

Corporate Assurance Risk Register 2010/11



COVALENT
TRANSFORMING PERFORMANCE

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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

Severe /
Significant Opportunity

Material

Negligible

7	11	14	16
4	8	12	15
2	5	9	13
1	3	6	10
Unlikely	Likely	Very Likely	Almost Certain

Likelihood

Key



**High
Risk**



Medium Risk



**Low
Risk**

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

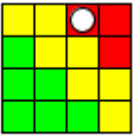
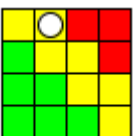

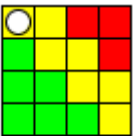
- Action has not missed any target dates and will be achieved.

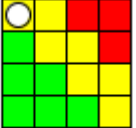
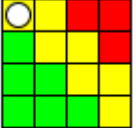
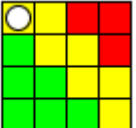
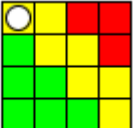
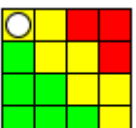

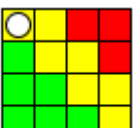
1011 Corporate Risk Register

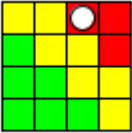
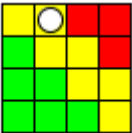
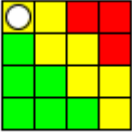
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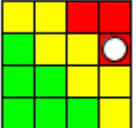
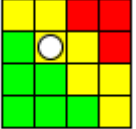

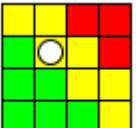




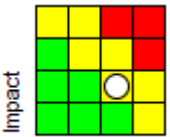
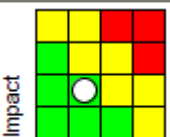

Corporate Priority		CP3 - Continue to improve outcomes for vulnerable adults and older people							
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR A&DAAT 2	Risk that the demographic increase in older people which is not funded will result in the Council's inability to protect the most vulnerable people	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. 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				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. Year to date we have 22.6% of service users receiving self directed support and we are confident of exceeding the ADASS benchmark of 30% and reach over 35%.	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	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. Control - Programme Board structure and buy-in from Heads of Service - Assurance - 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. Control - Interim Programme Manager challenging senior management and heads of service to ensure compliance and ownership - Assurance - Directly through the programme structure, project boards, attendance at DMT and individual one to one meetings with appropriate stakeholders.</p> <p>3. Control - Impact mitigation reviewing individual projects - Assurance - Monitored via the programme structure and with support from the finance team who are monitoring closely against benefits.</p>					11	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 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 Mar 2011	Projects realigned - slimmed to four Delivery Projects (as agreed by Corporate Directors). Established a Business Partner arrangement with Directorates to ensure alignment with Delivering Excellence and Directorate activity. Continuing to review effectiveness of changes.	 On course to achieve target	7	Impact	 Likelihood

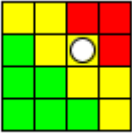
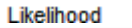
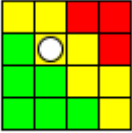
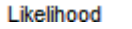

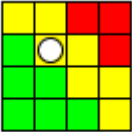
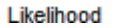
Corporate Priority			CC3 - Become a higher performing organisation							
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	7	 Likelihood		
1011 CR ACS 09	Lack of capacity to deliver the 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			 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	7	 Likelihood	
Tolerate	<p>1. Control - Expanded Business Improvement Team by 2 staff</p> <p>2. Control - Delivering Excellence funding to pump prime and support any activity which helps deliver the benefits - Assurance - £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. Control - Looking at how we use resources across the organisation including joining up activity to maximise effectiveness - Assurance - 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>								 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	7	 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 Delivering Excellence Board for more resource if required. Projects realigned - slimmed to four Delivery Projects - this has freed some resource to better support Delivering Excellence.		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	Likelihood		
1011 CR ACS 10	Duplication or double counting of savings from Delivering Excellence and Corporate savings activities (required due to recent Government spending review) resulting in failure to meet DE and MTF financial targets	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. Control - Alignment of DE and Corporate savings activities - Assurance - monitored by Delivering Excellence Programme Board</p> <p>2. Control - Reviewing and monitoring savings plans, forecasts and deliverable to ensure no duplication of activity, or double counting - Assurance - monitored by Delivering Excellence Programme Board on a monthly basis and by Finance to ensure that savings are delivered and extracted appropriately.</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 1001	Ensure Directorate Targets for Delivering Excellence are clear agreed and signed off	Ian McLernon	04 Jan 2011	04 Jan 2011	Activity aligned with SBC Corporate Medium Term Financial Strategy timescales.		On course to achieve target	7		Likelihood
1011 CR ACS 1002	Regularly review Financial monitoring and savings forecasts to ensure there is no duplication	Ian McLernon	04 Jan 2011	04 Jan 2011	Finance are currently reviewing savings forecasts to ensure that there is no duplication.		On course to achieve target			
1011 CR ACS 1003	Review projects to ensure activity is aligned and there is no duplication	Ian McLernon	04 Jan 2011	04 Jan 2011	Regular monitoring is being undertaken to at project and Board level to ensure activities are aligned.		On course to achieve target			

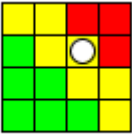
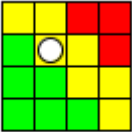
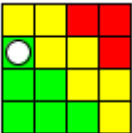
Corporate Priority			CP4 - Make Southend active and alive with sport and culture							
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR CULT 1	Capacity to deliver 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	Ongoing and working towards savings		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 Group progressing with review		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			

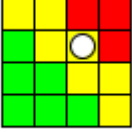
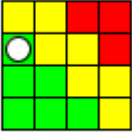

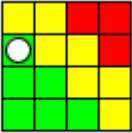

Corporate Priority		CP4 - Make Southend active and alive with sport and culture								
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR CULT 2	Economic down 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	Revised sports & leisure strategy in Draft and going out to consultation		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 complete and new website developing well		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	Capital Programme on course		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	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 Reporting to CMT		On course to achieve target			

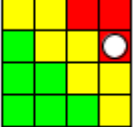
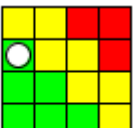
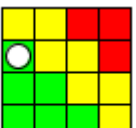
Corporate Priority		CP4 - Make Southend active and alive with sport and culture											
Stage 1 - Risk without controls (Inherent risk)													
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type		Risk category		Inherent risk score	12	Impact	Likelihood		
1011 CR CULT 6	Failure 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							
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	12	Impact	Likelihood
Treat		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. 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.											
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	12	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 developing		Some slippage against target						

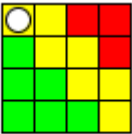
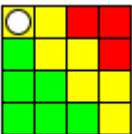
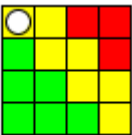
Corporate Priority		CP7 - Enable well-planned quality housing and developments that meet the needs and expectations of Southend's residents and businesses						
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood
1011 CR H & SP 2	Economic downturn resulting in the reduction in affordable homes being built	Adult & Community Services	Jacqui Lansley	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	<p>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</p> <p>Control - Developers are required to provide social housing when building private developments through section 106 agreements. Assurance - Development Control Committee will refuse the whole planning application.</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
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	Further draft of Local Investment Plan reviewed at meeting in November, amendments to include policy/funding updates outlined in the Comprehensive Spending Review/Business Plans. To be reviewed and agreed by SBC, HCA and partners.		On course to achieve target	8
								

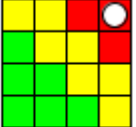
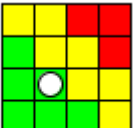
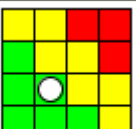
Corporate Priority			CC3 - Become a higher performing organisation							
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR PI 04	Risk that VfM strategy does not reflect key issues resulting in improvements across the Council not being realised	Policy & Improvement	Tim Cusack	Strategic	Value for Money	12				
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				
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	Tim MacGregor	30 Jun 2010	31 Mar 2011	VfM self assessment developed and piloted in C&L and SS. Due to CMT, 24.11.10 for further roll out as part of service planning.		On course to achieve target	4		
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	Action to be reviewed in light of process outlined above, Delivering Excellence programme and Council's budget process.		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				
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 - Census Steering Group established and meeting regularly - Assurance - Highlight reporting to LSP Executive Control - Census Overview and Scrutiny Project Group - Assurance - Monitoring report by giving updates Control - Census communications action plan - Assurance - Reporting to Census Steering Group and LSP Executive Control - LLPG in place and up to date - Assurance - Progress reporting to Census Steering Group 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 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 						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 PI 0501	Continued support of project group	Shane Bartley		31 Mar 2011	Group is continuing to meet as Census moves into its national communications campaign following approval from the Cabinet Office. Group will hold Office of National Statistics' activities to account.		On course to achieve target	4		
1011 CR PI 0502	Further audience identification	Shane Bartley		31 Mar 2011	Ongoing activity to provide intelligence to Office of National Statistics to ensure that engagement activities are carried out with hard to reach and vulnerable groups.		On course to achieve target			
1011 CR PI 0503	Support communications plan	Shane Bartley		31 Mar 2011	This has now been incorporated into the Census Local Partnership Plan that outlines what the Office of National Statistics and the Council will be doing to achieve an accurate Census.		On course to achieve target			
1011 CR PI 0504	Access hard to reach communities	Shane Bartley		31 Mar 2011	Ongoing engagement activity in partnership with the Office of National Statistics.		On course to achieve target			

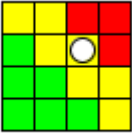
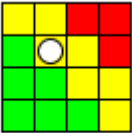

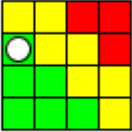

Corporate Priority		CC2 - Reduce the inequalities gap and increase the life chances of people living in Southend								
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
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 2011 submission has been forwarded to Stonewall. Currently awaiting results which will be announced in January 2011.		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 Steering Group has agreed to proceed with a pre-assessment to Excellent in place of going for a formal challenge. Local Government Improvement and Development (formerly the IDEa) has agreed to provide officer support for this assessment. The timeline remains the same.		On course to achieve target			

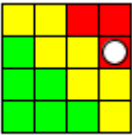
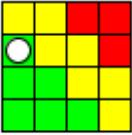
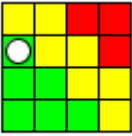
Corporate Priority			CC2 - Reduce the inequalities gap and increase the life chances of people living in Southend						
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
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	<p>1. Control - Single Equalities Scheme 2010-2013 in place - Assurance - Outcomes monitored through Corporate Equalities Steering Group</p> <p>2. Control - Scheme drafted by Equality Consultant - Gravitas together with Equality and Diversity Lead and Corporate Equalities Steering Group</p> <p>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</p>	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	Report will go to Council on 16 December. If agreed, Scheme will be published in December. Focus will be to deliver Key priorities highlighted in Executive Summary.		4		Likelihood

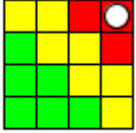
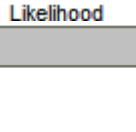
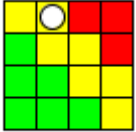


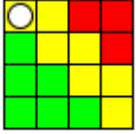


Corporate Priority		CC3 - Become a higher performing organisation						
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood	
1011 CR PI 14	Sustainable Community Strategy (SCS) is not deliverable due to economic factors resulting in Southend's community needs not being met	Policy & Improvement	Shazia Ullah	Strategic	Reputational	7		
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 - Local Strategic Partnership monitor performance against Sustainable Community Strategy ambitions through performance group on a quarterly basis - Assurance - minutes of meetings.</p> <p>2. 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>					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 PI 1401	Regular monitoring of the Local Strategic Partnership performance against the Sustainable Community Strategy	Lysanne Eddy	31 Mar 2011	31 Mar 2011	Still on course. Sustainable Community Strategy (SCS) refresh process fit for purpose against economic climate. Progress is still monitored through the Exec on a quarterly basis. This will change going forward - Priority Leadership Groups will set targets with focussed performance monitoring.	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	A report is going to CMT shortly detailing changes to the Corporate Plan and Service Plans. A review is pending the outcome of CMT	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	This area will need to be revisited following the proposed revisions to the Corporate Priorities which are due to be considered by CMT on 24.11.10		On course to achieve target			

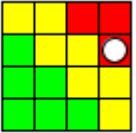
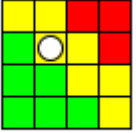

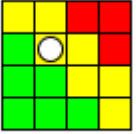
Corporate Priority		CC3 - Become a higher performing organisation								
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 CR SS17	Failure to implement the ERP system 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	<p>1. Control - Project team established. Assurance - Project Manager and team appointed from Agresso and SBC.</p> <p>2. Control - Project plan drafted showing benefits and risks. Workshops identified to design solution. Assurance - Workshops delivered.</p> <p>3. Control - Project board established. Assurance - Project Governance is being managed through the programme office as part of the delivery excellence programme.</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 SS17 01	Project team workshop to develop integrated view and approach to project change management and communications plan to be developed	Veronica Dewsbury	31 Aug 2011	29 Jan 2011	Further change management activities planned to January 2011. System build is progressing but challenging with January 2011 deadline.		On course to achieve target	4		Likelihood
1011 CR SS17 02	Project lead M. Albano due to leave mid December	Joe Chesterton	17 Dec 2010	17 Dec 2010	Work in hand to ensure skills and knowledge base transfer happens before he leaves to absorb the residual role across other team members.		Some slippage against 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 0202	Think Family investment of £800,000 over 3 years to provide support to families most at risk	Sue Snoxell	31 Mar 2010	31 Mar 2011	62 families attached to Project. On track for 90 by March 2011. 47 families have received support and challenge via intensive family support. On track for 50 by March 2011. Budget has been reduced by £100,000 as part of the in year ABG savings and we do not anticipate further reduction.		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; Victoria Pallen; Shelley Stel		01 Feb 2010	4/11/10 Performance and Monitoring on Outcomes will be presented to the Children's Partnership Executive on a termly basis		On course to achieve target			

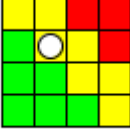
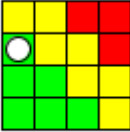

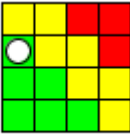
Corporate Priority		CC3 - Become a higher performing organisation							
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 CR07	Risk that the Council's business continuity 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	<p>1. Control - Business Continuity Plan - Assurance - Monitored through DMT's and by the Emergency Planning Officer</p> <p>2. 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.</p> <p>3. Control - System ownership and skills in place to re-establish key systems - Assurance - Report to Head of Customer Services</p> <p>4. 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)</p> <p>5. 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</p>						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		31 Jan 2011	Resilient broadband connection for Corporate solutions is being pursued. There will be 2 feeds for full solution with Basildon and they have requested a reciprocal arrangement with Southend which will generate income. Work is underway to scope and price this.	 On course to achieve target	7		
1011 CR 0702	Work progressing within the Essex Online Partnership to utilise the Essextranet 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 other locations as a DR/BCP site for Southend with the potential to locate staff at Basildon as an interim measure	Laurence Cops		30 Mar 2011	Belfairs School has been identified as alternative location and awaiting online facility at ICT suite expected August 2011. SACC also now identified and engaging with them for additional alternative solution.		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	Meeting due for 3rd December with supplier to confirm configuration. All new Telephony kit installed project plan in place roll out of telephony to Contact Centre, Tickfield and Margaret Thatcher House. Contact Centre will be final roll out once testing complete in both Tickfield and Margaret Thatcher House.		On course to achieve 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	NWOW programme and Civic works will require Corporate and Directorate BCP's and DR's to be reviewed by the end of Feb 2011. Meeting due 30th November 2010 to progress and cascade down an action plan for Group Managers to create departmental BCP's and DR's.		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 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		31 Mar 2011	Further meeting of PM&D working party due on 29th November. 1st Qtr 10/11 action plan on target to meet objectives.		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	Impact		
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	Impact	
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 Strategy will be circulated for consultation on 19th November. The action plan will be developed by the performance leads group once the Strategy has been approved.	 On course to achieve target	8	Impact	









1011 CR 0904	Process mapping of National Indicators	Paul Toms		31 Dec 2010	This has been completed and the assurance sheet is included in the data quality strategy. Work will be undertaken with Directorates to ensure the assurance sheets are completed and can be relied upon to feed into the governance process.		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	At their meeting of the 11th November Southend Together Executive approved the proposal to streamline and review the structure and governance of the LSP. A report will be taken to the Executive in January 2011 to re-endorse the sharing protocol and to ask the Executive to confirm that their agencies have adopted the protocol at the March meeting of Southend Together Executive.		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	Data Observatory site is now available to all staff within the Council and the Partnership. Users need to register on site for access to data. Presentations and training being provided to Key Strategic Partnership Boards and partners on demand. SBC Officer is working on-site with both PCT and South Essex Homes on a regular basis to incorporate more of their data and develop tailored profiles for key areas of work.		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.	Laurence Cops	30 Oct 2009	01 Apr 2010	GIS/LLPG technician now in post following partnership agreement with Thurrock. Full service from 1st November 2010. Information and promotion day held in Civic for all staff. GIS/LLPG on target to replace Eye boards system by 1st April 2011.		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 CR10	The delivery of the Capital programme may be delayed because of lack of capacity	Support Services	Joe Chesterton	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	Ian Ambrose		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		

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	Joe Chesterton	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. 9. 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 1203	Review next year's budget so that it is aligned to historical spend	Ian Ambrose		01 Feb 2011	Being done as part of the 2010/11 budget exercise.		On course to achieve target	4		
1011 CR 1204	Embedding the MTFS over 3 years to raise awareness of long term financial position.	Ian Ambrose		31 Jan 2011	Revised MTFS will go to Cabinet in January 2011 and will be rolled forward a year (to cover 2012/13 to 2014/15) in March 2011.		On course to achieve target			
1011 CR 1205	Improve financial monitoring through use of Best Practice examples as part of training.	Ian Ambrose		31 Jan 2011	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.	Ian Ambrose		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	Ian Ambrose		31 Jan 2010	Review of final costs completed and reported to Cabinet June 2010.		On course to achieve target			

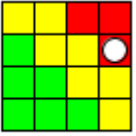
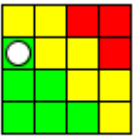
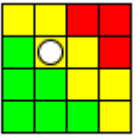

Corporate Priority		CC1 - Minimise our impact on the natural environment								
Stage 1 - Risk without controls (Inherent risk)										
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood		
1011 ETE CR15	Cliff movements - risk 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		
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 - 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</p> <p>2. Control - Funding from DFT for works to reduce risk of slip - Assurance - Progress reporting to DMT</p> <p>3. Control - Land stabilised in highest risk areas - Assurance - Reporting to Corporate Director and Head of Service</p> <p>4. Control - Design schemes and appropriate times and implementation method for works agreed - Assurance - Reporting to Corporate Director and Head of Service</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 1501	Regular monitoring for movement reporting to DMT or CMT as appropriate	Paul Mathieson	01 Jul 2009	31 Mar 2011	Qtr 3 2010: Progress to 2nd December 2010 The monitoring of the Bandstand slip remains a function of Buro Happold, specialist advisor for the remediation work there. In other areas, Halcrow have repeated their annual walk-over visual inspection and their report is awaited. They have also provided estimates of costs for re-establishing a rigorous monitoring regime. Costs have been reported to senior management for consideration		Some slippage against target	8		Likelihood

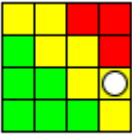
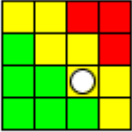
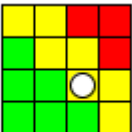
Corporate Priority									
Stage 1 - Risk without controls (Inherent risk)									
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1011 ETE CR18	Risk that the Council does not meet the requirements of the Carbon Reduction 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	16	High		
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- Specialist external advice being sought to advise of the legal, IT and financial implications. Assurance – Report to be produced and project plan developed to monitor actions.</p> <p>2. Control- Carbon Reduction Commitment Energy Management Steering Group Established. Assurance- Progress reported at each meeting Minutes taken.</p> <p>3. Control- Request to include CRC in Medium Term Financial Strategy. Assurance Report to Cabinet 16 June 2010</p> <p>4. Control- training to be provided to schools and other major sites on Implications of CRC scheme. Assurance – training schedule to be set down and feedback to Carbon Reduction Energy Management Steering group.</p>					16	High		
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
1013 PP-SA27	Deliver the recommendation of the Internal Audit of Energy Management	Carl Robinson	31 Mar 2011	31 Mar 2011	Qtr 3 2010: Progress to 2nd December 2010 Reduction of CO2 used by the Council achieved in line with targets for NI185 and through implementation of the Climate Change Action Plan (CCAAP) with all Actions regularly reviewed by sustainability officer.	🟢 On course to achieve target	8	High	
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	Qtr 3 2010: Progress to 2nd December 2010 Revised Climate Change Adaption Plan (CCAAP) implemented and actions ongoing with regular reviews by the sustainability officer with all relevant SBC officers	🟢 On course to achieve target			

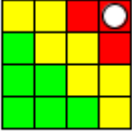
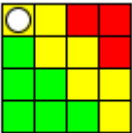

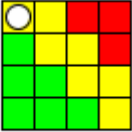
1013 PP-SA29	Develop a air quality strategy	Deborah Casey; Carl Robinson	30 Sep 2010	30 Sep 2010	Qtr 3 2010: Progress to 2nd December 2010 - Air quality monitoring on going, some recent slight exceedances of pollutants in some locations have been noted and will continue to be monitored. All progress reports to Defra complete.		On course to achieve target			
1013 PP-SA33	Devise Carbon Reduction Programme and a strategy for Carbon trading	Carl Robinson	30 Sep 2010	31 Dec 2010	Qtr 3 2010: Progress to 2nd December 2010 Carbon reduction programme in place as part of target setting for NI185, and Climate Change Adaption Plan. Carbon trading strategy not now required as Government has amended the CRC requirements.		On course to achieve target			
1013 PP-SA34	Ensure Registration for CRC scheme	Carl Robinson	29 Sep 2010	31 Dec 2010	Qtr 3 2010: Progress to 2nd December 2010 CRC application submitted and accepted before the deadline date end of September - Action complete.		On course to achieve target			
1013 PP-SA35	Ensure access to CRC compliant data base	Carl Robinson	02 Aug 2010	31 Dec 2010	Qtr 3 2010: Progress to 2nd December 2010 CarbonClear produced a final report (Oct 2010) following engagement on CRS Registration. Energy Officer/Sustainability Officer are now reviewing the database to ensure relevant data is captured and monitored for CRC purposes		On course to achieve target			
1013 PP-SA36	Develop a contaminated land strategy	Deborah Casey	22 Sep 2010	30 Dec 2010	Qtr 3 2010: Progress to 2nd December 2010 work on -going to revise the policy. Best practice and information sharing on-going as part of the Essex contaminated Land consortium.		Some slippage against target			
1013 PP-SA27	Deliver the recommendation of the Internal Audit of Energy Management	Carl Robinson	31 Mar 2011	31 Mar 2011	Qtr 2 2010: Progress to 26th August 2010 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	Qtr 3 2010: Progress to 2nd December 2010 Revised Climate Change Adaption Plan (CCAAP) implemented and actions ongoing with regular reviews by the sustainability officer with all relevant SBC officers		On course to achieve target			
1013 PP-SA29	Develop a air quality strategy	Deborah Casey; Carl Robinson	30 Sep 2010	30 Sep 2010	Air quality monitoring on-going- no exceedance identified against the pollutants. All progress reports to Defra complete.		On course to achieve target			

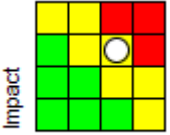
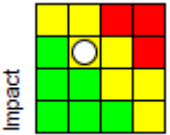

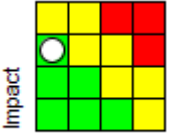
1013 PP-SA33	Devise Carbon Reduction Programme and a strategy for Carbon trading	Carl Robinson	30 Sep 2010	31 Dec 2010	Qtr 2 2010: Progress to 26th August 2010 Carbon reduction programme in place as part of target setting for NI185, and carbon trading strategy will be devised following registration for CRC, due end September 2010		On course to achieve target			
1013 PP-SA34	Ensure Registration for CRC scheme	Carl Robinson	29 Sep 2010	31 Dec 2010	Qtr 3 2010: Progress to 2nd December 2010 CRC application submitted and accepted before the deadline date end of September - Action complete.		On course to achieve target			
1013 PP-SA35	Ensure access to CRC compliant data base	Carl Robinson	02 Aug 2010	31 Dec 2010	Qtr 3 2010: Progress to 2nd December 2010 CarbonClear produced a final report (Oct 2010) following engagement on CRS Registration. Energy Officer/Sustainability Officer are now reviewing the database to ensure relevant data is captured and monitored for CRC purposes		On course to achieve target			
1013 PP-SA36	Develop a contaminated land strategy	Deborah Casey	22 Sep 2010	30 Dec 2010	Qtr 3 2010: Progress to 2nd December 2010 work on -going to revise the policy. Best practice and information sharing on-going as part of the Essex contaminated Land consortium.		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 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				
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	31 Dec 2010	Qtr 3 2010: Progress to 2nd December 2010 Residual Waste Treatment Contract [PFI] at Courtauld Road - ISDS evaluation due 9/12/10 for 2 bidders as the third bidder withdrew due to consortium structure difficulties. Biowaste in Essex: Treatment Contract [South] at Courtauld Road - ISOS started, period extended due to some bidders withdrawing others invited to take part. Biowaste in Essex: Site identified for Treatment Contract [North] and land acquisition in process. 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	Qtr 3 2010: Progress to 2nd December 2010 Waste Programme for delivery of OBC is progressing satisfactorily. Government confirmed in October 2010, that PFI Credit allocation for this project, following the 2010 Spending Review, is reaffirmed.		On course to achieve target			

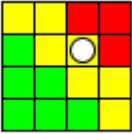
Corporate Priority		CP2 - Create a well-maintained & attractive street scene, parks & open spaces									
		CP4 - Make Southend active and alive with sport and culture									
		CP6 - Enhance the prosperity of Southend and its residents									
		CC3 - Become a higher performing organisation									
Stage 1 - Risk without controls (Inherent risk)											
Code	Risk Title - CAUSE, EVENT, EFFECT	Directorate	Risk Owner	Risk type		Risk category		Inherent risk score	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					
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 - 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									
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	
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	Qtr 3 2010: Progress to 2nd December 2010 Community champions training programme is underway and being well received		On course to achieve target				

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 ETE CR06	Risk that development control improvement is not sustained thereby damaging sustainable development and regeneration	Enterprise Tourism & Environment	Andrew Meddle	Strategic	Reputational	13				
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 - 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>						9			
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 0601	Annual programme of training for members	Peter Geraghty		31 Mar 2011	Qtr 3 2010: Progress to 2nd December 2010 Training continues on track in accordance with the annual 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	Qtr 3 2010: Progress to 2nd December 2010 Work has been ongoing in this area and the Development Management Policies DPD is being put before the Cabinet in January. Further work drawing together DC and SP have been on-going and are now embedded as a way of working, particularly on major developments and development briefs.		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	<p>1. Control - Health & Safety Policy developed - Assurance - Updated annually reviewed by policy team and signed off by Chief Executive</p> <p>2. Control - Health & Safety Policy promoted at staff induction and available on the intranet - Assurance - Subject covered briefly via induction training sessions</p> <p>3. Control - Health & Safety Training providers engaged - Assurance - Regular training sessions available for all staff at all levels</p> <p>4. Control - Health & Safety Strategic Group set up - Assurance - Meet bi-monthly - see minutes of meetings</p> <p>5. Control - Programme of fire alarm checks - Assurance - Regular checks of equipment, alarm tests and drills with fire marshals on all floors in all buildings</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 1601	Action plan has been developed and is being monitored by the Health & Safety Strategic Group	Steve Wall		31 Mar 2011	Qtr 3 2010: Progress to 2nd December 2010 The H&S Action Plan is on target, culminating in another H&S audit being undertaken between November and March	 On course to achieve target	7		

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 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		
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		
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 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	Qtr 3 2010: Progress to 2nd December 2010 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.		On course to achieve target	4
								

Horizon Scanning Risk

Corporate Priority		CC3 – 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 HS CRPIPT01	Failure of the Commissioning Strategy to deliver its aims and objectives through lack of understanding by the 3rd Sector and lack of application by the Council	Policy & Improvement	Lysanne Eddy	Operational	Service Provision / Continuity	12	

A number Directorate risks are being refined to incorporate horizon scanning.