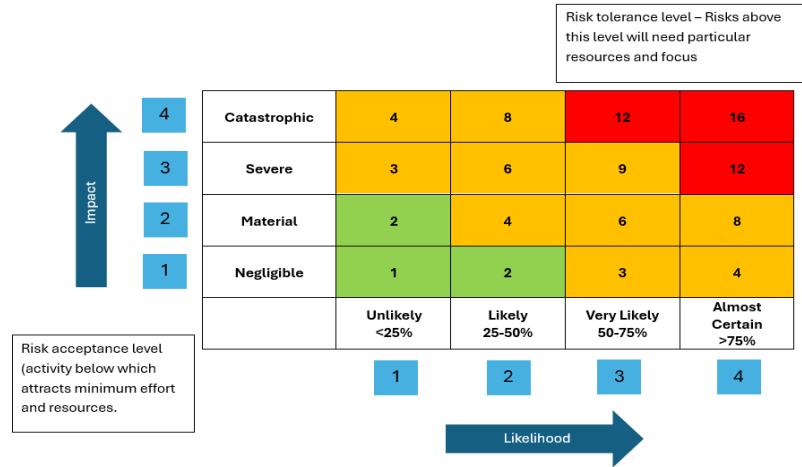


Corporate Risk Register October 2024

Corporate Risk Matrix



Corporate Risk Heat Map



Catastrophic			D, H	
Severe		C, F	E, I	
Material			A, B, G	
Negligible				
	Unlikely <25%	Likely 25-50%	Very Likely 50-75%	Almost Certain >75%

Direction of Travel Key

- Increasing
- Stable
- Reducing

URN	Risk Description	Potential Causes	Potential Consequences (Event & Effect)	Key Controls currently in place	Residual Risk Impact	Residual Risk Likelihood	Residual Risk Score	Key Actions	Target Risk Impact	Target Risk Likelihood	Target Risk Score	Direction of Travel	Review Date	Risk Manager	Risk Owner
A	Care provider market unable to meet needs of statutory services.	Availability of suitably qualified workforce. Financial viability in current care market.	Unable to meet statutory responsibilities, leading to care not being provided in a timely manner. and unmanaged increase in cost of care for services.	Social Care Workforce Strategy 2023-27. Provider Failure Policy. Market Position Statement. Commissioning Statement. Caring Well Strategy 2022-27. Aging Well Strategy 2022-27. Living Well Strategy 2022-27. Framework Commissioning Strategy.	2	3	6	1. Connected Southend Model delivery. 2. Delivery of the action plans included in the current strategies.	2	1	2	→	Mar-25	Director of Commissioning	Executive Director of Adults & Communities
B	Failure to adopt a local plan.	Implications including the impact on the surrounding infrastructure to cope with increasing demand/population. Lack of political consensus on how we meet government requirements and balance the needs of the city, particularly identifying site allocations to meet identified housing need. Changes in government policy and planning reform. If resources and budget was to diminish and supporting evidence was delayed.	Reputational risk. Reduced control over land allocation and development in the City, including type and location. Reduced opportunities for funding, affordable housing contributions and aligning infrastructure delivery, unable to make strategic case for infrastructure investment. Risk of government intervention and reputational damage. Developers invest elsewhere - direct impact on inward investment and certainty of opportunity.	Suitably resourced programme of activity, including member engagement, right through to plan adoption. Thorough and comprehensive evidence base to support plan development.	2	3	6	1. Regular member briefings. 2. Right resources across the team and clear communication and engagement plan. 3. Project planning, including with consultants involved in specialist evidence preparation.	2	2	4	→	Mar-25	Director of Planning & Economy	Executive Director of Environment & Place


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C	Failure to mobilise new waste collection contract.	Provider capability. Insufficient resource to support mobilisation including communications campaign. Vehicle order lead-in time.	Poor resident satisfaction. Poor waste management outcomes. Very significant cost and resource required to rectify and meet statutory obligations. Public Health risk with bins not collected. Reputational damage.	Procurement complete and new contract awarded (pending final legal completion). Careful planning for transition including sufficient mobilisation resource for both contractor and council. Agreement with new contractor for vehicle commissioning. Strong supplier management and relationship building through transition.	3	2	6	1. Constant and continued dialogue and contract management with outgoing and incoming contractors. 2. Good clear communications plan. 3. Ensuring sufficient resource is in place and maintained throughout mobilisation by both contractor and council.	3	1	3		Mar-25	Director of Infrastructure & Environment	Executive Director of Environment & Place
D	Financial resilience and sustainability - The Council's spending continues to exceed the available resources to an extent that it cannot be managed in the short term.	Unable to gain approval for or deliver potential cost saving / income generation initiatives. Income from fees and charges, grants, Council Tax and Business Rates is insufficient to cover net expenditure. Central Government funding is less than anticipated. Increasing local demand and cost of delivering statutory social care services. Budget setting fails to identify sufficient savings efficiencies and or generate extra income, to meet service requirements. Inability to control expenditure demands within approved budgets. A lack of availability of, or failure to apply for, external funding or grants.	Use of the Council's reserves is not sustainable to bridge income/expenditure funding gaps in the medium term. Need to reduce expenditure impacts on delivery of services to residents. The Council is forced to seek exceptional financial support from the Government. The S151 Officer has to issue a S114 report to Full Council. External auditor issues a qualified report. Government may step in to administer Council functions.	Finance & Corporate Performance Reports - scrutinises Council financial performance. Medium term financial strategy (MTFS). Regular Budget challenge and Monitoring. Prudent and effective use of reserves. Service transformation programme. Raising awareness and accountability for financial management across the Council. A range of budgetary control factors under the remit of ED F&R and CEx and those approved by Members. Review and reprioritisation of capital investment programme.	4	3	12	1. Approval of a balanced budget for 2024/25. 2. Approval of a medium term financial strategy clearly setting out the ongoing financial position. 3. Working with services to deliver their agreed savings and budgets through 2024/25. 4. Transformation Board focus on tracking of delivery of actions to achieve savings. 5. Contribute to lobbying for financial support for the sector. 6. Post 30 October 2024 Autumn Budget Statement, Finance Team to review the impact for the Council and attempt to clarify some of the uncertainty currently being faced over funding and cost and demand for services. 7. Comprehensive Spending Review preparation for 2026/27 to 2028/29.	4	3	12		Mar-25	Director of Financial Services	Executive Director of Finance & Resources



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E	Increasing levels of homelessness, increasing pressure on other services including temporary accommodation.	Loss of temporary accommodation. Lack of social housing. Financial pressures on households resulting in increasing numbers of families with rent arrears and facing eviction. Other Councils placing households in Southend. Pressure from Asylum and refugee housing needs. Changes to government policy e.g. Section 21.	Cannot fulfil statutory housing responsibilities. Operational disruption. Increased costs and impact on other services. Increased pressure on health and third sector partners resulting in poorer outcomes.	Housing, Homelessness and Rough Sleeping Strategy 2018-2028. Hostel improvement project to optimise use and improve standards. Hostel new build development opportunities. Local Authority housing fund acquisition programme will build 13 properties. 35 emergency rough sleeper bed spaces secured. Empty homes programme to bring homes back into use. Hostel Improvement Plan task & finish group. Bid for funding from the Housing Infrastructure Fund and the 'No Use Empty' Scheme. Increasing housing stock especially affordable housing across the city. Improved cross council working, continued working with partners such as HARP, Citizens Advice and 3rd sector.	3	3	9	1. Close partnership working (HARP, Citizens Advice, other LAs). 2. Increasing availability of housing stock to enable move-on from TA. 3. Increasing overall housing delivery. 4. Working with private landlords to increase availability. 5. Maintaining tenancies.	3	2	6	↑	Mar-25	Director of Regeneration, Housing & Regulatory Services	Executive Director of Environment & Place

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F	<p>Insufficient progress against children's Service's improvement programme.</p> <p>(Ofsted Inspection of Southend-on-Sea City Council's Children's Services 14-25 October 2024)</p>	<p>Increase in demand for services, unexpected recruitment and retention challenges or unexpected changes in leadership and management could impact on the progress of the improvement programme.</p>	<p>Risk of poorer outcomes for children and young people. Ofsted ILACS inspection not judging the service to be good overall could lead to DfE intervention following 2 previous Requires Improvement judgements by Ofsted in 2016 and 2019. Along with reputational damage government intervention could lead to increase pressure on budgets due to need to fund interventions identified by the commissioners put in by the DfE.</p>	<p>There is a Children's service improvement plan which has 4 key priority areas; Quality of Practice, Workforce and Development, Leadership and Management, and Strategic Partnerships. The impact of improvement plan is monitored by an Improvement Board, which includes the Cabinet and shadow Cabinet portfolio holders, the CEx of SCC and is chaired by an independent chair, with extensive experience in leading children's services at a strategic level, to provide robust scrutiny and challenge.</p> <p>The statutory Director of Children's Service (DCS) chairs an Assurance board that meets regularly to review the impact of the improvement plan on the quality of the service and on outcomes for children. On an operational / service basis the Director of Children's social care regularly holds practice and performance meetings with Service Managers, Team Manager and Advanced practitioners to assess the impact of the improvement programme on all the teams across Children's social care.</p> <p>Regular catch-ups are held with regional DfE lead for children's social care along with meetings with regional Ofsted colleagues including an annual engagement meeting.</p>	3	2	6	<p>1. Regular: quality assurance activity including review of KPIs; case file auditing and supervision of staff are tools used to assess the impact of practice on outcomes for children.</p> <p>2. The Director of Children's Social Work, Early Help and Youth Support's management team reviews the improvement plan on a regular basis. This along with the actions captured in the key controls currently in place section of the RR along with continued engagement with the DfE and Ofsted will help mitigate this risk.</p> <p>3. Continue to work effectively with the DfE and Ofsted.</p>	3	1	3		Mar-25	Director of Children's, Social Work, Early Help and Youth Support	Executive Director of Children & Public Health

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G	Insufficient progress made on sustainability initiatives which make the ambition to reach the council's commitment for net zero carbon by 2030 for council operations unachievable.	Lack of staffing capacity. Lack of Government funding. Inability to commit resources required to facilitate change. Lack of corporate focus.	Damage to reputation. Financial impact and missed funding opportunities. Lack of capacity to undertake the work necessary to deliver the objective. Inability to meet government requirements for property and housing standards.	Green City Action Plan. £1.15M secured from the Social Housing Decarbonisation Fund for the retrofit of 110 Council homes. Climate Change Team to improve corporate focus and encourage behaviour change across the city.	2	3	6	<ol style="list-style-type: none"> 1. Recruitment of further resources to Climate Change team. 2. Net Zero Carbon Energy strategy to be developed by March 2025. 3. Delivery of climate resilience projects. 4. Decarbonisation projects across housing stock and other assets. 5. Estate Strategy will reduce overall footprint 6. We have declared climate emergency and ensure that carbon impact is considered in all decisions taken by Cabinet. 7. Continue work to secure all possible funding streams available to support this work. 	2	2	4		Mar-25	Director of Infrastructure & Environment	Executive Director of Environment & Place
H	Loss of information assets and / or loss of data systems.	Cyber attack / inadequate cyber security. Staff. Hacking. System failures. Failure to ensure the Council has a coherent and comprehensive approach to cyber security and data protection. A data breach. Use of personal devices. Ransomware attack.	Operational disruption / failure to deliver critical services for a prolonged period. Impact on residents. Permanent loss of data. Payment of ransom to regain control of systems. Loss of income. Reputational damage.	Information & Management Strategy. Compliance with the Data Security & Protection Toolkits. Cyber Security Audits. Monitoring and alerting. Mobile management tool. Security solutions. Governance Board providing oversight of the information framework. Training & awareness tools made available to officers and members. Shared migration project moving information to a more secure environment. Smart Digital Strategy. Data Strategy.	4	3	12	<p>The ongoing development of Information security measures is essential. Actions planned for this year include:</p> <ol style="list-style-type: none"> 1. Review of Information Security Strategy & Information Risk Policy. 2. Business case for external support on a call off basis. 3. Regular testing of our phishing awareness and understanding. 4. Testing of our ability to react to an incident. 	3	2	6		Mar-25	Director of Digital & ICT	Executive Director of Strategy & Change

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1	Transformation programme fails to deliver required outcomes.	<p>Organisational culture and capability of staff prevents delivery at pace.</p> <p>Organisational structure results in not having the right people in the right place.</p> <p>Unable to recruit / retain staff.</p> <p>Lack of employee engagement.</p> <p>Impact of changing national priorities / legislation / devolution.</p>	<p>Transformation programme does not result in the required savings.</p> <p>Fail to modernise and improve service delivery.</p> <p>Opportunities either do not materialise or take longer than anticipated.</p>	<p>Transformation Board led by CLT.</p> <p>Transformation Programme structure developed.</p> <p>Financials tracked and reported to Transformation Board.</p>	3	3	9	<p>1. Transformation Board has been established and is growing in maturity.</p> <p>2. Tools and Process have been made ready to deploy across the organisation that will significantly help delivery and tracking.</p> <p>3. Foundation projects established.</p> <p>4. One Council service redesign to commence in November.</p> <p>5. Director of People and Transformation recruitment has commenced.</p>	3	1	3	→	Mar-25	Director of People and Transformation	Executive Director of Strategy & Change