

# **CORPORATE ASSURANCE RISK REGISTER**

**August 2011**

## **Contents**

### **Section 1      3 Stage Risk Scoring Process**

Brief description of the 3 stage risk scoring process and clarification of each stage

### **Section 2      Risk Matrix**

The matrix used for calculating Risk score.

### **Section 3      Corporate Assurance Risk Register**

Corporate Assurance Risk Register including:

- Inherent, Current and Target score
- Controls and Assurances
- Future Actions and comments.

## Section 1 3 Stage Risk Scoring Process

Southend-on-Sea Borough Council operates a 3 Stage Risk Scoring process as outlined in the Council’s Risk Management Toolkit which can be found by clicking [here](#). The information below offers a brief overview of each stage of the Risk process.

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

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

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

As controls and assurances are put in place and actions completed the Risk will be more controlled and, therefore, the current score moves towards the Target score. Each risk is rated as Red, Amber or Green as outlined below.

## Section 2 Risk Matrix

EXAMPLES			IMPACT	CORPORATE RISK GRID			
Reputational:	Financial:	Service or project effectiveness:		7	11	14	16
National publication (name and shame), loss of control over running of Council Operations	Over £1m loss or >20% of total budget	The service/project is almost entirely failing to meet the needs of the target customers	Catastrophic / Exceptional Opportunity	7	11	14	16
National or local front page press leading to a reduced ability to affectively deliver one or more services	Between £500k - <£1m or 10-20% of total budget	The service/project does not meet some significant needs of its customer and the service provided is only partly effective	Severe / Significant Opportunity	4	8	12	15
Disgruntled local groups or individuals possibly leading to internal complaints and time consuming research into the cause of complaints	Between £50k - <£500k or 5-10% of total budget	Opportunities for improvement are not exploited and the service/project needs to be more effective to meet the customer’s requirements	Material	2	5	9	13
Rumour and gossip	Under £50k or <5% of total budget	All other risks are below material	Negligible	1	3	6	10
				Very Unlikely >10%	Unlikely 10->50%	Likely 50->90%	Very Likely 90-100%
LIKELIHOOD							

## Section 3



# 2011 - 2012 Corporate Assurance Risk Register

Generated on: 9 September 2011

Risk Number	Risk Description - CAUSE, EVENT, EFFECT				Risk Owner	Risk Level	
1112CRR01	Risk that inability to deliver savings and a balanced 2011/12 budget will result in an in-year overspend				Sally Holland	Inherent Score:	Red
						Current Score:	Green
						Target Score:	Green
<b>Controls &amp; Assurances</b>	1. <b>Control</b> - MPR exceptions report including financial report - <b>Assurance</b> - Report. 2. <b>Control</b> - Director challenge to Heads of Service - <b>Assurance</b> - Minutes of meetings/emails. 3. <b>Control</b> - Director challenge through PITG & CDB - <b>Assurance</b> - Reports, minutes of meetings / emails.						
<b>Future Actions</b>	1112CRA0101	Budget Profiling continually reviewed to ensure accurate forecasting	31-Mar-2012	Joe Chesterton	Budget profiles received and reviewed by managers on a monthly basis.		
	1112CRA0103	Regular monitoring of overall budget and budget savings through CMT, Cabinet and Scrutiny.	31-Mar-2012	Joe Chesterton	Regular monitoring of overall budget and budget savings is continuing and in addition to CMT, Cabinet and Scrutiny, PITG also monitor budgets.		

Risk Number	Risk Description - CAUSE, EVENT, EFFECT				Risk Owner	Risk Level	
1112CRR03	Risk that failure to manage the downsizing effectively will lead to reduced staff engagement and decreased performance				Joanna Ruffle	Inherent Score:	Red
						Current Score:	Green
						Target Score:	Green
<b>Controls &amp; Assurances</b>	1. <b>Control</b> - Corporate approach to handling redundancies - <b>Assurance</b> - E-mails/Policy/Minutes of meetings. 2. <b>Control</b> - Effective change management and consistent application of HR policies and processes when dealing with restructurings - <b>Assurance</b> - Minutes of meetings/number of complaints. 3. <b>Control</b> - Effective and extensive outplacement support to be available for all staff leaving the organisation - <b>Assurance</b> - evidence of outplacement support. 4. <b>Control</b> - Support available for all staff impacted by the changes - <b>Assurance</b> - Training packages/support packages available and take up of packages.						
<b>Future Actions</b>	1112CRA0301	Refocus OD strategy (incorporating Employee Engagement Strategy to drive, underpin and support the change agenda	31-Mar-2012	Joanna Ruffle	- Cultural inquiry workshops underway to inform and drive cultural changes and to maintain staff engagement. - Continued and robust use of the Talent Pool has led to 52 successful redeployments.		

Risk Number	Risk Description - CAUSE, EVENT, EFFECT				Risk Owner	Risk Level	
1112CRR04	Risk that negative criticism by central government and national media of local authorities will significantly damage the reputation of the Council				Sue Cook	Inherent Score:	Amber
						Current Score:	Green
						Target Score:	Green
<b>Controls &amp; Assurances</b>	1. <b>Control</b> - Communications Strategy in place - <b>Assurance</b> - Strategy action plan.						
<b>Future Actions</b>	1112CRA0401	Quarterly scanning of communication on local government by central government departments and media	30-Sep-2011	John Troup	All coverage regarding the Council which appears in local, regional and national print, radio or broadcast outlets, specialist trade press and specialist online sites is recorded on a database which enables the Media & Comms team to produce monthly coverage statistics for senior officers and Cabinet members.		
	1112CRA0402	Evidence Pro-active communications strategy by highlighting Council successes including robust explanations of rationale for changes and savings	31-Dec-2011	Joanna Ruffle; John Troup	The Media & Comms team have achieved positive coverage in the Echo - its main media partner - by briefing reporters from the paper exclusively in advance of information being released to other media outlets. This has proved particularly effective in obtaining good coverage for the new library and museum projects, Warrior Square Gardens, the Pang housing issue and the four Better Southend projects. The team also acts proactively in giving all local paper, radio and TV broadcast partners early warning of pending media releases, thus increasing the likelihood of coverage.		
	1112CRA0403	Actively challenge negative and inaccurate media coverage, managing expectations with a range of stakeholders	31-Dec-2011	John Troup	The Media & Comms team always pursues local media partners for corrections in the event of incorrect coverage, and if necessary will arrange interviews with appropriate members or senior officers for follow-up articles by way of giving balance.		
	1112CRA0404	Continue to proactively develop good media relationships	31-Mar-2012	John Troup	The Acting Media Manager attends social events with the Deputy Editor and staff of the Echo and other local papers, radio stations and broadcasters, which continues to foster good relations with the local media. Members of the team also attend Full Council and Development Control Committee meetings to assist reporters with queries. Unlike some local authorities and public sector bodies in the county SBC has a reputation with the local media of always providing members and officers for interview whenever possible.		

Risk Number	Risk Description - CAUSE, EVENT, EFFECT				Risk Owner	Risk Level	
1112CRR05	Risk that whilst undertaking budget savings the Council experiences reputational damage from reduced performance and public satisfaction				Simon Leftley	Inherent Score:	Amber
						Current Score:	Green
						Target Score:	Green
<b>Controls &amp; Assurances</b>	1. <b>Controls</b> - Annual residents satisfaction survey which informs future corporate priorities - <b>Assurance</b> - Minutes of meetings and survey results. 2. <b>Controls</b> - Complaints/compliments/comments monitored and actioned - <b>Assurance</b> - information recorded on Covalent.						
<b>Future Actions</b>	1112CRA0501	Develop and circulate a Member survey	31-Dec-2011	Shazia Ullah	Members to be consulted via the online budget simulator		
	1112CRA0502	Develop different delivery models within Corporate workstreams - shared localised delivery	31-Dec-2011	Andrew Lewis	Work is progressing on Corporate Workstreams with options, opportunities and viability being explored. Progress against workstreams is reviewed regularly at Project Meetings, Corporate Delivery Board and Corporate Management Team Meetings		
	1112CRA0503	Ensure transparent and robust procurement activity is undertaken in the delivery of Contract Rationalisation Workstream	31-Dec-2011	Simon Leftley	Activity monitored by Head of Procurement on the Contracts Rationalisation Board, with other CPU Staff delivering on projects arising from the work stream to ensure adherence to Procurement regulations and EU Remedies.  2011/12 Internal Audit undertook a review of service area compliance against Contract procedure rules		
	1112CRA0504	Within corporate workstream explore potential for - trading and trading companies	31-Dec-2011	Sally Holland	Work is progressing on Corporate Workstreams with options, opportunities and viability being explored. Progress against workstreams is reviewed regularly at Project Meetings and Corporate Management Team Meetings.		
	1112CRA0505	Within Corporate workstreams develop - Shared services and alternative delivery models	31-Dec-2011	Sally Holland	Work is progressing on Corporate Workstreams with options, opportunities and viability being explored. Progress against workstreams is reviewed regularly at Project Meetings, Corporate Delivery Board and Corporate Management Team Meetings		
	1112CRA0507	Targeted communications and media	31-Mar-2012	John Troup	In addition to ensuring proactive media releases are sent to a large database of local print, radio and broadcast outlets the Media & Comms team also uses social media to great effect, updating the Council's Twitter feed regularly with media releases and public information and setting up News-on-Sea, a Facebook page which is used to post media releases and disseminate information of interest and use to residents. Media releases are also sent to local websites which carry Southend news and to targeted specialist and trade media when relevant.		

Risk Number	Risk Description - CAUSE, EVENT, EFFECT			Risk Owner	Risk Level	
1112CRR06	Risk that changes in Government approach to partnership working will reduce the effectiveness of the partnership working in the borough			Shazia Ullah	Inherent Score:	Amber
					Current Score:	Amber
					Target Score:	Green
<b>Controls &amp; Assurances</b>	1. <b>Control</b> - Support production of partnership wide Joint Strategic Needs Assessment - <b>Assurance</b> - Minutes of meetings/emails 2. <b>Control</b> - Three Partnership Boards to have adequate governance procedures in place - <b>Assurance</b> - Minutes of meetings/emails					
<b>Future Actions</b>	1112CRA0601	Production of a toolkit that clearly supports arrangements across Southend	30-Nov-2011	Lysanne Eddy	Toolkit is underway and will support arrangements across Southend. Toolkit will also identify a method to evaluate impact of partnership working.	
	1112CRA0602	To identify a way forward for continued Partnership working across Southend	30-Sep-2011	Lysanne Eddy	A revised, "light touch", governance structure has been agreed. A Leaders Advisory Group of key partners is in place, reinforcing the Council's role as community lead across partners.	
	1112CRA0603	To identify a method by which to evaluate the impact of Partnership working to the Council and local community	31-Dec-2011	Lysanne Eddy	An assessment methodology to identify the impact of partnership working will be included in the production of the Partnership Toolkit.	

Risk Number	Risk Description - CAUSE, EVENT, EFFECT				Risk Owner	Risk Level	
1112CRR07	Risk that the Civic Centre refurbishment encounters problems resulting in an adverse impact on service continuity and the Council having to find replacement capital funding				Sally Holland	Inherent Score:	Amber
						Current Score:	Green
						Target Score:	Green
<b>Controls &amp; Assurances</b>	1. <b>Control</b> - Project and programme governance is in place and there is a clear escalation process to CMT - <b>Assurance</b> - Project Board minutes. 2. <b>Control</b> - Communications plan in place - <b>Assurance</b> - Media responses are in place producing consistent messages.						
<b>Future Actions</b>	1112CRA0701	Corporate Business Continuity Plan in place, tested and publicised	30-Sep-2011	Keith Holden	Corporate Business Continuity Plan is in place. A review is currently underway to assess what further action is required to ensure that business continuity arrangements are fit for purpose throughout all Council services, including those relating to services that are provided by significant contractors and partners, and that actions resulting from the review are implemented. (To be completed by September 2011.)		
	1112CRA0702	Directorate business continuity processes are in place, tested and publicised	31-Dec-2011	Nick Corrigan	Tested Tickfield as a fall back location for disaster categories 1,2 and 3 i.e. where we cannot access the Civic Centre but the ICT infrastructure is still in tact and that we continue to work on a comprehensive solution for a disaster at level 4 – where the Civic Centre collapses causing the loss of the entire server room and damage to network switches etc. Physically logged on to the IPT telephony system and took live calls at Tickfield. Unable to use CCE however use of manual phone would suffice in DR. All systems required were accessible and tested.		
	1112CRA0703	Lessons learned are fed into corporate arrangements (i.e. Corporate Business Continuity Plan)	31-Dec-2011	Nick Corrigan	While ICT has business continuity arrangements in place for disasters at level 1 to 3, its ability to react to a level 4 disaster (total collapse of the building with a loss of the server room and network switches etc..) remains untested. Solution currently being worked on.  Lesson learned for DR/BCP for which the fall back centre will be Tickfield will be fed back into the corporate plan once it has been refreshed. One key lesson outstanding at time of writing relates to the loss of telephony at Queensway /Southchurch where recent experience has shown areas for improvement. Overall, any corporate arrangements will need to be fundamentally underpinned by ICT systems recovery so testing recovery and continuity against level 4 will prove telling.		
	1112CRA0704	Monthly Capital programme monitoring to identify any risk to budget overspend and to address any necessary replacement funding.	31-Mar-2012	Joe Chesterton	On target for completion with risk being identified.		

Risk Number	Risk Description - CAUSE, EVENT, EFFECT			Risk Owner	Risk Level	
1112CRR08	Risk that developing Government agenda and legislation will hinder the Council's ability to deliver its corporate priorities and aims			Andrew Lewis	Inherent Score:	Red
					Current Score:	Amber
					Target Score:	Green
Controls & Assurances	<p>1. <b>Control</b> - Summary analysis of government business plans - <b>Assurance</b> - Business Plan reviewed.</p> <p>2. <b>Control</b> - Timetable of implications of the business plans produced - <b>Assurance</b> - Circulation e-mail, minutes of meetings actioning implications.</p> <p>3. <b>Control</b> - Regular policy update - <b>Assurance</b> - Update document circulated weekly.</p> <p>4. <b>Control</b> - Watching brief and updates to CMT - <b>Assurance</b> - CMT reports.</p> <p>5. <b>Control</b> - Policy into Practive Workshop Series - <b>Assurance</b> - Workshops held.</p> <p>6. <b>Control</b> - Scoping implications of Localism - <b>Assurance</b> - Report</p> <p>7. <b>Control</b> - Working with other local authorities to explore models of best practice - <b>Assurance</b> - Minutes of meetings, partnership agreements/contracts.</p>					
Future Actions	1112CRA0801	Map Government programme of legislation, policy and funding, to identify implications, risk and opportunities for Southend Borough Council	31-Dec-2011	Tim MacGregor	Report to CMT, 31 August, providing high level overview of key issues and risks and opportunities.	
	1112CRA0808	Develop the Council's approach to empowering self sustaining communities	30-Sep-2011	Shazia Ullah	Active Citizens, Community Voices and the Commissioning Strategy are all progressing and all will helping to empower self sustaining communities.	
	1112CRA0809	Implementation of Commissioning Model for Voluntary Sector Funding	30-Sep-2011	Lysanne Eddy	New Commissioning Model has completed consultation and will go to Cabinet in September. The Model encourages collaborative bidding, particularly for key infrastructure agencies so that services will be commissioned to meet community needs.	
	1112CRA0813	Develop opportunities for stakeholders and service users to provide timely feedback through less formal routes. e.g. for service redesign/budget cuts	02-Dec-2011	Lysanne Eddy	Budget Consultation will be undertaken via online budget simulator enabling real time feedback. The findings will be used to support business cases for budget savings/service re-designs.	

Version: **Draft**

Published by the Policy & Partnerships Team

Further information: [Timmacgregor@southend.gov.uk](mailto:Timmacgregor@southend.gov.uk) (01702) 534025 or [Matthewharrington@southend.gov.uk](mailto:Matthewharrington@southend.gov.uk) (01702) 534861