Premium Strategy Group <b>Assurance:</b> Reports/Minutes. <b>4. Control:</b> School Support Improvement Board <b>Assurance:</b> Reports/Minutes. <b>5. Control:</b> Success for All Children Group <b>Assurance:</b> Reports/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	
1617CRA0901	Further develop the School Led School Improvement System (school-to-school support).	Brin Martin	31-July-2017	A formal Service Level Agreement with South Essex Teaching Schools Alliance (SETSA) has been agreed. Action plan to deliver outcomes in place – monitoring on-going.	✓	4	 Likelihood
1617CRA0902	Provide support to secondary schools causing concern (including working with Regional Commissioner).	Brin Martin	31-July-2017	Work on-going to develop effective partnership arrangements with schools and the Regional Commissioner. The Education Board and associated sub-groups will effectively challenge and support schools causing concern.	✓		
1617CRA0903	Develop a secondary school places strategy to cater for the increasing pupil numbers.	Brin Martin	31-Mar-2017	Expansions to meet the need for September 2018 are progressing well with schools moving towards the feasibility and design stage.	✓		
1617CRA0904	Establish a strategic Education Board to co-ordinate and monitor performance and policy.	Brin Martin	31-Mar-2017	Positive initial discussions have taken place with key stakeholders. A proposal will be going to the schools forum in June.	✓		
1617CRA0905	Develop an Education and Skills Strategy	Brin Martin	31-Mar-2017	Meetings have taken place to establish a small working group involving SBC and partners from Southend Adult and Community College and South Essex College.	✓		



Risk Title	<b>10. Surface water flooding</b>							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1617CRR10	Risk that surface water flooding, due to overwhelmed drainage infrastructure, will result in damage to property and infrastructure as well as significant disruption.	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	Impact	Likelihood	
<p>1. <b>Control:</b> Flooding Reports considered by Cabinet <b>Assurance:</b> Reports/Meeting minutes.</p> <p>2. <b>Control:</b> Gully cleaning programme in place <b>Assurance:</b> Programme documents.</p> <p>3. <b>Control:</b> Regular monitoring of Met Office weather alerts <b>Assurance:</b> Alerts/Reports</p> <p>4. <b>Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes</p>					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
1617CRA1001	Jointly investigate with Anglia Water Services, possible improvements to drainage system.	Richard Atkins	31-Mar-2017	Investigation and modelling of existing system at Marine Parade and Victoria Road being carried out by Anglian Water including potential improvements. Other flood risk sites to be investigated based on prioritised list from previous flood events.		6		Likelihood
1617CRA1001	Ensure compliance with the requirements of the Floods and water Management Act 2010 with regard to Sustainable Drainage Systems (SuDS).	Paul Mathieson	31-Mar-2017	Officer appointed with responsibility for SuDS and advising planning and scheme developers on technical requirements. Study underway into benefits of SuDS for town centre and sea front. Minor schemes being implemented.				


Risk Title	<b>11. Seafront cliff movement</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1617CRR 11	Risk that a seafront cliff movement will result in damage to property, transport dislocation and significant financial and reputational damage to the Council.	Andrew Lewis	Strategic	Reputational, 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		
<b>1. Control:</b> Corporate Deliver Board <b>Assurance:</b> Reports/Minutes <b>2. Control:</b> Regular reporting to DMT <b>Assurance:</b> Reports/Minutes <b>3. Control:</b> Cabinet/Scrutiny <b>Assurance:</b> 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	
1617CRR 1101	Development of a Cliff Slip Strategy based on a risk minimisation approach	Richard Atkins	31-Mar-2017	Funding identified in 2016/17 capital programme. Consultant being appointed to provide advice.	✓	6	
1617CRR 1002	Completion of stabilisation work at Clifton Drive	Richard Atkins	31-Mar-2017	Stabilisation work on-going. Work programme being monitored. Anticipated completion date – end of July 2016	✓		

<b>Risk Title</b>	<b>12. Ofsted joint inspection</b>							
<b>Stage 1 - Risk without controls (Inherent risk)</b>								
<b>Code</b>	<b>Risk - CAUSE, EVENT, EFFECT</b>	<b>Risk Owner</b>	<b>Risk type</b>	<b>Risk category</b>	<b>Inherent risk score</b>			
1617CRR 12	Risk that increased demand for child safeguarding services and on-going financial and partnership challenges results in a lower than anticipated Ofsted joint inspection rating.	Simon Leftley	Strategic	Reputational	9			
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>								
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>	6		
<p>1. <b>Control:</b> Ofsted Inspection Planning Group <b>Assurance:</b> Report/Minutes.  2. <b>Control:</b> Inspection Preparation Plan monitored by Ofsted Inspection planning group <b>Assurance:</b> Report/Minutes.  3. <b>Control:</b> Inspection Logistics Plan outlining key timelines/personnel <b>Assurance:</b> Report.  4. <b>Control:</b> Monthly data set monitored by DMT and senior managers <b>Assurance:</b> Report/Minutes  5. <b>Control:</b> HoS is member of Police's Gold Command advisory group <b>Assurance:</b> Regular attendance at meetings.</p>								
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>								
<b>Code</b>	<b>Actions to further mitigate risk / maximise opportunities</b>	<b>Action Owner</b>	<b>Due date</b>	<b>Comments / update on progress</b>	<b>RAG Status</b>	<b>Target risk score</b>	4	
1617CRR 1201	Conduct detailed performance analysis to identify areas for improvement using for example the Annual Safeguarding Report and Children and Young People Plan needs assessment.	John O'Loughlin	31-Mar-2017	Work on-going to identify areas for improvement building on the self-assessment.	✔			
1617CRR 1202	Conduct a detailed self-assessment against the inspection criteria	John O'Loughlin	31-Mar-2017	Self-assessment completed and regularly reviewed.	✔			
1617CRR 1203	Monitor the outcome for Local Authorities who have recently been inspected.	John O'Loughlin	31-Mar-2017	All published inspection reports from other authorities reviewed for key inspection criteria.	✔			

Risk Title	<b>13. Waste Management</b>							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score			
1617CRR13	Risk that failure to effectively manage waste contractual arrangements results in additional financial liability for the Council and loss of service quality.	Andrew Lewis	Strategic	Financial 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	9	 Likelihood	
<b>1. Control:</b> Regular contract management meetings with suppliers <b>Assurance:</b> Meeting Minutes/Reports <b>2. Control:</b> Data set monitored by DMT and senior managers <b>Assurance:</b> Reports/Minutes <b>3. Control:</b> Cabinet/Scrutiny <b>Assurance:</b> 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
1617CRR1301	Ensure contractors are performing to service outputs and that performance management is monitored to achieve service standards as specified within relevant contracts	Dipti Patel	31/03/17	The Veolia contract commenced October 2015. There is a robust contract performance management framework in place and this is regularly monitored to ensure the contract delivers the outcomes required. Through the current roll out period of service changes, significant problems have been experienced and escalated to contractor's senior management. Recovery plans and additional resources allocated to rectify the position and ensure the outcomes are achieved.	✔			
1617CRR1302	New Mechanical Biological Treatment Waste Facility to become fully operational (currently in commissioning).	Dipti Patel	31/03/17	The MBT facility is currently within the commissioning phase. All Southend Borough Council's household waste being taken into the MBT. Several contractor performance issues identified are causing concern. This is being tracked through the Essex and Southend Officer/Member Board meetings.	✔			

Risk Title	14. Health Lifestyles						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1617CRR 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		
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					Current risk score	6	
<b>1. Control:</b> Joint Executive Group (JEG). <b>Assurance:</b> Reports/Meeting Minutes. <b>2. Control:</b> Health and Wellbeing Board. <b>Assurance:</b> Reports/Meeting Minutes. <b>3. Control:</b> Monthly data set monitored by DMT and senior managers. <b>Assurance:</b> Report/Minutes <b>4. Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes							
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
1617CRR 1401	Implement the Southend physical activity strategy	Margaret Gray	31-Mar-2017	Southend Physical Activity Strategy being considered by Cabinet 28 <sup>th</sup> June.	✓	4	
1617CRR 1402	Develop a social marketing programme to raise awareness of main lifestyle risk factors contributing to poor health	Andrea Atherton	31-Mar-2017	Developing programme utilising materials from Public Health England 'One You' campaign. Launch event planned for July 2016.	✓		
1617CRR 1403	Mobilise the Southend Healthy Lifestyle Service	Margaret Gray	31-Mar-2017	Service launched at beginning of June. Service incorporates advice and prevention initiatives.	✓		
1617CRR 1404	Continue to deliver Southend Public Health Responsibility Deal for local employers	James Williams	31-Mar-2017	Performance currently strong for number of businesses signing up. Event planned for 14 <sup>th</sup> July bringing together businesses to share best practice and benefits.	✓		

Risk Title	<b>15. Major Developments</b>							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1617CRR15	Risk that failure to progress major infrastructure developments (e.g. Seaways, Airport Business Park and Queensway) will result in significant financial and reputational damage to the Council.	Corporate Directors	Strategic	Financial Reputational	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	
<b>1. Control:</b> Corporate Deliver Board. <b>Assurance:</b> Reports/Minutes. <b>2. Control:</b> Capital Projects Board <b>Assurance:</b> Reports/Meeting Minutes <b>3. Control:</b> Project Boards <b>Assurance:</b> Reports/Meeting Minutes <b>4. Control:</b> Cabinet/Scrutiny <b>Assurance:</b> 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
1617CRR1501	Queensway Area Regeneration Project, 2016/17 actions: <ul style="list-style-type: none"> <li>Progress the finance option and housing plans for the Queensway area regeneration project</li> <li>Consultation and communication with existing residents of the Queensway development to inform specifications for the redevelopment.</li> </ul>	Simon Leftley	31-Mar-17	Process of prioritisation underway for Local Growth Fund phase 3 projects, business case for Better Queensway put forward. Continued consultation and engagement with residents and businesses. Work commenced on the outline planning application.		6		
1617CRR1502	Airport Business Park 2016/17 actions: <ul style="list-style-type: none"> <li>To commence Phase 1 infrastructure works</li> <li>To agree Westcliff Rugby Club relocation strategy and commence work</li> <li>To submit a planning application for the Innovation centre</li> </ul>	Sally Holland	31-Mar-17	£3.2m infrastructure funding secured through Local Growth Fund. Process of prioritisation underway for Local Growth Fund phase 3 projects: Airport Business Park put forward. Agreement with Westcliff Rugby Club being progressed.				
1617CRR1503	Seaway Car Park 2016/17 actions: <ul style="list-style-type: none"> <li>To support Turnstone to submit a planning application</li> <li>To meet the Coach Park Relocation Condition</li> <li>To support Turnstone in securing prime tenants</li> </ul>	Sally Holland	31-Mar-17	Continuing to support Turnstone with planning application and tenant negotiations. Work underway on options for Coach Park Relocation condition.				

1617CRR15 04	Generally to ensure that all major infrastructure projects do not have adverse impacts on Southend e.g. on the highways network	Sally Holland	31-Mar-17	On-going engagement with developers regarding proposed major infrastructure projects across the borough.				
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