

Corporate Assurance Risk Register 2010/11



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Explanation to Corporate Assurance Risk Register

It is best practice for local authorities to have an assurance and risk register. Southend Borough Council's Assurance and Risk Register is a best practice template for recording and managing risks which allows senior management to complete the recommended steps of a best practice risk management process.

The Council promotes the use of the Assurance and Risk Register for managing all risks within Service Areas recorded and managed in Service Plans.

This is a management tool whereby 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 that particular risk.

The Council's Corporate Assurance and Risk Register is structured so that the risks to the Council in achieving its priorities are identified.

Impact

Catastrophic / Exceptional Opportunity	7	11	14	16
Severe / Significant Opportunity	4	8	12	15
Material	2	5	9	13
Negligible	1	3	6	10
	Unlikely	Likely	Very Likely	Almost Certain

Likelihood

Key

 High Risk	 Medium Risk	 Low Risk
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Explanation RAG rating (Stage 3)

Red at risk of missing target

- Action has missed the action date and will not be achieved affecting the ability to control the risk and / or the risk score;
- Action has not missed the action date but the action will not be achieved affecting the ability to control the risk and / or the risk score.

The stage 3 risk score should be reviewed to see if it is still applicable and further mitigations / maximisations should be investigated – contact Strategy & Performance

Amber some slippage against target

- Action has missed the action date and the action is in danger of not being achieved affecting the ability to control the risk and / or the risk score – update the action date;
- Action has not missed the action date but the action is in danger of not being achieved affecting the ability to control the risk and/ or the risk score.

The stage 3 risk score should be reviewed to see if it is still applicable and further mitigations / maximisations should be investigated – contact Strategy & Performance

Green on course to achieve target

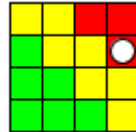
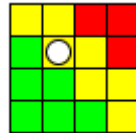

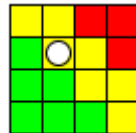


- Action has not missed any target dates and will be achieved.

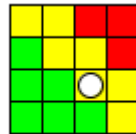
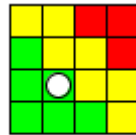
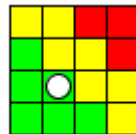
1011 Corporate Risk Register

Generated on: 21 May 2010

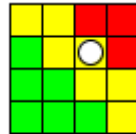
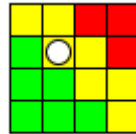

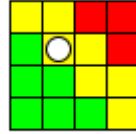


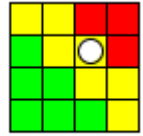
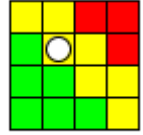

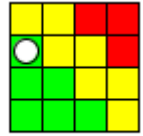

Corporate Priority		CP3 - Continue to improve outcomes for vulnerable adults and older people							
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR A&DAAT 2	Demographic Change	Adult & Community Services	Simon Leftley	Risk that the level of demand from demographic trends for Adult & Community Services clients will out strip resources available. End of section 75 agreement on LD leaves SBC to bear risk of transitions and demographic demand increase.	Service Provision/Continuity	12		Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)									
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood
Transfer	1. Control - Additional investment through the 2010/11 budget setting process - Assurance - Monthly budget and activity monitoring 2. Control - The move to prevention and reablement to manage the increase in demand through the joint review of the care of the elderly and community services in conjunction with the PCT - Assurance - Monthly monitoring of progress through the transforming social care programme board						9		Likelihood
Stage 3 - Further actions to reduce the risk (target risk)									
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact	Likelihood
1011 CRA&DAA T2,1	The Transforming Social Care Programme Board will be implementing the national personalisation agenda and this will enable more innovative and value for money ways of providing social care. In turn this will enable the management of demographic pressures as well as giving customers more choice and control.	Derek Sleigh	31 Mar 2011	31 Mar 2011	Our overarching priority has been the Transforming Social Care Programme in which we are meeting all key milestones, making major cultural changes in our own workforce and the independent sector to underpin the personalisation agenda, and continuing to improve safeguarding. SBC is on track to meet the national PPF milestones; with self-directed support being established as a priority. Throughout the year we have achieved 8.7% under the revised NI 130 definition this is 655 people an increase of 300 people in 2009/10 and increase of 85%.	On course to achieve target	9		Likelihood

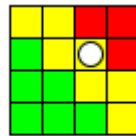
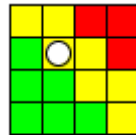
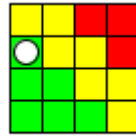
Corporate Priority			CP4 - Make Southend active and alive with sport and culture						
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR CULT 1	Capacity to deliver change - Low level of revenue to run services with an increasing capital and change management programmes, decreasing quality of service	Adult & Community Services	Peter Vadden	Operational	Service Effectiveness	15		Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)									
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood
Treat	<p>1. Control - Close monitoring of progress and performance targets - Assurance - Monthly performance report to Department Management Team Quarterly. Local Area Agreement targets monitored by ECEP and Southend Together.</p> <p>2. Control - Volunteering programmes developed using a limited amount of revenue - Assurance - Volunteers going through Idea 13 website and working in libraries to support service delivery.</p>						8		Likelihood
Stage 3 - Further actions to reduce the risk (target risk)									
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact	Likelihood
1011 CR CULT 1,1	Look at lean management principles to streamline processes and achieve greater VFM	Peter Vadden	31 Mar 2011	31 Mar 2011	lean management principles being introduced through Culture Sport ImprovLeant Toolkit, currently being used on sports and leisure services. Planned to undertake on parks and open spaces later in 2010	 On course to achieve target	8		Likelihood
1011 CR CULT 1,2	Look at alternative governance opportunities which may release revenue opportunities	Peter Vadden	31 Mar 2011	31 Mar 2011	Cabinet agreement to set up Member task and finish group, and we are awaiting commencement of the group	 On course to achieve target			
1011 CR CULT 1,3	Identify required increase in resources if deadlines are missed.	Peter Vadden	27 Mar 2011	27 Mar 2011	Deadlines not missed to date	 On course to achieve target			

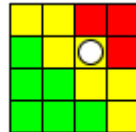
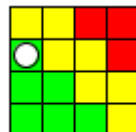
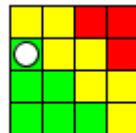
Corporate Priority		CP4 - Make Southend active and alive with sport and culture								
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR CULT 2	Economic down turn - Credit crunch reduces public's ability to afford travel, cost etc. Reduced income, reduced performance on participation targets, reduced public health.	Adult & Community Services	Peter Vadden	Strategic	Financial	9		Likelihood		
Stage 2 - Risk with Controls and Assurances (current risk)										
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood		
Treat	1. Control - Action plan developed - Assurance - regular monitoring by departmental management team (minutes of meetings).					5		Likelihood		
Stage 3 - Further actions to reduce the risk (target risk)										
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)		Target risk score	Impact	Likelihood
1011 CR CULT 2,1	Review sports services against the active people survey and market segmentation to re-profile services to attract loyal repeat audiences and market needs	Peter Vadden	31 Mar 2011	31 Mar 2011	Work undertaken with Sheffield Hallam university to identify target groups and market segments, work currently being undertaken to shape this within a leisure and sports strategy		On course to achieve target	5		Likelihood
1011 CR CULT 2,2	Consolidate all marketing to Culture on Sea (Visit Southend) and use of Sports England and Arts Council	Peter Vadden	31 Mar 2011	31 Mar 2011	Migration of Culture Box website to Visit Southend website almost complete. Working with partners to increase use of Visit Southend website to advertise events.		On course to achieve target			
1011 CR CULT 2,3	Deliver capital programme to maximise the potential for each facility	Peter Vadden	31 Mar 2011	31 Mar 2011	2009/10 capital programme delivered as expected, commenced 2010/11 programme.		On course to achieve target			
1011 CR CULT 2,4	Maximise the opportunity of the cultural Olympiad and the Olympics to increase market segmentation to target specific audiences	Peter Vadden	31 Mar 2011	31 Mar 2011	2010/11 programme compiled and agreed by the Olympic steering group.		On course to achieve target			
1011 CR CULT 2,5	Keeping senior management and Members informed of the position with regard to performance & revenue generation	Peter Vadden	31 Mar 2011	31 Mar 2011	Head of service feeding information into corporate centre.		On course to achieve target			

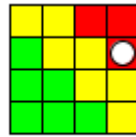
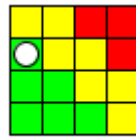
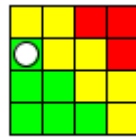
Corporate Priority			CP4 - Make Southend active and alive with sport and culture						
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR CULT 6	Failure to obtain capital funding - Reduced funds due to Olympic siphoning, greater competition. Inability to complete some capital projects.	Adult & Community Services	Peter Vadden	Strategic	Financial	12		Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)									
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood
Treat	<p>1. Control - Robust funding strategies are compiled for all capital projects - Assurance - Discussed at every project board and discrepancies highlighted within highlight report and project board take action.</p> <p>2. Control - Ensure bids are of the highest quality - Assurance - Project team check bids to ensure they are of a high quality. Approval through departmental management teams and through project board.</p>						12		Likelihood
Stage 3 - Further actions to reduce the risk (target risk)									
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact	Likelihood
1011 CR CULT 6,1	Use project funding to attract external assistance in identifying funds and submitting bids.	Peter Vadden	31 Mar 2011	31 Mar 2011	Project resources being invested into external funding advice for the new museum	Some slippage against target	12		Likelihood

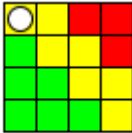
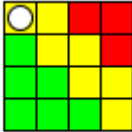

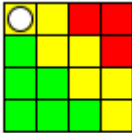
Corporate Priority			CP7 - Enable well-planned quality housing and developments that meet the needs and expectations of Southend's residents and businesses							
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR H & SP 2	Reduction in Affordable homes being Built	Adult & Community Services	Jacqui Lansley	Credit crunch will lead to: reduction in number of affordable homes being built.	Service Provision/Continuity	12				
Stage 2 - Risk with Controls and Assurances (current risk)										
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood	
Tolerate	Control - Maintain close links with the Homes & Communities Agency/GoEast. Assurance - Monitor the amount of funding which is received into the borough. Control - Maintain close links with the local housing providers to work in partnership on private and council owned sites. Assurance - Monitor the LAA target NI 155 and number of new affordable homes built in the borough. Control - Work strategically across the council to ensure affordable housing is considered on all sites. Assurance - Monitor the number of units coming forward from council owned land. Control - Member engagement via the Housing Members Working Party						8			
Stage 3 - Further actions to reduce the risk (target risk)										
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)		Target risk score	Impact	Likelihood
1011 CR H&SP 2,1	Participation in the Single Conversation process with the HCA to build up evidence base to inform future investment plan including affordable housing delivery	Catherine Cobb	31 Mar 2011	31 Mar 2011	Outlook for increased affordable housing provision remains uncertain. No new affordable housing completions (NI155) recorded to date in 2010/11. Regular liaison meetings with RSLs/HCA continuing in order to highlight possible new developments. Housing 'Evidence Base' information developed to support the next stage of the Single Conversation process.		Some slippage against target	8		

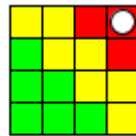
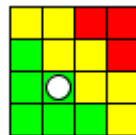
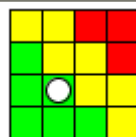
Corporate Priority			CC3 - Become a higher performing organisation							
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR PI 04	Risk that VfM strategy does not reflect key issues resulting in improvements across the Council not being realised	Policy & Improvement	Tim Cusack	Strategic	Value for Money	12		Likelihood		
Stage 2 - Risk with Controls and Assurances (current risk)										
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood		
Treat	1. Control - Strategy developed - Assurance - Strategy is published on the intranet 2. Control - VfM focus through PITG - Assurance - Individual managers reporting to PITG on VfM recommendations and actions 3. Control - VfM assessment key part of Service Planning - Assurance - Highlight reports to CMT					8		Likelihood		
Stage 3 - Further actions to reduce the risk (target risk)										
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)		Target risk score	Impact	Likelihood
1011 CR PI 0401	Develop a corporate approach to delivering Value for Money	Alaine Clarke		30 Jun 2010	Researched current toolkits and assessment templates across the council. Summarised value for money from service plans. Looking at best practice from other organisation and collated findings from past Use of Resources assessments.		On course to achieve target	4		Likelihood
1011 CR PI 0402	Development of VfM programme - focussing on service areas with poor performance and low/high cost as priority	Alaine Clarke		31 Mar 2011	Once a corporate approach has been developed a number of value for money reviews will be undertaken in each directorates and the findings fed back corporately and reported to CMT.		On course to achieve target			

Corporate Priority			CP6 - Enhance the prosperity of Southend and its residents							
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR PI 05	Risk that activities fail to influence response rates for the National Census resulting in an inaccurate population count	Policy & Improvement	Tim Cusack	Strategic	Financial	12		Likelihood		
Stage 2 - Risk with Controls and Assurances (current risk)										
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood	
Treat	<p>1. Control - Census Steering Group established and meeting regularly - Assurance - Highlight reporting to LSP Executive</p> <p>2. Control - Census Overview and Scrutiny Project Group - Assurance - Monitoring report by giving updates</p> <p>3. Control - Census communications action plan - Assurance - Reporting to Census Steering Group and LSP Executive</p> <p>4. Control - LLPG in place and up to date - Assurance - Progress reporting to Census Steering Group</p> <p>5. Control - Represented on Office of National Statistics National Communications Steering Group and also regional group - Assurance - Feedback of issues to Census Steering Group and Local Strategic Partnership Executive</p> <p>6. Control - Represented on Office of National Statistics Local Authority Advisory Group and Essex Assistant Census Liaison Manager's Group - Assurance - Feedback of issues to Census Steering Group and Local Strategic Partnership Executive</p>						8		Likelihood	
Stage 3 - Further actions to reduce the risk (target risk)										
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)		Target risk score	Impact	Likelihood
1011 CR PI 0501	Continued support of project group	Shane Bartley		31 Mar 2011	On going		On course to achieve target	4		Likelihood
1011 CR PI 0502	Further audience identification	Shane Bartley		31 Mar 2011	Audience identified leading on to engagement with target groups		On course to achieve target			
1011 CR PI 0503	Support communications plan	Shane Bartley		31 Mar 2011	On going		On course to achieve target			
1011 CR PI 0504	Access hard to reach communities	Shane Bartley		31 Mar 2011	Audiences have now been identified and target groups are being engaged		On course to achieve target			

Corporate Priority			CC2 - Reduce the inequalities gap and increase the life chances of people living in Southend							
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR PI 11	Risk that the Council could stall in delivering a more inclusive culture and delivering services to diverse communities resulting in reputational damage to the Council	Policy & Improvement	Shazia Ullah	Strategic	Reputational	12		Likelihood		
Stage 2 - Risk with Controls and Assurances (current risk)										
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood	
Treat	<ol style="list-style-type: none"> Control - Corporate Equalities Steering Group set up - Assurance - Minutes of meetings. Control - Equalities Board through Southend Together - Assurance - Minutes of meetings. Control - National and local performance indicators in place - Assurance - Monitored through the monthly performance report. Control - Programme of EIAs - Assurance - Monitored by Corporate Equalities Steering Group. Control - Staff engagement survey undertaken - Assurance - Pulled together by Human Resources department and survey results used to inform areas to focus on and action plans produced and monitored. 						4		Likelihood	
Stage 3 - Further actions to reduce the risk (target risk)										
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)		Target risk score	Impact	Likelihood
1011 PI RSP 1101	Working to sustain Stonewall top 100 position	Peter Hall	01 Dec 2010	01 Dec 2010	The online form will open on 26 May 2010 and the submission deadline is 10 September 2010.		On course to achieve target	4		Likelihood
1011 PI RSP 1102	Action plan developed for working towards achieving Excellent in the Equality Framework	Peter Hall	31 Mar 2011	31 Mar 2011	Corporate Equalities Strategy Group (CESG) worked through amber activities at April meeting. An action plan has been developed to clarify actions needed to work towards excellent.		On course to achieve target			

Corporate Priority			CC2 - Reduce the inequalities gap and increase the life chances of people living in Southend						
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR PI 12	Risk that the Council's Single Equality Scheme (SES) does not comply with the requirements of the Equalities Act 2010 resulting in possible legal action from the Equality and Human Rights Commission	Policy & Improvement	Shazia Ullah	Strategic	Compliance	15		Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)									
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood
Treat	1. Control - Single Equalities Scheme 2010-2013 in place - Assurance - Outcomes monitored through Corporate Equalities Steering Group 2. Control - Scheme drafted by Equality Consultant - Gravitas together with Equality and Diversity Lead and Corporate Equalities Steering Group 3. Control - Single Equalities Scheme has supporting actions covering all equality strands - Assurance - Annual progress report produced monitoring outcomes of actions and is reported to Corporate Equalities Steering Group, Corporate Management Scheme and Cabinet						4		Likelihood
Stage 3 - Further actions to reduce the risk (target risk)									
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact	Likelihood
1011 PI RSP 1201	No further action currently required		31 Mar 2011	31 Mar 2011			4		Likelihood

Corporate Priority			CC3 - Become a higher performing organisation							
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	7	Impact Likelihood		
1011 CR PI 14	Sustainable Community Strategy (SCS) is not deliverable due to economic factors resulting in Southend's community needs not being met	Policy & Improvement	Shazia Ullah	Strategic	Reputational					
Stage 2 - Risk with Controls and Assurances (current risk)										
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	7	Impact Likelihood	
Treat	<p>1. Control - Performance Management Group in place - Assurance - Comprehensive Area Assessment (CAA) inspection undertaken at a national level annually by the Audit Commission and scored.</p> <p>2. Control - Local Strategic Partnership monitor performance against Sustainable Community Strategy ambitions through performance group on a quarterly basis - Assurance - minutes of meetings.</p> <p>3. Control - Challenge undertaken on key strategic partnerships to ensure that priorities are still correct for communities of Southend and that they are clear as to how it will improve the lives of Southend residents - Assurance - minutes of meetings.</p>									
Stage 3 - Further actions to reduce the risk (target risk)										
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)		Target risk score	7	Impact Likelihood
1011 CR PI 1401	Service plans and corporate plan is evidenced, clear affordable and monitored.	Lysanne Eddy	31 Mar 2011	31 Mar 2011	Key strategic partnerships monitor elements and are accountable to the LSP. The LSP Exec sit bi-monthly and updates are provided against SCS ambitions. Any variance will be captured as further actions against this risk.		On course to achieve target			

Corporate Priority			CC3 - Become a higher performing organisation					
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood	
1011 CR PI 16	Governance arrangements for the Local Strategic Partnership are not robust enough to ensure delivery of the Local Area Agreement targets and maximisation of reward grant	Policy & Improvement	Shazia Ullah	Strategic	Financial	16		
Stage 2 - Risk with Controls and Assurances (current risk)								
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact Likelihood
Treat	<ol style="list-style-type: none"> Control - Target action plans for all LAA targets - Assurance - monitored at PMG and exception reporting. Control - Identified target leads - Assurance - target lead call-ins. Control - Performance management group which crosses over with the (Performance Information Task Group) PITG. Control - Performance information reported in the Monthly Performance Report (MPR) - Assurance - Control - Partner data is stored on Covalent and integrated into the report by the Strategy & Performance Team - Assurance - Governance process in place for at risk target to move resources and amend action plan. Control - Performance Management Group to monitor where a group has finished (target agreed or closed) - Assurance - where target is in LAA2 the performance group will establish task and finish groups where needed. 						5	
Stage 3 - Further actions to reduce the risk (target risk)								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact Likelihood
1011 CR PI 1601	Currently no further actions required		31 Mar 2011	31 Mar 2011			5	

Corporate Priority			CC3 - Become a higher performing organisation							
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	4	Impact Likelihood		
1011 CR PI 19	Governance arrangements are not robust enough to ensure delivery of Corporate priorities resulting in poor external performance assessments	Policy & Improvement	Shazia Ullah	Strategic	Compliance					
Stage 2 - Risk with Controls and Assurances (current risk)										
Risk Treatment		List of controls and associated assurances to ensure controls are working						Current risk score	4	Impact Likelihood
Treat		1. Control - Governance procedures are reviewed annually in line with legal requirements and best practice - Assurance - Reported to CMT, EB, AC and Cabinet - see minutes of meetings								
Stage 3 - Further actions to reduce the risk (target risk)										
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)		Target risk score	4	Impact Likelihood
1011 CR 1901	Develop further actions to clarify and strengthen the golden thread.	Shazia Ullah		31 Mar 2011	A high level action plan has been developed as part of the Annual Governance Statement and will be monitored and reviewed on a regular basis by CMT and the Audit Committee.		On course to achieve target			

Corporate Priority			CP5 - Continue to improve outcomes for vulnerable children					
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood	
1011 CR02	Risk that the number of looked after children in the Borough may not be reduced	Children & Learning	Sue Cook	Strategic	Reputational	15		
Stage 2 - Risk with Controls and Assurances (current risk)								
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact Likelihood
Treat	<ol style="list-style-type: none"> Control - Senior management agreement to consistent threshold for CLA - Assurance - Tracking systems in place - reviewed as part of 2007 Children Looked After (CLA) Audit Control - Monthly performance management of CLA figures - Assurance - Minutes of SSMG meetings Control - Monthly performance reporting of CLA figures to DMT - Assurance - Minutes of DMT meetings Control - Monthly meeting with Director regarding CLA numbers - Assurance - Minutes of meetings Control - Acute and complex panel in place that scrutinises all placement decisions - Assurance - Minutes of review meetings Control - Tracking tool for adoption tracks all children through to SSMG - Assurance - Minutes of SSMG meetings Control - Tracking tool ensuring no drift and effective care planning - Assurance - Tracking tool held by group manager - reviewed as part of 2007 Children Looked After (CLA) Audit Control - Reviews of CLA consider reunification at each review - Assurance - Minutes of reviews Control - Project Co-ordinator in place and project up and running - Assurance - Project Co-ordinator reports to Team Manager Specialist Services and the success is monitored by the Children's Partnership 						4	
Stage 3 - Further actions to reduce the risk (target risk)								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact Likelihood
1011 CR 0201	Project Co-ordinator currently recruiting volunteers	Michael Stephenson		01 Mar 2010	The CSV project is now fully operational. It has not been operational long enough to produce meaningful performance information	On course to achieve target	4	
1011 CR 0202	Think Family investment of £800,000 over 3 years to provide support to families most at risk	Sue Snoxell		31 Mar 2010	Will be working with 45 families by end of April 2010. 25 families have intensive key worker support in line with March target	Some slippage against target		
1011 CR 0203	Continue to embed integrated approach and achieve consistent understanding across the children's workforce	Gill Manton		01 Feb 2010	Review completed Sept 2009 and presented at Southend Children's Partnership Exec. Integrated locality toolkit underway in response to outcomes from the review. Integrated locality toolkit due in June 2010.	On course to achieve target		

Corporate Priority			CC3 - Become a higher performing organisation							
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR03	Risk of not delivering the long term Private Finance / Public Private Partnership Waste Treatment Contract	Enterprise Tourism & Environment	Dipti Patel	Strategic	Service or Project Effectiveness	16				
Stage 2 - Risk with Controls and Assurances (current risk)										
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood	
Treat	<p>1. Control - Joint governance arrangements in place to deliver long term solution - Assurance - Officer project delivery board / Essex and Southend Member Project Board / OGC Gateway reviews</p> <p>2. Control - All risks are incorporated in the Waste Programme Risk Register - Assurance - Reviewed by Officer Project Delivery Board / Essex & Southend Member Project Delivery Board</p> <p>3. Control - Regular meetings with the contractor including formal meetings - Assurance - Performance meetings led by Head of Public Protection and minutes of formal meetings</p>						7			
Stage 3 - Further actions to reduce the risk (target risk)										
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)		Target risk score	Impact	Likelihood
1011 CR 0301	Delivery of PFI - depending upon decision by Cabinet and DEFRA	John Whiddon		01 Jul 2009	7 bidders have been asked to participate in Dialogue for Outline Solutions. Round 1 dialogue complete one bidder has with drawn leaving 6 bidders.		On course to achieve target	7		
1011 CR 0302	Development of contingency arrangements for Southend	John Whiddon		29 May 2009	No change in previous status.		On course to achieve target			

Corporate Priority	CP2 - Create a well-maintained & attractive street scene, parks & open spaces
	CP4 - Make Southend active and alive with sport and culture
	CP6 - Enhance the prosperity of Southend and its residents
	CC3 - Become a higher performing organisation

Stage 1 - Risk without controls (Inherent risk)

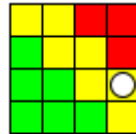
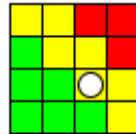
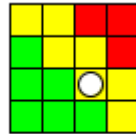
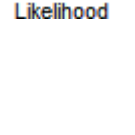
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood
1011 CR05	Risk that the current economic downturn will affect the income generated by services and affect the Council's ability to support external business	Enterprise Tourism & Environment	Andrew Lewis	Strategic	Reputational	15		

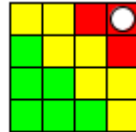
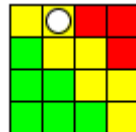

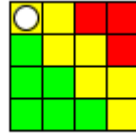


Stage 2 - Risk with Controls and Assurances (current risk)

Risk Treatment	List of controls and associated assurances to ensure controls are working	Current risk score	Impact	Likelihood
Treat	1. Control - Refigured Enterprise team on service delivery to enable events to be supported throughout the year - Assurance - service plan monitored regularly at Directorate Management Team Meetings. 2. Control - Initiatives set up such as networking-on-sea to enable a private sector initiative aimed at helping businesses - Assurance - list of organised events. 3. Control - Development of list of local supply solutions to assist and improve trade in the area - Assurance - Business Directory issued	8		

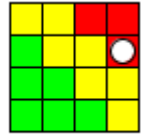
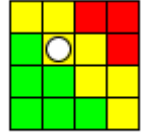

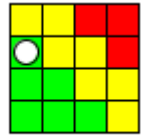
Stage 3 - Further actions to reduce the risk (target risk)

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact	Likelihood
1011 CR 0501	A SMART action plan to be developed to support communities including key risks and a management framework	Scott Dolling		31 Mar 2011	The council is taking action to mitigate the effects of the economic downturn. Risks and actions will be included in service plans for 2010/11 and will be monitored through CMT.	On course to achieve target	8		





Corporate Priority		CP7 - Enable well-planned quality housing and developments that meet the needs and expectations of Southend's residents and businesses								
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score				
1011 CR06	Risk that development control improvement is not sustained thereby damaging sustainable development and regeneration	Enterprise Tourism & Environment	Andrew Meddle	Strategic	Reputational	13		 Likelihood		
Stage 2 - Risk with Controls and Assurances (current risk)										
Risk Treatment	List of controls and associated assurances to ensure controls are working									
Treat	<p>1. Control - Regular tracking of performance - Assurance - Reporting to DMT, PITG and team leaders quarterly through MPR</p> <p>2. Control - Group managers, team leaders and planning officers in post - Assurance - Reporting to Head of Service and Corporate Director</p> <p>3. Control - Enforcement Team in place to ensure consistent approach to customer complaints - Assurance - Enforcement Team report to Group Manager every 2 weeks</p> <p>4. Control - Satisfaction monitoring undertaken within service area. Baseline has been established and questionnaires are sent out to all contacts - Assurance - Information fed back as part of the planning improvement plan to service team</p> <p>5. Control - Annual programme of training for members - Assurance - Overall plan set at the beginning of July and will be reviewed annually.</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	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)		Target risk score		
011 CR 0601	Annual programme of training for members	Peter Geraghty		09 Jun 2009	The Member Training Programme is continuing. It provides a range of training experience on planning and related topics for members.	✓	On course to achieve target	9	 Likelihood	
1011 CR 0602	Better links to strategic planning and the preparation of planning policies to encourage the delivery of a high quality environment.	Andrew Meddle		09 Jun 2010	Sessions have and are taking place to deliver a better working and understanding of policy and development control issues. Development Control are being actively engaged in the development of new policies.	✓	On course to achieve target		 Likelihood	

Corporate Priority			CC3 - Become a higher performing organisation				
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact
1011 CR07	Risk that the Council's business continuity processes are not robust enough to enable the provision of key services in an emergency	Support Services	John Williams	Strategic	Service Provision / Continuity	16	 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact
Treat	<ol style="list-style-type: none"> Control - Business Continuity Plan - Assurance - Monitored through DMT's and by the Emergency Planning Officer Control - Identification and prioritisation of Corporate systems for recovery as part of Business Continuity Plan - Assurance - Reviewed annually and reported to Head of Customer Services. Monthly monitoring at Service Management Team and by Departmental Emergency Planning / Business Continuity Liaison Officers. Control - System ownership and skills in place to re-establish key systems - Assurance - Report to Head of Customer Services Control - Essex resilience forum pandemic flu plan in place - Assurance - Based on central government guidelines (planning) done over 3 years with lessons learned from the national exercise and a local Essex exercise which feeds into COBR (Cabinet Briefing Room) Control - Corporate flu / business continuity group - Assurance - Dealing with daily issues and guidance from HMG - situation reps (SITREPs) on a daily basis - go to Essex County Council (GO EAST) then to COBR 					11	 Likelihood
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score
1011 CR 0701	Back-up to server in Tickfield as in interim solution to enable telephony and systems to be reinstated	Laurence Cops		09 Sep 2009	Basildon has agreed to host a San as part of the solution. We are currently scoping the solution and putting in place connectivity to Basildon to implement the solution.	 Some slippage against target	7 Impact  Likelihood
1011 CR 0702	Work progressing within the Essex Online Partnership to utilise the Essexnet as a SAN and server base for BCP	Laurence Cops		01 Mar 2010	This is secondary solution after Basildon as we are progressing with the alternative Basildon solution first	 Some slippage against target	
1011 CR 0703	Working within the EOLP to utilise Harlow as a DR/BCP site for Southend with the potential to locate staff at Harlow as an interim measure	Laurence Cops		01 Mar 2010	Still under review after Basildon solution. --	 Some slippage against target	

1011 CR 0704	Unified comms will allow telephony and IT connectivity to staff at home for delivery of service in emergencies	Laurence Cops		01 Mar 2010	Supplier now selected kick off meeting set up for middle of February.		Some slippage against target			
1011 CR 0705	Action plan formulated regarding staffing - system that can be used at gold, silver and bronze levels	Keith Holden	01 Jul 2009	31 Mar 2010	Business continuity plans were reviewed. This will be kept under review throughout the year.		Some slippage against target			
1011 SS 1801	Vaccination programme to be implemented for front line social care staff including partners in the independent sector	Keith Holden	31 Mar 2010	31 Mar 2010	Completed in January 2010. Action completed.		On course to achieve target			
1011 SS CS 04 01	Tickfield as a fall back centre will provide a local solution for category 1 and 2 events. More serious categories 3 and 4 events will require solutions via EOCP and delivery of schools broadband.	Laurence Cops	31 Mar 2011	31 Mar 2011	The Tickfield Centre is not going to be complete until August 2010 this will impact on the BCP solution utilising Tickfield.		Some slippage against target			

Corporate Priority			CC3 - Become a higher performing organisation						
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood	
1011 CR08	Human resource potential may not be fully optimised	Support Services	Joanna Ruffle	Strategic	Value for Money	15			
Stage 2 - Risk with Controls and Assurances (current risk)									
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score		Impact Likelihood
Treat	1. Control - Updated and revised People Management Strategy with annual action plan which includes detailed targets to address workforce skills, organisational development, recruitment and retention, reward, equalities and diversity and leadership - Assurance - The strategy and action plan is developed and monitored by a cross party group of Members supported by Senior Officers (including the Chief Executive) and chaired by the Leader						8		
Stage 3 - Further actions to reduce the risk (target risk)									
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score		Impact Likelihood
1011 CR 0801	Action plan progress to be reported quarterly	Joanna Ruffle		01 Jul 2009	PMD working party were updated with the first half of the yearly action plan at their meeting on 18th November 2009 (April - September). All actions are on target and a further update is due in spring 2010.	 On course to achieve target	4		

Corporate Priority			CC3 - Become a higher performing organisation						
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR09	Failure of the council to embed its Information Management Strategy resulting in Corporate and Service Planning not being build on robust data	Support Services	Sally Holland	Strategic	Service Provision / Continuity	15			
Stage 2 - Risk with Controls and Assurances (current risk)									
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood
Treat	<p>1. Control - ICT Strategy, Data Protection Policy, FOI Policy, IT Security Policy, Disposal Policy, Privacy Versus Sharing Policy, Roles & responsibilities of data co-ordinators, IT policy - acceptable use for remote workers, IT policy - code of practice - portable computer media, IT policy - code of practice internet and electronic mail - Assurance - Covered on the induction programme (including signing up to the policies by manager and employee). Policies published on the intranet and staff are informed of updates via e-mail</p> <p>2. Control - Access to Services Strategy - Assurance - Reporting to Access to Services Project Board</p> <p>3. Control - Performance Management Champions Group - Assurance -</p> <p>4. Control - Data Quality Improvement Plan and Strategy - Assurance - Reporting of progress to CMT and Audit Committee Data Quality and Covalent Project Group</p> <p>5. Control - Monthly reporting of key performance through Monthly Performance Report (MPR) reviewed by Cabinet, Scrutiny, CMT and PITG - Assurance - Monthly reporting to PITG</p> <p>6. Control - Reporting to Audit Committee on data quality progress - Assurance - Minutes of meetings</p> <p>7. Control - Data verification of PI's - Assurance - Undertaken within Directorates and national indicators verified by Internal Audit and External Audit</p> <p>8. Control - Links between performance management and Medium Term Financial Strategy strengthened - Assurance - Corporate Plan MPR reported to CMT, Cabinet, Scrutiny and Council - see minutes</p> <p>9. Control - Information Strategy Group in place - Assurance - Monitoring of progress against the Information Management Strategy action plan</p>						8		
Stage 3 - Further actions to reduce the risk (target risk)									
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact	Likelihood
1011 CR 0901	Completion of data quality action plan	Tim Cusack		30 Mar 2011	The Data Quality Action Plan is being refreshed and will be progressed through the Performance Leads Group.	On course to achieve target	8		
1011 CR 0902	Refresh of the Records Management Policy	Jackie Groom	30 Oct 2009	31 Mar 2010	Completed 31 03 10	On course to achieve target			

1011 CR 0904	Process mapping of National Indicators	Paul Toms		30 Jun 2009	Further work is being carried out with internal audit so that they can pick up risks on a quarterly basis to help inform checks during the year.		Some slippage against target			
1011 CR 0905	Corporate Information Sharing Protocol to be developed internally and with partners. Programme of work to include: Awareness raising through formal training and Exchange, information on the intranet and internet, monitoring of protocols through the IMS Group	Jackie Groom	30 Oct 2009	31 Mar 2010	IMS and action plan refresh to go to CMT in June 2010. Sharing protocol to go to Southend Together Board for formal signing. Protocols to be hosted through the Essex Trust Charter website.		Some slippage against target			
1011 CR 0906	Data Observatory being developed to be a central store for information for the Council and its partners	Shane Bartley		31 Mar 2011	Software has been procured. Data is being selected to be uploaded into the observatory. Further data to be entered will be identified from partner requests.		On course to achieve target			
1011 CR 0907	GIS mapping tool purchased and training being rolled out Corporately. Advertising a new role to manage the GIS system	Matthew White	30 Oct 2009	01 Apr 2010	GIS/LLPG technician interviews scheduled for 20th and 21st May 2010, with a view to have position in place by the end of June 2010. GIS Manager, a shared service initiative with Thurrock, now in place and has been since 14th April 2010. The shared GIS Manager is also conducting training this week and next for 16 new users.		At risk of missing target			

Corporate Priority			CC3 - Become a higher performing organisation						
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR10	The delivery of the Capital programme may be delayed because of lack of capacity	Support Services	Martin Hone	Strategic	Value for Money	8			
Stage 2 - Risk with Controls and Assurances (current risk)									
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood	
Treat	<ol style="list-style-type: none"> Control - Medium Term Financial Strategy - Assurance - Monitored by CMT and reported to Cabinet Control - Financial monitoring information - Assurance - Reports to Head of Finance and Resources Control - Capital Programme Board - Assurance - Minutes to Cabinet Control - Action Plan to correct budget deviations - Assurance - Reports to Head of Finance and Resources Control - Contingency funds - Assurance - Reported in Cabinet minutes Control - Capital Programme for 2009/10 re-cast to identify scheme sponsors - Assurance - Capital Strategy and Asset Management Group prioritises schemes review and report to Capital Board who report to Cabinet every 4-6 weeks (updates included in the MPR) 					4			
Stage 3 - Further actions to reduce the risk (target risk)									
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact	Likelihood
1011 CR 1001	Recasting of the Capital Programme for 2010/11 to identify scheme sponsors	Martin Hone		31 Mar 2010	This action is in hand as part of the budget exercise for financial year 2010/11	On course to achieve target	4		
1011 CR 1002	Appointment of additional interim officers to assist in the commissioning and procuring of scheme delivery	Martin Hone		31 Mar 2010	The interim officer commenced working in October 2009.	On course to achieve target			

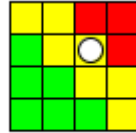
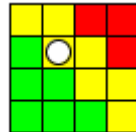

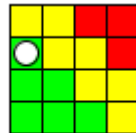
Corporate Priority			CC3 - Become a higher performing organisation							
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR11	The delivery of the Capital Programme may be affected by a reduction in funding available from sponsoring Government departments and other external partners	Support Services	Martin Hone	Strategic	Value for Money	8				
Stage 2 - Risk with Controls and Assurances (current risk)										
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood	
Treat	<ol style="list-style-type: none"> Control - Medium Term Financial Strategy - Assurance - Monitored by CMT and reported to Cabinet Control - Financial monitoring information - Assurance - Reports to Head of Finance and Resources Control - Capital Programme Board - Assurance - Minutes to Cabinet Control - Action Plan to correct budget deviations - Assurance - Reports to Head of Finance and Resources Control - Contingency funds - Assurance - Reported in Cabinet minutes Control - Capital Programme for 2009/10 re-cast to identify scheme sponsors - Assurance - Capital Strategy and Asset Management Group prioritises schemes review and report to Capital Board who report to Cabinet every 4-6 weeks (updates included in the MPR) 						4			
Stage 3 - Further actions to reduce the risk (target risk)										
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)		Target risk score	Impact	Likelihood
1011 CR 1101	Recasting of the Capital Programme for 2010/11 to identify scheme sponsors	Martin Hone		31 Mar 2010	This action is in hand as part of the budget exercise for financial year 2010/11.		On course to achieve target	4		
1011 CR 1102	Appointment of additional interim officers to assist in the commissioning and procuring of scheme delivery	Martin Hone		31 Mar 2010	The interim officer commenced working in October 2009.		On course to achieve target			

Corporate Priority			CC3 - Become a higher performing organisation						
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR12	Council may not be able to deliver services with the budget allocated	Support Services	Martin Hone	Strategic	Financial	8			
Stage 2 - Risk with Controls and Assurances (current risk)									
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood	
Treat	<ol style="list-style-type: none"> Control - Capital Programme for 2009/10 re-cast to identify scheme sponsors - Assurance - Control - Capital Strategy 2009/10 to 2011/12 in place - Assurance - Control - Implementation of savings - Assurance - Monitored by CMT for the first 6 months of the new year or when all savings implemented Control - Action Plan to correct budget deviations - Assurance - Reports to Head of Assets and Resources Control - Contingency funds - Assurance - Control - Reserves Policies - Assurance - Control - Project manager in place to lead the project - Assurance - Project updates reported in the MPR Control Accounts to be closed and outturn reported to Cabinet. Control Previous years' outturn reviewed as part of the budget exercise and aligned to historical spend. 					4			
Stage 3 - Further actions to reduce the risk (target risk)									
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact	Likelihood
1011 CR 1201	Accounts to be closed and outturn reported	Martin Hone		31 Jan 2010	Completed - September 2009.	On course to achieve target	4		
1011 CR 1202	Review previous year's outturn	Martin Hone		31 Jan 2010	Being done as part of the 2010/11 budget exercise.	On course to achieve target			
1011 CR 1203	Review next year's budget so that it is aligned to historical spend	Martin Hone		31 Jan 2010	Being done as part of the 2010/11 budget exercise.	On course to achieve target			
1011 CR 1204	Embedding the MTFS over 3 years to raise awareness of long term financial position.	Martin Hone		31 Jan 2011	Revised MTFS will go to Cabinet in September 2009 and will be rolled forward a year (to cover 2011/12 to 2013/14) in February 2010.	On course to achieve target			
1011 CR 1205	Improve financial monitoring through use of Best Practice examples as part of training.	Martin Hone		31 Jan 2011	Completed June 2009. From September the monthly monitoring statements will cover capital schemes as well as revenue spend.	On course to achieve target			

1011 CR 1206	Closer links to the Corporate Plan through the business planning process by aligning the Budget setting timetable in June each year.	Martin Hone		28 Jul 2010	The financial and corporate planning timetables have been synchronised.		On course to achieve target		
1011 CR 1207	Report to quantify and identify funding once final costs are known to be reported to Cabinet	Martin Hone		31 Jan 2010	In hand - final costs are not yet known.		On course to achieve target		

Corporate Priority		CC1 - Minimise our impact on the natural environment								
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score		Impact	Likelihood	
1011 CR15	Cliff movements - risk that landslips may occur resulting in the loss or dislocation of movement routes within the Borough	Enterprise Tourism & Environment	Andrew Meddle	Strategic	Health & Safety	14				
Stage 2 - Risk with Controls and Assurances (current risk)										
Risk Treatment		List of controls and associated assurances to ensure controls are working					Current risk score		Impact	Likelihood
Treat		1. Control - Contract for regular monitoring of potential movement in place with reporting to Corporate Director and Head of Service - Assurance - Regular reports to Corporate Director and Head of Service 2. Control - Funding from DFT for works to reduce risk of slip - Assurance - Progress reporting to DMT 3. Control - Land stabilised in highest risk areas - Assurance - Reporting to Corporate Director and Head of Service 4. Control - Design schemes and appropriate times and implementation method for works agreed - Assurance - Reporting to Corporate Director and Head of Service					8			
Stage 3 - Further actions to reduce the risk (target risk)										
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score		Impact	Likelihood
1011 CR 1501	Regular monitoring for movement reporting to DMT or CMT as appropriate	Paul Mathieson	01 Jul 2009	01 Jul 2010	There is active monitoring of the whole length of the slip including some monitoring of the band stand slip which is currently taking place. The outcome will be wrapped up in an engineering report in July 2010.	Some slippage against target	8			

Corporate Priority		CC3 - Become a higher performing organisation							
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR16	Risk that appropriate arrangements for the management of health and safety are not consistently in place across the Council	Enterprise Tourism & Environment	Andrew Lewis	Strategic	Reputation	16		Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)									
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood
Treat	<ol style="list-style-type: none"> Control - Health & Safety Policy developed - Assurance - Updated annually reviewed by policy team and signed off by Chief Executive Control - Health & Safety Policy promoted at staff induction and available on the intranet - Assurance - Subject covered briefly via induction training sessions Control - Health & Safety Training providers engaged - Assurance - Regular training sessions available for all staff at all levels Control - Health & Safety Strategic Group set up - Assurance - Meet bi-monthly - see minutes of meetings Control - Programme of fire alarm checks - Assurance - Regular checks of equipment, alarm tests and drills with fire marshals on all floors in all buildings 						7		Likelihood
Stage 3 - Further actions to reduce the risk (target risk)									
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact	Likelihood
1011 CR 1601	Action plan has been developed and is being monitored by the Health & Safety Strategic Group	Steve Wall		31 Mar 2011	At their March meeting, CMT fully endorsed the H&S report and Action Plan for the revitalisation of health and safety throughout the Authority.	On course to achieve target	7		Likelihood

Corporate Priority			CP7 - Enable well-planned quality housing and developments that meet the needs and expectations of Southend's residents and businesses						
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR17	Failure of strategic planning to deliver an up to date local development framework	Enterprise Tourism & Environment	Andrew Meddle	Strategic	Service/Project Effectiveness	12		Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)									
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	Impact	Likelihood
Treat	<p>1. Control - Delivery manager has set up a project plan and a Prince2 project manager is in post to oversee this. Progress is monitored against the local development scheme - Assurance - Reports produced and go to DMT, CMT and cabinet.</p> <p>2. Control - Team leader targets - Assurance - Weekly team meeting involving the portfolio holder where movement is discussed and minutes taken.</p> <p>3. Control - Quarterly monitoring on how we are comparing with the local development scheme - Assurance - on-line form and feedback provided.</p> <p>4. Control - Signed up with Planning Officer Society - Pilot projects to see if in the right position - information drawn back from groups as well as contributing - Assurance - Projects monitored and reported upon.</p>						8		Likelihood
Stage 3 - Further actions to reduce the risk (target risk)									
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Original Due Date	Due date	Comments / update on progress	Progress against actions (RAG rating)	Target risk score	Impact	Likelihood
1011 CR 1701	To use opportunities from practice guidance and working with high performing authorities to deliver an up to date Local Development Framework	Matthew Thomas	31 Jan 2011	31 Jan 2011	Southend has a new Local Development Scheme which was recently adopted. It outlines the timetable for delivery of development plan documents and supplementary planning documents and will be used to monitoring progress and review if necessary. Southend is part of the Essex Thames Gateway and attends sub-regional meetings with other authorities to discuss planning matters and better ways of working. Southend also signed up to a number of local authority groups to discuss in association with the planning advisory service, a way to deliver parts of the local development framework. Southend will continue to use Government Best Practice Guidance documents to ensure that the authority is delivering documents efficiently and effectively.	 On course to achieve target	4		Likelihood