

# 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

 <b>High Risk</b>	 <b>Medium Risk</b>	 <b>Low Risk</b>
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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.

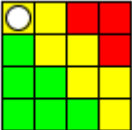
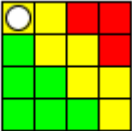
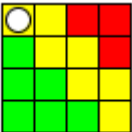

# 1011 Corporate Risk Register

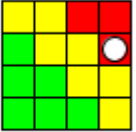
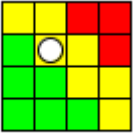
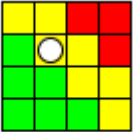
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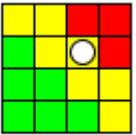
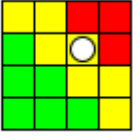

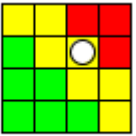
Corporate Priority		CP3 - Continue to improve outcomes for vulnerable adults and older people							
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR A&DAAT 2	Demographic Change will increase the level of demand from demographic trends for Adult & Community Services clients will out strip resources available.	Adult & Community Services	Simon Leftley	Strategic	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	
Treat	1. <b>Control</b> - Additional investment through the 2010/11 budget setting process - <b>Assurance</b> - Monthly budget and activity monitoring 2. <b>Control</b> - 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 - <b>Assurance</b> - Monthly monitoring of progress through the transforming social care programme board					12			
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. Year to date we have 15% of people receiving self-directed support.	On course to achieve 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 ACS 08	Lack of Corporate buy-in to the Delivering Excellence Programme resulting in efficiencies and savings not being realised, financial loss and front line services being cut	Adult & Community Services	Simon Leftley	Strategic	Financial	14		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. <b>Control</b> - Programme Board structure and buy-in from Heads of Service - <b>Assurance</b> - Minuted meetings. All Heads of Service directly responsible for delivering sub projects. Every other month Heads of Service report back to the board on progress.</p> <p>2. <b>Control</b> - Interim Programme Manager challenging senior management and heads of service to ensure compliance and ownership - <b>Assurance</b> - Directly through the programme structure, project boards, attendance at DMT and individual one to one meetings with appropriate stakeholders.</p> <p>3. <b>Control</b> - Impact mitigation reviewing individual projects - <b>Assurance</b> - Monitored via the programme structure and with support from the finance team who are monitoring closely against benefits.</p>					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	Impact	Likelihood
1011 CR ACS 0801	Review a joined up communications plan for Delivering Excellence - across all stakeholder levels both internal and external	Ian McLernon	30 Jun 2010	31 Aug 2010	Re-scoping of DE projects will result in focussed communication plans. Overall communications plan and strategy will be reviewed following this.	On course to achieve target	7		Likelihood

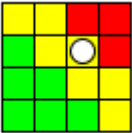
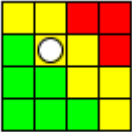

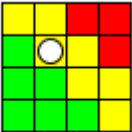
<b>Corporate Priority</b>			CC3 - Become a higher performing organisation							
<b>Stage 1 - Risk without controls (Inherent risk)</b>										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	7	Impact  Likelihood		
1011 CR ACS 09	Lack of capacity to deliver the Delivering Excellence Programme resulting in services not aligned to resident's needs and financial hardship for the Council as well as possible service cuts	Adult & Community Services	Simon Leftley	Strategic	Financial					
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>										
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	7	Impact  Likelihood	
Tolerate	<p>1. <b>Control</b> - Expanded Business Improvement Team by 2 staff</p> <p>2. <b>Control</b> - Delivering Excellence funding to pump prime and support any activity which helps deliver the benefits - <b>Assurance</b> - £500,000 money set aside to support transformation and a clear process on how to bid for the funding which will be approved by the project team and board and then reviewed by the programme manager and then the programme board approval if over £5,000</p> <p>3. <b>Control</b> - Looking at how we use resources across the organisation including joining up activity to maximise effectiveness - <b>Assurance</b> - Cross programme communication. Regular monthly community of practice where activity is shared and how we can join things up is reviewed. Also ensuring that we are aligning work with new ways of working, staff engagement and ICT</p>									
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>										
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 ACS 0901	Reviewing the project and team structures to ensure that they are making effective use of resource.	Ian McLernon	31 Mar 2011	31 Mar 2011	Monitoring closely and will flag to DE Board for more resource if required.		On course to achieve target			

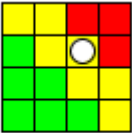
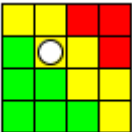

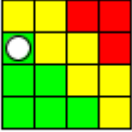

<b>Corporate Priority</b>		CP4 - Make Southend active and alive with sport and culture								
<b>Stage 1 - Risk without controls (Inherent risk)</b>										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR CULT 1	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		
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>										
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood		
Treat	<p>1. <b>Control</b> - Close monitoring of progress and performance targets - <b>Assurance</b> - Monthly performance report to Department Management Team Quarterly. Local Area Agreement targets monitored by ECEP and Southend Together.</p> <p>2. <b>Control</b> - Volunteering programmes developed using a limited amount of revenue - <b>Assurance</b> - Volunteers going through Idea 13 website and working in libraries to support service delivery.</p>					8		Likelihood		
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>										
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 Improvement 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	Member task and finish group has met and commenced a review of options.		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			

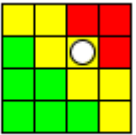
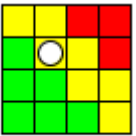
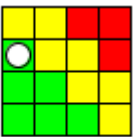
Corporate Priority		CP4 - Make Southend active and alive with sport and culture								
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR CULT 2	Economic down 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. <b>Control</b> - Action plan developed - <b>Assurance</b> - 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 with Sheffield Hallam complete and being built into a revised sports and leisure strategy for roll out to Creating Leisure for programme amendments		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 complete. Culture marketing group commenced to instigate joint marketing		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	2010/11 capital programme on target, with exception of suspended projects for review by capital board to reduce capital spending		Some slippage against 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	Summer Days and other cultural Olympiad events delivered - steering group working to programme and on target.		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	Monthly performance and budget reporting taking place to CMT and Cabinet		On course to achieve target			

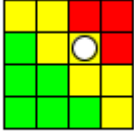
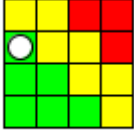

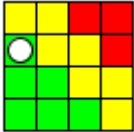

Corporate Priority		CP4 - Make Southend active and alive with sport and culture							
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR CULT 6	Failure to obtain 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. <b>Control</b> - Robust funding strategies are compiled for all capital projects - <b>Assurance</b> - Discussed at every project board and discrepancies highlighted within highlight report and project board take action.</p> <p>2. <b>Control</b> - Ensure bids are of the highest quality - <b>Assurance</b> - 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	Funding strategy being developed for the new museum with the help of external agencies like the MLA.	 Some slippage against target	12		Likelihood

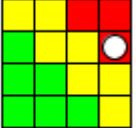
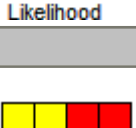
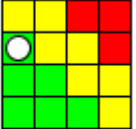
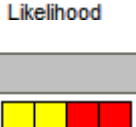
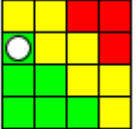
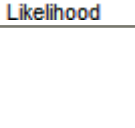


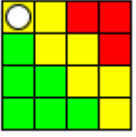
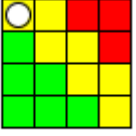
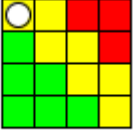
<b>Corporate Priority</b>			CP7 - Enable well-planned quality housing and developments that meet the needs and expectations of Southend's residents and businesses						
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood	
1011 CR H & SP 2	Economic downturn resulting in the reduction in affordable homes being built	Adult & Community Services	Jacqui Lansley	Strategic	Service Provision/Continuity	12			
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
Risk Treatment		List of controls and associated assurances to ensure controls are working					Current risk score		Impact Likelihood
Treat		<b>Control</b> - Maintain close links with the Homes & Communities Agency/GoEast. <b>Assurance</b> - Monitor the amount of funding which is received into the borough. <b>Control</b> - Maintain close links with the local housing providers to work in partnership on private and council owned sites. <b>Assurance</b> - Monitor the LAA target NI 155 and number of new affordable homes built in the borough. <b>Control</b> - Work strategically across the council to ensure affordable housing is considered on all sites. <b>Assurance</b> - Monitor the number of units coming forward from council owned land. <b>Control</b> - Member engagement via the Housing Members Working Party					8		
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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	Daniel Baker	31 Mar 2011	31 Mar 2011	Draft Local Investment Plan completed and currently being reviewed by SBC and HCA, further meetings planned in August to approve sign-off and produce Local Investment Agreement.		On course to achieve target	8 	

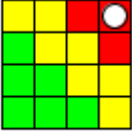
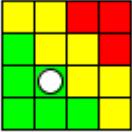
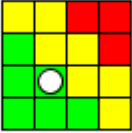
<b>Corporate Priority</b>				CC3 - Become a higher performing organisation						
<b>Stage 1 - Risk without controls (Inherent risk)</b>										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR PI 04	Risk that VfM strategy does not reflect key issues resulting in improvements across the Council not being realised	Policy & Improvement	Tim Cusack	Strategic	Value for Money	12		Likelihood		
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>										
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood		
Treat	1. <b>Control</b> - Strategy developed - <b>Assurance</b> - Strategy is published on the intranet 2. <b>Control</b> - VfM focus through PITG - <b>Assurance</b> - Individual managers reporting to PITG on VfM recommendations and actions 3. <b>Control</b> - VfM assessment key part of Service Planning - <b>Assurance</b> - Highlight reports to CMT					8		Likelihood		
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>										
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	Tim MacGregor	30 Jun 2010	31 Mar 2011	Researched current toolkits and assessment templates across the council. Summarised vfm from service plans. Looking at best practice from other organisations and collated findings from past Use of Resources assessments. Provided 09/10 data for CIPFA vfm toolkit and PWC vfm benchmark exercise for older people (Children's Services data not provided as service prefers to use 'family group' comparators). Corporate approach being reviewed in light of scale of savings required from Govt.		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	Tim MacGregor		31 Mar 2011	The Council's transformation programme, Delivering Excellence, is due to deliver £15m efficiencies over the next 4 years with £1.7m in 2010/11. The Council is reviewing its approach to driving further efficiencies including reviewing all activities to see if services can be delivered more efficiently. Staff have been asked for their ideas on saving money by the Chief Executive with a dedicated email address set up to capture these. Children & Learning (with support from Adult Services in relevant areas) have undertaken a series of 'value for money and redesign challenge' workshops to identify further areas of potential efficiencies to feed into the Medium Term Financial Strategy.		On course to achieve target			

<b>Corporate Priority</b>			CP6 - Enhance the prosperity of Southend and its residents							
<b>Stage 1 - Risk without controls (Inherent risk)</b>										
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				
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>										
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"> <li><b>Control</b> - Census Steering Group established and meeting regularly - <b>Assurance</b> - Highlight reporting to LSP Executive</li> <li><b>Control</b> - Census Overview and Scrutiny Project Group - <b>Assurance</b> - Monitoring report by giving updates</li> <li><b>Control</b> - Census communications action plan - <b>Assurance</b> - Reporting to Census Steering Group and LSP Executive</li> <li><b>Control</b> - LLPG in place and up to date - <b>Assurance</b> - Progress reporting to Census Steering Group</li> <li><b>Control</b> - Represented on Office of National Statistics National Communications Steering Group and also regional group - <b>Assurance</b> - Feedback of issues to Census Steering Group and Local Strategic Partnership Executive</li> <li><b>Control</b> - Represented on Office of National Statistics Local Authority Advisory Group and Essex Assistant Census Liaison Manager's Group - <b>Assurance</b> - Feedback of issues to Census Steering Group and Local Strategic Partnership Executive</li> </ol>					8				
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>										
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	Continued support to steering group		On course to achieve target	4		Likelihood
1011 CR PI 0502	Further audience identification	Shane Bartley		31 Mar 2011	work is ongoing with communications - continuing to develop media to support target populations		On course to achieve target			
1011 CR PI 0503	Support communications plan	Shane Bartley		31 Mar 2011	comms plan is continuing to develop and is being delivered		On course to achieve target			
1011 CR PI 0504	Access hard to reach communities	Shane Bartley		31 Mar 2011	Information is being developed for different groups. using local knowledge and MOSAIC data to identify appropriate mechanisms to reach populations		On course to achieve target			

<b>Corporate Priority</b>		CC2 - Reduce the inequalities gap and increase the life chances of people living in Southend							
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
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	
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
Risk Treatment	List of controls and associated assurances to ensure controls are working							Current risk score	Impact
Treat	<ol style="list-style-type: none"> <li><b>Control</b> - Corporate Equalities Steering Group set up - <b>Assurance</b> - Minutes of meetings.</li> <li><b>Control</b> - Equalities Board through Southend Together - <b>Assurance</b> - Minutes of meetings.</li> <li><b>Control</b> - National and local performance indicators in place - <b>Assurance</b> - Monitored through the monthly performance report.</li> <li><b>Control</b> - Programme of EIAs - <b>Assurance</b> - Monitored by Corporate Equalities Steering Group.</li> <li><b>Control</b> - Staff engagement survey undertaken - <b>Assurance</b> - Pulled together by Human Resources department and survey results used to inform areas to focus on and action plans produced and monitored.</li> </ol>							4	
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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
1011 PI RSP 1101	Working to sustain Stonewall top 100 position	Peter Hall	01 Dec 2010	01 Dec 2010	CESG gave approval for payment of Stonewall's membership fee (which includes taking part in Workplace Equality Index). An update of next steps was given at the last CESG meeting which took place on 25 June 2010. A timetable will be circulated to CESG for comment and feedback by mid-July.		On course to achieve target	4	
1011 PI RSP 1102	Action plan developed for working towards achieving Excellent in the Equality Framework	Peter Hall	31 Mar 2011	31 Mar 2011	The external assessment has been delayed for 1 year. A peer assessment is being undertaken and will be completed by the target date.		On course to achieve target		

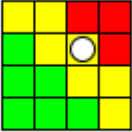
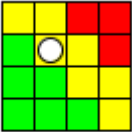

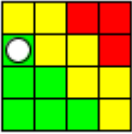
<b>Corporate Priority</b>			CC2 - Reduce the inequalities gap and increase the life chances of people living in Southend						
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	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			
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood	
Treat	1. <b>Control</b> - Single Equalities Scheme 2010-2013 in place - <b>Assurance</b> - Outcomes monitored through Corporate Equalities Steering Group 2. <b>Control</b> - Scheme drafted by Equality Consultant - Gravitas together with Equality and Diversity Lead and Corporate Equalities Steering Group 3. <b>Control</b> - Single Equalities Scheme has supporting actions covering all equality strands - <b>Assurance</b> - Annual progress report produced monitoring outcomes of actions and is reported to Corporate Equalities Steering Group, Corporate Management Scheme and Cabinet					4			
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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		

<b>Corporate Priority</b>			CC3 - Become a higher performing organisation					
<b>Stage 1 - Risk without controls (Inherent risk)</b>								
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	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	7		
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>								
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact Likelihood	
Treat	<p>1. <b>Control</b> - Local Strategic Partnership monitor performance against Sustainable Community Strategy ambitions through performance group on a quarterly basis - <b>Assurance</b> - minutes of meetings.</p> <p>2. <b>Control</b> - 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 - <b>Assurance</b> - minutes of meetings.</p>					7		
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>								
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 1401	Regular monitoring of the Local Strategic Partnership performance against the Sustainable Community Strategy	Lysanne Eddy	31 Mar 2011	31 Mar 2011	The Local Strategic Partnership Executive monitor the Sustainable Community Strategy ambitions and any variance will be captured as further actions against this risk. We are currently waiting for the full economic impact to fall out after the Comprehensive Spending Review on 20th October. As the Council is the accountable body for the SCS there could be a financial risk to the Council to find ways to deliver the SCS if partners decide to pull out. This will be monitored closely by the Council.	On course to achieve target	7	
1011 CR PI 1402	The Corporate Plan and service plans are produced and monitored.	Tim Cusack	31 Mar 2011	31 Mar 2011	Monitored quarterly at CMT and Cabinet and at PITG as part of the MPR (indicators are monitored monthly and actions are monitored quarterly).	On course to achieve target		

<b>Corporate Priority</b>		CC3 - Become a higher performing organisation							
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
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		Likelihood	
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
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"> <li><b>Control</b> - Target action plans for all LAA targets - <b>Assurance</b> - monitored at PMG and exception reporting.</li> <li><b>Control</b> - Identified target leads - <b>Assurance</b> - target lead call-ins.</li> <li><b>Control</b> - Performance management group which crosses over with the (Performance Information Task Group) PITG.</li> <li><b>Control</b> - Performance information reported in the Monthly Performance Report (MPR) - <b>Assurance</b> -</li> <li><b>Control</b> - Partner data is stored on Covalent and integrated into the report by the Strategy &amp; Performance Team - <b>Assurance</b> - Governance process in place for at risk target to move resources and amend action plan.</li> <li><b>Control</b> - Performance Management Group to monitor where a group has finished (target agreed or closed) - <b>Assurance</b> - where target is in LAA2 the performance group will establish task and finish groups where needed.</li> </ol>						5		Likelihood
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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		Likelihood

<b>Corporate Priority</b>			CC3 - Become a higher performing organisation						
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
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				
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score	4	Impact Likelihood
Treat	1. <b>Control</b> - Governance procedures are reviewed annually in line with legal requirements and best practice - <b>Assurance</b> - Reported to CMT, EB, AC and Cabinet - see minutes of meetings								
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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	Actions are currently being progressed to strengthen the golden thread and tie in with the annual governance statement action plan.	On course to achieve target			

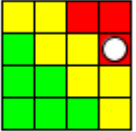
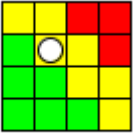

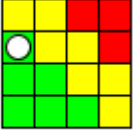


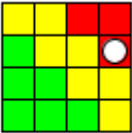
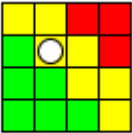

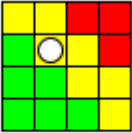
Corporate Priority		CC3 – Become a higher performing organisation							
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR SS17	Failure to implement the ERP system and to realise the associated benefits	Support Services	Joanna Ruffle	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. <b>Control</b> - Project team established. <b>Assurance</b> - Project Manager and team appointed from Agresso and SBC. 2. <b>Control</b> - Project plan drafted showing benefits and risks. Workshops identified to design solution. <b>Assurance</b> - Workshops delivered. 3. <b>Control</b> - Project board established. <b>Assurance</b> - Project Governance is being managed through the programme office as part of the delivery excellence programme.					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 SS17	Project team workshop to develop integrated view and approach to project change management and communications plan to be developed	John Cooke	31 Aug 2011	31 Aug 2010	Workshop completed and communication action plan in place.	 On course to achieve target	4		Likelihood




<b>Corporate Priority</b>			CP5 - Continue to improve outcomes for vulnerable children							
<b>Stage 1 - Risk without controls (Inherent risk)</b>										
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				
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>										
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"> <li><b>Control</b> - Senior management agreement to consistent threshold for CLA - <b>Assurance</b> - Tracking systems in place - reviewed as part of 2007 Children Looked After (CLA) Audit</li> <li><b>Control</b> - Monthly performance management of CLA figures - <b>Assurance</b> - Minutes of SSMG meetings</li> <li><b>Control</b> - Monthly performance reporting of CLA figures to DMT - <b>Assurance</b> - Minutes of DMT meetings</li> <li><b>Control</b> - Monthly meeting with Director regarding CLA numbers - <b>Assurance</b> - Minutes of meetings</li> <li><b>Control</b> - Acute and complex panel in place that scrutinises all placement decisions - <b>Assurance</b> - Minutes of review meetings</li> <li><b>Control</b> - Tracking tool for adoption tracks all children through to SSMG - <b>Assurance</b> - Minutes of SSMG meetings</li> <li><b>Control</b> - Tracking tool ensuring no drift and effective care planning - <b>Assurance</b> - Tracking tool held by group manager - reviewed as part of 2007 Children Looked After (CLA) Audit</li> <li><b>Control</b> - Reviews of CLA consider reunification at each review - <b>Assurance</b> - Minutes of reviews</li> <li><b>Control</b> - Project Co-ordinator in place and project up and running - <b>Assurance</b> - Project Co-ordinator reports to Team Manager Specialist Services and the success is monitored by the Children's Partnership</li> </ol>						4			
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>										
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 0202	Think Family investment of £800,000 over 3 years to provide support to families most at risk	Sue Snoxell		31 Mar 2010	57 families attached to Project. On track for 90 by March 2011. 29 families have intensive family support. 21 further families will receive this support in line with March 2011 target.		On course to achieve target	4		
1011 CR 0203	Continue to embed integrated approach and achieve consistent understanding across the children's workforce	Gill Manton		01 Feb 2010	The integrated locality toolkit was signed off by the Children's Partnership Executive in June 2010 and will be launched in each locality in September 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 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			
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"> <li><b>Control</b> - Business Continuity Plan - <b>Assurance</b> - Monitored through DMT's and by the Emergency Planning Officer</li> <li><b>Control</b> - Identification and prioritisation of Corporate systems for recovery as part of Business Continuity Plan - <b>Assurance</b> - Reviewed annually and reported to Head of Customer Services. Monthly monitoring at Service Management Team and by Departmental Emergency Planning / Business Continuity Liaison Officers.</li> <li><b>Control</b> - System ownership and skills in place to re-establish key systems - <b>Assurance</b> - Report to Head of Customer Services</li> <li><b>Control</b> - Essex resilience forum pandemic flu plan in place - <b>Assurance</b> - 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)</li> <li><b>Control</b> - Corporate flu / business continuity group - <b>Assurance</b> - 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</li> </ol>					11			
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 0701	Back-up to a SAN as solution to enable telephony and systems to be reinstated	Laurence Cops		01 Nov 2010	Basildon has agreed to host a SAN as part of the solution. We have in place a SLA between us and Basildon which has been agreed, this will enable us to deploy the kit and have the connectivity activated.	On course to achieve target	7		
1011 CR 0702	Work progressing within the Essex Online Partnership to utilise the Essexnet as a SAN and server base for BCP	Laurence Cops		31 Mar 2011	This is secondary solution after Basildon as we are making reciprocal arrangements with other EOLP members. Possibility of income generation.	On course to achieve 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 2011	Following Harlow visit, now progressing alternative solution due to problems over location and facilities. Alternative solution with Belfairs School now progressing.	On course to achieve 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 2011	Supplier now selected kick off meeting scheduled for Middle February 2011. All new Telephony kit installed project plan in place roll out of telephony to Contact Centre, Tickfield and Margaret Thatcher House.		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	Due to the New Ways of Working programme the corporate and directorate business continuity plans need to be reviewed by the end of March 2011, earlier if possible.		Some slippage against 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 going live early September 2010.		On course to achieve target			

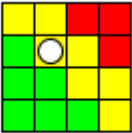
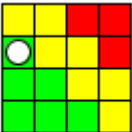

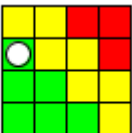
<b>Corporate Priority</b>			CC3 - Become a higher performing organisation						
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR08	Human resource potential may not be fully optimised	Support Services	Joanna Ruffle	Strategic	Value for Money	15		Likelihood	
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood	
Treat	1. <b>Control</b> - 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 - <b>Assurance</b> - 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		Likelihood	
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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		31 Mar 2011	PM&D working party met on 14th July 2010 and signed off 9/10 action plan as complete. Revised PMS agreed including 10/11 action plan Key achievements to date include IiP recognition, 4 score for use of resources KLOE 3.3.	 On course to achieve target	4		Likelihood

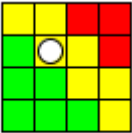
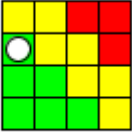
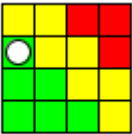
Corporate Priority		CC3 - Become a higher performing organisation							
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR09	Failure of the council to embed its Information Management Strategy resulting in Corporate and Service Planning not being build on robust data	Support Services	Sally Holland	Strategic	Service Provision / Continuity	15	Impact	 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. <b>Control</b> - ICT Strategy, Data Protection Policy, FOI Policy, IT Security Policy, Disposal Policy, Privacy Versus Sharing Policy, Roles &amp; 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 - <b>Assurance</b> - 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. <b>Control</b> - Access to Services Strategy - <b>Assurance</b> - Reporting to Access to Services Project Board</p> <p>3. <b>Control</b> - Performance Management Champions Group - <b>Assurance</b> -</p> <p>4. <b>Control</b> - Data Quality Improvement Plan and Strategy - <b>Assurance</b> - Reporting of progress to CMT and Audit Committee Data Quality and Covalent Project Group</p> <p>5. <b>Control</b> - Monthly reporting of key performance through Monthly Performance Report (MPR) reviewed by Cabinet, Scrutiny, CMT and PITG - <b>Assurance</b> - Monthly reporting to PITG</p> <p>6. <b>Control</b> - Reporting to Audit Committee on data quality progress - <b>Assurance</b> - Minutes of meetings</p> <p>7. <b>Control</b> - Data verification of PI's - <b>Assurance</b> - Undertaken within Directorates and national indicators verified by Internal Audit and External Audit</p> <p>8. <b>Control</b> - Links between performance management and Medium Term Financial Strategy strengthened - <b>Assurance</b> - Corporate Plan MPR reported to CMT, Cabinet, Scrutiny and Council - see minutes</p> <p>9. <b>Control</b> - Information Strategy Group in place - <b>Assurance</b> - Monitoring of progress against the Information Management Strategy action plan</p>						8	Impact	 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 0901	Completion of data quality action plan	Tim Cusack		30 Mar 2011	The Data Quality Framework is being rolled over. This will produce the basis for an action plan which will be developed by the Performance Leads Group to drive forward improvement and to collect evidence. The next meeting of the Performance Leads Group is in August 2010.	 On course to achieve target	8	Impact	 Likelihood



1011 CR 0904	Process mapping of National Indicators	Paul Toms		31 Dec 2010	The data quality sheets are currently being reviewed and amended. The process mapping element will be documented in the revised Data Quality Strategy being updated by December 2010.		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 2011	Information Management Strategy agreed at CMT 21st June 2010. Sharing protocol to go to Southend Together Board for formal signing. Partners are being asked to sign up to the Essex Trust Charter where the protocols will 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	Site has been launched and is available to all partners within Southend Together after registration.		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 1st interview process unsuccessful, 2nd interview process scheduled early September 2010. with view to have position in place by Middle November 2010.		At risk of missing target			

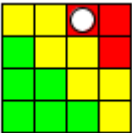
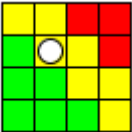

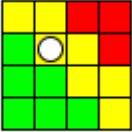
<b>Corporate Priority</b>			CC3 - Become a higher performing organisation						
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood	
1011 CR10	The delivery of the Capital programme may be delayed because of lack of capacity	Support Services	Marc Albano	Strategic	Value for Money	8			
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
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"> <li><b>Control</b> - Medium Term Financial Strategy - <b>Assurance</b> - Monitored by CMT and reported to Cabinet</li> <li><b>Control</b> - Financial monitoring information - <b>Assurance</b> - Reports to Head of Finance and Resources</li> <li><b>Control</b> - Capital Programme Board - <b>Assurance</b> - Minutes to Cabinet</li> <li><b>Control</b> - Action Plan to correct budget deviations - <b>Assurance</b> - Reports to Head of Finance and Resources</li> <li><b>Control</b> - Contingency funds - <b>Assurance</b> - Reported in Cabinet minutes</li> <li><b>Control</b> - Capital Programme for 2009/10 re-cast to identify scheme sponsors - <b>Assurance</b> - 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)</li> </ol>						4		
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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	Marc Albano		31 Mar 2011	This action is in hand as part of the budget exercise for financial year 2010/11 and is under constant review.	On course to achieve target	4		

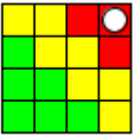
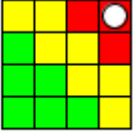
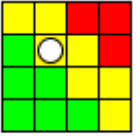




<b>Corporate Priority</b>			CC3 - Become a higher performing organisation						
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood	
1011 CR11	The delivery of the Capital Programme may be affected by a reduction in funding available from sponsoring Government departments and other external partners	Support Services	Marc Albano	Strategic	Value for Money	8			
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
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"> <li><b>Control</b> - Medium Term Financial Strategy - <b>Assurance</b> - Monitored by CMT and reported to Cabinet</li> <li><b>Control</b> - Financial monitoring information - <b>Assurance</b> - Reports to Head of Finance and Resources</li> <li><b>Control</b> - Capital Programme Board - <b>Assurance</b> - Minutes to Cabinet</li> <li><b>Control</b> - Action Plan to correct budget deviations - <b>Assurance</b> - Reports to Head of Finance and Resources</li> <li><b>Control</b> - Contingency funds - <b>Assurance</b> - Reported in Cabinet minutes</li> <li><b>Control</b> - Capital Programme for 2009/10 re-cast to identify scheme sponsors - <b>Assurance</b> - 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)</li> </ol>						4		
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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	Marc Albano		31 Mar 2011	This action is in hand as part of the budget exercise for financial year 2010/11 and is under constant review.	 On course to achieve target	4		

<b>Corporate Priority</b>			CC3 - Become a higher performing organisation						
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score			
1011 CR12	Council may not be able to deliver services with the budget allocated	Support Services	Marc Albano	Strategic	Financial	8	 Likelihood		
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
Risk Treatment	List of controls and associated assurances to ensure controls are working						Current risk score		
Treat	1. <b>Control</b> - Capital Programme for 2009/10 re-cast to identify scheme sponsors - <b>Assurance</b> - 2. <b>Control</b> - Capital Strategy 2009/10 to 2011/12 in place - <b>Assurance</b> - 3. <b>Control</b> - Implementation of savings - <b>Assurance</b> - Monitored by CMT for the first 6 months of the new year or when all savings implemented 4. <b>Control</b> - Action Plan to correct budget deviations - <b>Assurance</b> - Reports to Head of Assets and Resources 5. <b>Control</b> - Contingency funds - <b>Assurance</b> - 6. <b>Control</b> - Reserves Policies - <b>Assurance</b> - 7. <b>Control</b> - Project manager in place to lead the project - <b>Assurance</b> - Project updates reported in the MPR 8. <b>Control</b> Accounts to be closed and outturn reported to Cabinet. 9. <b>Control</b> Previous years' outturn reviewed as part of the budget exercise and aligned to historical spend.						4	 Likelihood	
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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 1202	Review previous year's outturn	Marc Albano		31 Jan 2010	Completed and reviewed at June Cabinet Meeting.	✓	On course to achieve target	4	 Likelihood
1011 CR 1203	Review next year's budget so that it is aligned to historical spend	Marc Albano		01 Feb 2011	Completed and reviewed at June Cabinet meeting	✓	On course to achieve target		
1011 CR 1204	Embedding the MTFs over 3 years to raise awareness of long term financial position.	Marc Albano		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.	Marc Albano		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.	Marc Albano		28 Jul 2010	The financial and corporate planning timetables have been synchronised, completed and aligned and used in setting the budget.		On course to achieve target			
1011 CR 1207	Report to quantify and identify funding once final costs are known to be reported to Cabinet	Marc Albano		31 Jan 2010	Review of final costs completed and reported to Cabinet June 2010.		On course to achieve target			

<b>Corporate Priority</b>		CC1 - Minimise our impact on the natural environment							
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 ETE 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		Likelihood	
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood	
Treat	<p>1. <b>Control</b> - Contract for regular monitoring of potential movement in place with reporting to Corporate Director and Head of Service - <b>Assurance</b> - Regular reports to Corporate Director and Head of Service</p> <p>2. <b>Control</b> - Funding from DFT for works to reduce risk of slip - <b>Assurance</b> - Progress reporting to DMT</p> <p>3. <b>Control</b> - Land stabilised in highest risk areas - <b>Assurance</b> - Reporting to Corporate Director and Head of Service</p> <p>4. <b>Control</b> - Design schemes and appropriate times and implementation method for works agreed - <b>Assurance</b> - Reporting to Corporate Director and Head of Service</p>					8		Likelihood	
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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 Nov 2010	<b>Qtr 2 2010: Progress to 26th August 2010</b> The Bandstand slip is being intensively monitored to provide data for the ongoing detailed design by Buro Happold to be completed in September 2010 for a detailed planning application. For the remaining cliff frontages Halcrow are preparing estimated costs for re-activation of the monitoring regime, which will be reported to Council in due course. At present there is no approval or budget for this work.	 Some slippage against target	8		Likelihood

Corporate Priority												
Stage 1 - Risk without controls (Inherent risk)												
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type		Risk category		Inherent risk score	16	 Impact Likelihood		
1011 ETE CR18	Risk that the Council does not meet the requirements of the Carbon Reduction Commitment Scheme resulting in a number of financial penalties for the Council and damage to the Councils reputation.	Enterprise Tourism & Environment	Carl Robinson	Strategic		Financial						
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	16	 Impact Likelihood		
Treat		<p>1. <b>Control</b>- Specialist external advice being sought to advise of the legal, IT and financial implications. <b>Assurance</b> – Report to be produced and project plan developed to monitor actions.</p> <p>2. <b>Control</b>- Carbon Reduction Commitment Energy Management Steering Group Established. <b>Assurance</b>- Progress reported at each meeting Minutes taken.</p> <p>3. <b>Control</b>- Request to include CRC in Medium Term Financial Strategy. <b>Assurance</b> Report to Cabinet 16 June 2010</p> <p>4. <b>Control</b>- training to be provided to schools and other major sites on Implications of CRC scheme. <b>Assurance</b> – training schedule to be set down and feedback to Carbon Reduction Energy Management Steering group.</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	8	 Impact Likelihood		
1013 PP-SA27	Deliver the recommendation of the Internal Audit of Energy Management	Carl Robinson	31 Mar 2011	31 Mar 2011	<b>Qtr 2 2010: Progress to 26th August 2010</b> Reduction of CO2 used by the Council achieved in line with targets for NI185 and through implementation of the Climate Change Action Plan	✓	On course to achieve target					
1013 PP-SA28	Refresh the corporate climate change action plan incorporating the Energy Saving Trust one on one report to deliver a comprehensive plan	Carl Robinson	30 Jun 2010	31 Mar 2011	<b>Qtr 2 2010: Progress to 26th August</b> Revised Climate Change Adaptation Action Plan (CCAAP) presented to Cabinet in June 2010 and agreed	✓	On course to achieve target					
1013 PP-SA29	Develop a air quality and contaminated land strategy	Carl Robinson	30 Sep 2010	30 Sep 2010								
1013 PP-SA33	Devise Carbon Reduction Programme and a strategy for Carbon trading	Carl Robinson	30 Sep 2010	30 Sep 2010	<b>Qtr 2 2010: Progress to 26th August 2010</b> Carbon reduction programme in place as part of target setting for NI185, and carbon trading strategy will be devised following registration for CRC, due end September 2010	✓	On course to achieve target					

1013 PP-SA34	Ensure Registration for CRC scheme	Carl Robinson	29 Sep 2010	29 Sep 2010	<b>Qtr 2 2010: Progress to 26th August 2010</b> External support has been engaged to liaise with council services to ensure registration for CRC before deadline of end September 2010. Actual registration application anticipated during week beginning 6th September 2010.		On course to achieve target			
1013 PP-SA35	Ensure access to CRC compliant data base	Carl Robinson	02 Aug 2010	30 Sep 2010	<b>Qtr 2 2010: Progress to 26th August 2010</b> Energy Officer / Sustainability Officer have compiled a compliant database to ensure relevant data is captured and monitored for CRC purposes.		On course to achieve target			

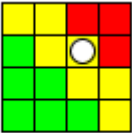
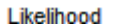
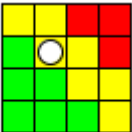
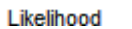

<b>Corporate Priority</b>			CC3 - Become a higher performing organisation							
<b>Stage 1 - Risk without controls (Inherent risk)</b>										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 ETE CR03	Risk of not delivering the long term Private Finance / Public Private Partnership Waste Treatment Contract	Enterprise Tourism & Environment	Dipti Patel	Strategic	Service or Project Effectiveness	16				
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>										
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood		
Treat	<p>1. <b>Control</b> - Joint governance arrangements in place to deliver long term solution - <b>Assurance</b> - Officer project delivery board / Essex and Southend Member Project Board / OGC Gateway reviews</p> <p>2. <b>Control</b> - All risks are incorporated in the Waste Programme Risk Register - <b>Assurance</b> - Reviewed by Officer Project Delivery Board / Essex &amp; Southend Member Project Delivery Board</p> <p>3. <b>Control</b> - Regular meetings with the contractor including formal meetings - <b>Assurance</b> - Performance meetings led by Head of Public Protection and minutes of formal meetings</p>					7				
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>										
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	31 Dec 2010	<b>Qtr 2 2010: Progress to 26th August 2010</b> Residual Waste Treatment Contract [PFI] at Courtauld Road - Following evaluation of ISOS submissions Project Boards agree 3 bidders to take part in Detailed dialogue. First round of Dialogue now complete. Biowaste in Essex Treatment Contract [South] at Courtauld Road - OJEU issued and PQQs currently being evaluated. Delivery of waste transfer stations on target.		On course to achieve target	7		
1011 CR 0302	Development of contingency arrangements for Southend	John Whiddon	29 May 2009	31 Dec 2010	<b>Qtr 2 2010: Progress to 26th August 2010</b> Waste Programme for delivery of OBC is progressing satisfactorily.		On course to achieve target			

<b>Corporate Priority</b>		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									
<b>Stage 1 - Risk without controls (Inherent risk)</b>											
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type		Risk category		Inherent risk score	15	 Impact Likelihood	
1011 ETE 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	Scott Dolling	Strategic		Reputational					
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>											
Risk Treatment		List of controls and associated assurances to ensure controls are working							Current risk score	4	 Impact Likelihood
Treat		1. <b>Control</b> - Refigured Enterprise team on service delivery to enable events to be supported throughout the year - <b>Assurance</b> - service plan monitored regularly at Directorate Management Team Meetings. 2. <b>Control</b> - Initiatives set up such as networking-on-sea to enable a private sector initiative aimed at helping businesses - <b>Assurance</b> - list of organised events. 3. <b>Control</b> - Development of list of local supply solutions to assist and improve trade in the area - <b>Assurance</b> - Business Directory issued									
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>											
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	8	 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	<b>Qtr 2 2010: Progress to 26th August 2010</b> Support for the business community is continuing through the business booster and mentoring scheme. Networking events for businesses are still planned for the remainder of the financial year		On course to achieve target				



<b>Corporate Priority</b>		CP7 - Enable well-planned quality housing and developments that meet the needs and expectations of Southend's residents and businesses							
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood	
1011 ETE CR06	Risk that development control improvement is not sustained thereby damaging sustainable development and regeneration	Enterprise Tourism & Environment	Andrew Meddle	Strategic	Reputational	13			
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
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"> <li><b>Control</b> - Regular tracking of performance - <b>Assurance</b> - Reporting to DMT, PITG and team leaders quarterly through MPR</li> <li><b>Control</b> - Group managers, team leaders and planning officers in post - <b>Assurance</b> - Reporting to Head of Service and Corporate Director</li> <li><b>Control</b> - Enforcement Team in place to ensure consistent approach to customer complaints - <b>Assurance</b> - Enforcement Team report to Group Manager every 2 weeks</li> <li><b>Control</b> - Satisfaction monitoring undertaken within service area. Baseline has been established and questionnaires are sent out to all contacts - <b>Assurance</b> - Information fed back as part of the planning improvement plan to service team</li> <li><b>Control</b> - Annual programme of training for members - <b>Assurance</b> - Overall plan set at the beginning of July and will be reviewed annually.</li> </ol>						9		
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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 0601	Annual programme of training for members	Peter Geraghty		31 Mar 2011	<b>Qtr 2 2010: Progress to 26th August 2010</b> The next member training session is due to take place in September in line with training programme.		On course to achieve target	9	
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		31 Mar 2011	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		

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 ETE 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				
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. <b>Control</b> - Health & Safety Policy developed - <b>Assurance</b> - Updated annually reviewed by policy team and signed off by Chief Executive 2. <b>Control</b> - Health & Safety Policy promoted at staff induction and available on the intranet - <b>Assurance</b> - Subject covered briefly via induction training sessions 3. <b>Control</b> - Health & Safety Training providers engaged - <b>Assurance</b> - Regular training sessions available for all staff at all levels 4. <b>Control</b> - Health & Safety Strategic Group set up - <b>Assurance</b> - Meet bi-monthly - see minutes of meetings 5. <b>Control</b> - Programme of fire alarm checks - <b>Assurance</b> - Regular checks of equipment, alarm tests and drills with fire marshals on all floors in all buildings					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 1601	Action plan has been developed and is being monitored by the Health & Safety Strategic Group	Steve Wall		31 Mar 2011	<b>Qtr 2 2010: Progress to 26th August 2010</b> H&S Policy has been revised and a report to be submitted at the next CMT before going to Cabinet for approval. Dates for managers 1 day mandatory H&S have been agreed and the trainer appointed		On course to achieve target	7		

<b>Corporate Priority</b>		CP7 - Enable well-planned quality housing and developments that meet the needs and expectations of Southend's residents and businesses							
<b>Stage 1 - Risk without controls (Inherent risk)</b>									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 ETE CR17	Failure of strategic planning to deliver an up to date local development framework	Enterprise Tourism & Environment	Andrew Meddle	Strategic	Service/Project Effectiveness	12			
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>									
Risk Treatment	List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood	
Treat	<p>1. <b>Control</b> - 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 - <b>Assurance</b> - Reports produced and go to DMT, CMT and cabinet.</p> <p>2. <b>Control</b> - Team leader targets - <b>Assurance</b> - Weekly team meeting involving the portfolio holder where movement is discussed and minutes taken.</p> <p>3. <b>Control</b> - Quarterly monitoring on how we are comparing with the local development scheme - <b>Assurance</b> - on-line form and feedback provided.</p> <p>4. <b>Control</b> - Signed up with Planning Officer Society - Pilot projects to see if in the right position - information drawn back from groups as well as contributing - <b>Assurance</b> - Projects monitored and reported upon.</p>					8			
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>									
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 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	<b>Qtr 2 2010: Progress to 26th August 2010</b> Continue to monitor the new Local Development Scheme. Southend will continue to use Government Best Practice Guidance documents to ensure that the authority is delivering documents efficiently and effectively. Local Development Framework – Delivery Highlight Report going to CMT 1st September. Report attached		On course to achieve target	4	
								