Corporate Assurance Risk Register June 2012/13

Contents

Southend-on-Sea Borough Council's Corporate Assurance and Risk Register is a best practice template for recording and managing risks. The Council also promotes the use of Assurance and Risk Registers for managing risks within service areas which are recorded and managed in service and project plans.

The Risk Register is a management tool where 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 the Council's aims and priorities are captured and actions instigated to reduce the likelihood and impact of that particular risk.

Section 1 - Three 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 is available on the Council intranet site. 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.
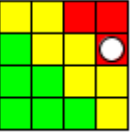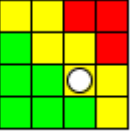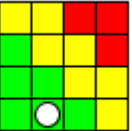
Section 2 - Risk Matrix

EXAMPLES				IMPACT	CORPORATE RISK GRID			
Reputational:	Compliance	Financial:	Service Provision / Continuity:					
National publication (name and shame) by external body leading to a loss of control over the running of Council operations. Front page of national paper.	The council faces serious penalties or prosecution & criticism from institutions such as, Ombudsman, Information commissioner. Customers are treated unfairly & suffer damage by the council.	Over £1m loss More than 20% of total budget individually or cumulatively	Service delivery affected by over 3 months. Statutory / critical service delivery will cease for a period of time without any effective contingency.	Catastrophic	7	11	14	16
National or local front-page press article leading to a reduced ability to affectively deliver one or more services. National press article.	The council may face criticism and be ordered to comply with legislation by an external body as a result of a breach.	Between £500k - £1m, 10-20% of total budget individually or cumulatively	Delivery affected between 1 & 3 Months. Loss of a non-critical service for a significant period of time.	Severe	4	8	12	15
Disgruntled local groups/ individuals possibly leading to internal complaints with research into the causes. Local press article &/or ombudsman enquiry.	The council may commit largely undetectable breaches in legislation and internal procedures that could have other minor effects on reputation, service delivery etc.	Between £50k - £499k, 5 – 10% of total budget individually or cumulatively	Delivery affected by up to 1 month. Minor disruption or inconvenience to service delivery & customers. (Reduced staffing, late opening, temp loss of IT).	Material	2	5	9	13
Rumour and gossip	All other material risks.	Under £50k, less than 5% of total budget individually or cumulatively	Minor disruption	Negligible	1	3	6	10
					Very Unlikely <10%	Unlikely 10-40%	Likely 40-75%	Very Likely >75%
					LIKELIHOOD			

2012-13 Corporate Risk Register

Risk Title	1. Balanced Budget 2012/13

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	16	
1213CRR01	Risk that inability to deliver savings and a balanced 2012/13 budget will result in an in-year overspend	Sally Holland	Strategic	Financial			

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

List of controls and associated assurances to ensure controls are working		
1. Control – Budget setting process to identify deliverable savings through: budget proposal reports to Departmental and Corporate Management Teams; member seminars; Cabinet; Scrutiny Committees; Council – **Assurance -** reports to and minutes of meetings. **2. Control** – Management oversight of budget monitoring through: Monthly Performance Report (MPR) Revenue and Capital Budget Monitoring report - **Assurance** – MPR Report. **3.Control** – Senior member and Chief Executive challenge to directorates through Performance Improvement Task Group (PITG), CMT, Corporate Delivery Board (CDB) - **Assurance –** Reports and minutes of meetings. **4. Control** - Director challenge to Heads of Service - **Assurance** - Minutes of Departmental Management Team meetings/emails.	Current risk score	8

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5
1213CRA0101	Budget Profiling continually reviewed to ensure accurate forecasting	Joe Chesterton	31-Mar-2013	2012/13 budget loaded fully profiled. Profiling will continue to be refined in light of actual spend patterns	✅		
1213CRA0102	Regular monitoring of overall budget and budget savings through member and officer governance arrangements, including, CMT, Cabinet, Scrutiny and Council.	Joe Chesterton	31-Mar-2013	2012/13 budget savings monitoring circulated to Directors, with each saving allocated a responsible head of service. Monitoring of the base budget to commence May 2012, with reporting to members from June 2012 onwards	✅		

Risk Title	2. Staff Engagement						

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	15	
1213CRR02	Risk that failure to manage the downsizing of the Council's workforce effectively will lead to reduced staff engagement and decreased performance	Joanna Ruffle	Strategic	Service Provision			

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

List of controls and associated assurances to ensure controls are working	Current risk score	9	
1. Control – Managing Organisational Change Policy; Redeployment Policy & Procedure; Redundancy Policy & Procedure: **Assurance** – Policy documents available via intranet. **2. Control** – Oversight of policies and procedures to ensure consistency of HR policies and processes and in implementing policies relating to restructures through the People Management & Development Working Party; Corporate Management Team and Workforce Planning Panel - **Assurance** – Reports to and Minutes of meetings. **3. Control** – All staff vacancies, redeployments and redundancies reviewed by the Workforce Planning Panel **– Assurance –** Minutes of Workforce Planning Panel **4. Control** – Effective outplacement support made available for all staff affected by re-organisations, through the Working Through Tough Times support package- **Assurance** – Working through tough times support package available to all staff on intranet. **5. Control -** Feedback obtained from staff on change management process and re-organisations, including complaints received from staff, in relation to organisational restructures. **Assurance -** Staff engagement survey feedback, staff complaints records and direct feedback from the union. **6. Control -** Regular, 6 weekly, liaison with Unions to communicate information and obtain feedback, including in relation to restructures and operation of the Talent Pool. **Assurance -** Minutes of Meetings and reports. **7. Control -** Annual review of restructures to identify lessons learnt. **Assurance -** Annual Review report and actions.			

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	3	
1213CRA0201	Revise the People Management Strategy, including the re-focussed Organisational Development and Employee Engagement Strategies, to drive underpin and support the Council in meeting its objectives at a time of change.	Joanna Ruffle	31-Mar-2013	The revised people management strategy was agreed by the People Management and Development working party on the 18th April and will go to Cabinet on the 19th June. This includes the action plan for 2012/13 which will build on the action plan from 2011/12 and the cultural enquiry work already undertaken.	✅			
1213CRA0202	Implement agreed actions arising from the annual Staff engagement survey	Neil Keeler	31-Mar-2013	Meetings have taken place with all DMTs and tailored action plans for staff engagement have been identified for each service area. Corporately the Cultural Change programme has been launched with the action groups to commence through the summer. Seminars are currently being held to invite participation in the programme.	✅			

Risk Title	3. Reputation of the Council						

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category			
1213CRR03	Risk that undertaking budget savings and negative criticism of local authorities will significantly damage the reputation of the Council	Sally Holland	Strategic	Reputation	Inherent risk score	14	

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

List of controls and associated assurances to ensure controls are working			
1. Control - Communications action plan reported to HR & Communications DMT - **Assurance** – Communications Strategy in place. **2. Control** - Monthly scanning of communication from central government departments and media to identify potential areas of negative coverage– **Assurance:** Monthly media monitoring report circulated to Leadership Group of officers and included in HR Business Partner reports. **3. Control** - Monitoring of all Freedom of Information requests by media team to assess and anticipate appropriate response – **Assurance:** FoI database reviewed by Media Manager **4. Control** - Essex Media & Communications officer group meetings to highlight issues impacting on local authorities more widely – **Assurance:** Minutes of meeting	Current risk score	9	

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status		
1213CRA0301	Evidence pro-active communications strategy highlighting Council successes including robust explanations of rationale for changes and savings	Kirsty Horseman; Hayley Pearson; John Troup	31-Mar-2013	Budget 2012/13 Communications Action plan completed (this covers all internal and external budget related communications activities from September 2011 to March 2012). Budget articles in autumn, winter and spring editions of residents' magazine, Outlook. Article on budget consultation tool scheduled for Summer edition. Four editions of Outlook magazine scheduled for 2012/13. 114 proactive media releases issued so far in 2012 (as of 15 May). Won LGC Awards Council of the Year – and shortlisted in two other categories (seven entries submitted). Four entries submitted to the MJ Awards 2012, including one shortlisted and on commended. Positive and fair media coverage of the Council remains consistent at above 98%	✔	Target risk score	6

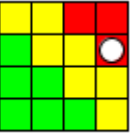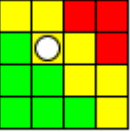|									
1213CRA03 02	Actively challenge negative and inaccurate media coverage, managing expectations with a range of stakeholders	John Troup	31-Mar-2013	The Media & Comms team always pursues local media partners for corrections in the event of incorrect coverage, and if necessary will arrange interviews with appropriate members or senior officers for follow-up articles by way of giving balance.	✅				
1213CRA03 03	Continue to proactively develop good media relationships	John Troup	31-Mar-2013	The Acting Media Manager continues to foster good relations with editorial staff of the Echo and other local papers, radio stations and broadcasters. Members of the team attend Full Council, Cabinet Development Control Committee and other Council meetings s necessary 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.	✅				
1213CRA03 04	Undertake consultation with local people and key stakeholders that will feed into on the Council's budget process	Suzanne Wright	30-Sep-2012	Budget consultation is scheduled to commence with residents in the summer. An online simulator, providing real time feedback will be used as an engagement tool. Additionally in the autumn deliberative events will help provide additional level of understanding to help inform the budget setting process.	✅				
1213CRA03 05	Develop a self assessment process to help the council judge how well it is performing.	Tim MacGregor	31-Jul-2012	An end of year analysis for 2011/12 Corporate Performance has been undertaken and will be reported to Cabinet on 19 June. Scoping of potential options for the Council to undertake self assessment is being undertaken.	✅				
1213CRA03 06	Develop communication strategies for responding to and implementing new Government legislation and policy – in particular the implementation of the Local Government Finance Act	Joanna Ruffle	31-Mar-2013	Member briefing relating to the Localism Act, Local Government Finance Act and other key legislative and policy changes held on 16 May. Articles in relation to Welfare Reform included in Outlook. Forthcoming welfare reform and benefit changes have been communicated via drop in sessions for the public and the council's website. Related communications will continue.	✅				
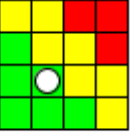
Risk Title	4. Business Continuity

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	16	
1213CRR04	Risk that the Council's business continuity processes are not robust enough to enable the provision of key services in an emergency	Joanna Ruffle	Strategic	Business Continuity			

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

List of controls and associated assurances to ensure controls are working

	Current risk score	11	
1.**Control** – Corporate Business Continuity Strategy – **Assurance –** Corporate Business Continuity Strategy. 2. **Control –** Departmental Business Continuity Plans monitored through DMTs -**Assurance** – Update reports to DMT. 3. **Control** – Civic Centre refurbishment Business Continuity Plan – **Assurance** – reports to New Ways of Working 4. **Control** - Identification and prioritisation of Corporate ICT systems for recovery as part of Business Continuity Plan - **Assurance** - Reviewed annually and reported to Head of Customer Services. Monthly monitoring at Customer Service Management Team and by Emergency Planning / Business Continuity Liaison Officers. 5.**Control** – ICT System processes and skills in place to re-establish key systems - **Assurance** – Regular reports to Head of Customer Services			

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	7	
1213CRA0401	Produce a health check report for CMT	Jackie Groom	31-May-2012	COMPLETE Health Check Report was agreed at CMT on the 9th May 2012.	✅			
1213CRA0402	Refresh Corporate BCP and ensure embedded as part of service planning.	Jackie Groom	29-Jun-2012	The Health Check report includes a plan of action for the BCP Leads group to work to. All service plans have BCP actions to meet this area of work.	✅			
1213CRA0403	Refresh Directorate BCP template	Jackie Groom	29-Jun-2012	Health Check Report details what is required to meet this. Other templates are being obtained by ETE colleagues for benchmarking purposes.	✅			
1213CRA0404	Set up BCP leads working group to routinely learn lessons from any incidents.	Jackie Groom	29-Jun-2012	All Directorate BCP Leads are aware of the content of the Health Check Report and will contribute to the revised terms of reference for the group.	✅			
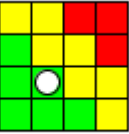
Risk Title	5. Financial implications of legislation and other Government policy changes						

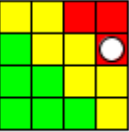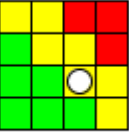**Stage 1 - Risk without controls (Inherent risk)**

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	16	
1213CRR05	Risk that the impact of new legislation & Government policy changes, in particular the Local Government Finance Bill (localisation of CTB & BR) welfare reform & local government financial settlement will have a significant impact on the Council's finances	Sally Holland	Strategic	Financial			

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

List of controls and associated assurances to ensure controls are working	Current risk score	12	
1.**Control**: Government Consultations register to record forthcoming changes in Government policy and potential legislation to enable potential implications to be considered. **Assurance:** Consultation register held on intranet. 2.**Control:** Regular tracking of new legislation, government regulations and policy developments. **Assurance:** Production of Policy briefings and reports to Corporate Management Team. 3.**Control:** Medium Term Financial Strategy (MTFS), including budget pressures to regularly consider financial impact of Government policy reported to CMT, Cabinet and Council **Assurance:** Reports and minutes of meetings. 4. **Control:** Regular review of budget monitoring reports to identify potential areas of change in expenditure. **Assurance:** Reports and minutes to CMT 5. **Control:** Budget agreed by Full Council. **Assurance:** Report to Council/minute of meeting.			

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5
1213CRA0501	Senior managers to identify the impact of Government legislation and activity on their service area to support future budget planning and inclusion in revised MTFS.	Joe Chesterton	31-Oct-2012	Key senior officers, assisted by the Accountancy team regularly review the impact of new and impending legislation and policy changes. MTFS due for revision in June / July 2012	✅		
1213CRA0502	Undertake financial planning for years 13/14 and 14/15 to deliver savings and prepare for anticipated impact of Government activity to enable for the updating of the MTFS.	Joe Chesterton	31-Jan-2013	MTFS has identified saving requirements for financial years 2013/14 and beyond. Senior leadership group currently working on savings plans over the two year horizon. Assumptions within the MTFS to be retested.	✅		
1213CRA0503	Close working with system providers to ensure new regulations for Council Tax Local Scheme can be customised to the borough's requirements and can work as required.	Joe Chesterton; Veronica Dewsbury	31-Oct-2012	This is on target and we continue to have regular updates from the software suppliers and all new requirements are on target to be delivered	✅		

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1213CRA05 04	Use benefit modelling software to assess the impact and make informed decisions in relation to the impending 10% cut in Council Tax benefit allocation from April 2013	Joe Chesterton; Veronica Dewsbury	31-Oct-2012	Modelling software is being used and outcomes resulting from proposed changes have been reported to CMT. This work will continue so that decisions can be made on final scheme	✅				
1213CRA05 05	Respond to release of indicative allocations (including 'tariffs and top ups') in relation to Business Rates for 13/14 and 14/15.	Joe Chesterton	30-Nov-2012	Modelling of potential impacts already underway, in preparation for release of indicative allocations	✅				
1213CRA05 06	Analyse Provisional Local Government Settlement in early December to ensure alignment with MTFS and identify necessary action where possible	Joe Chesterton	31-Dec-2012	Modelling of potential impacts already underway, in preparation for release of provisional settlement	✅				

Risk Title	6. Impact of Health Service reforms

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	16	
1213CRR 06	Risk that changes in the Health & Social Care Act 2011, including transition of public health functions to the council resulting in insufficient financial allocation & lack of capacity to deliver specialist & mandatory requirements to the local population	Rob Tinlin	Strategic	Service Provision			

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

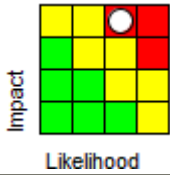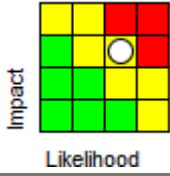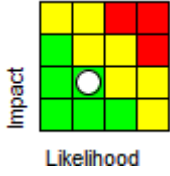| List of controls and associated assurances to ensure controls are working	Current risk score	12	
1. Control: South Essex PCT Cluster Board oversight of health reforms to identify appropriate action to prevent difficulties relating to finance or service delivery. **Assurance:** Reports and minutes of meetings. **2. Control:** Regional oversight, review and sign off (RAG rating) of PCT Public Health transition plans by Midlands and East of England Strategic Health Authority cluster **Assurance:** Reports /RAG ratings /Action plans **3. Control:** Quality, Innovation, Productivity and Prevention (QIPP) Programme in place and monitored by PCT. **Assurance:** Programme reports and minutes of meetings. **4. Control:** South Essex Cluster Quality and Governance Committee to oversee governance arrangements of key areas of governance **Assurance:** Meetings/Minutes/Reports. **5. Control:** External Audit review of transition process undertaken to assess arrangements. **Assurance:** External Audit Report and recommendations. **6. Control:** Public Health Senior Management Team meetings to review implementation of current and future changes. **Assurance:** Reports/Minutes/Reports. **7. Control:** Regular 1:1s between Director of Public Health with chief operating officer of CCGs to review implementation and areas of potential risk. **Assurance:** Meeting records and action points.			

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

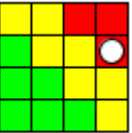| Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5	
1213CRA06 01	Ensure there is an understood and agreed (PCT/Council) set of governance arrangements for how the local public health system will operate during 2012/13 in readiness for the statutory transfer in 2013/14.	Rob Tinlin	31-Aug-2012	A Southend Council Public Health Transition Working Group has been set up with PCT representative invited in addition to the joint Director of Public Health. Reports on progress with transition are also received by the South Essex PCT Transition Board	✓			
1213CRA06 02	Seek to maximise resources allocated to Southend in relation to carrying out health related functions, for future years	Andrea Atherton	30-Sep-2012	A further submission has been made to the Department of Health Transition team highlighting where the baseline spend allocation needs to be amended	✓			
1213CRA06 03	Develop the Joint Strategic Needs Assessment to inform and support the work of the Health and Wellbeing Board and Clinical Commissioning Group/s (CCGs), including developing the borough Health & Wellbeing Strategy.	Andrea Atherton; Sue Cook; Simon Leftley	31-May-2012	Summary Joint Strategic Needs Assessment and draft Health and Wellbeing Strategy considered at May Shadow Health and Wellbeing Board.	✓			

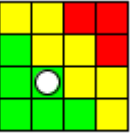|									
1213CRA06 04	Monitor and manage progress of Public Health Transition plans, maintaining a positive direction of travel, ensuring milestones are met and that transfer is in line with Department of Health expectations.	Andrea Atherton	31-Mar-2013	Milestones are monitored at South Essex PCT transition board as well as Southend Council Public Health Transition Working Group. All milestones are currently being met	✅				
1213CRA06 05	Ensure arrangements are in place for the successful handover of all agreed health and social care related contracts – addressing issues of resourcing contractual obligations and indemnity issues are identified for contracts.	Andrea Atherton; Sue Cook; Simon Leftley	31-Mar-2013	A contract subgroup of the Southend Council Public Health Transition Working Group has just been established to take this work forward. Also linking with Essex County Council on aspects of this work	✅				
1213CRA06 06	Manage the transfer of commissioning arrangements for public health functions, including the mandated and essential services outlined in the 'Healthy Lives, Healthy People' (Government public health strategy) that will transfer to the council.	Andrea Atherton; Sue Cook; Simon Leftley	31-Mar-2013	Discussions are taking please with the Council's procurement team , linking with the contract subgroup of the Southend Council Public Health Transition Working Group	✅				
1213CRA06 07	Ensure joint arrangements for commissioning of on-going work for Adult and Children's services maintain current service provision and do not result in financial loss to the Council.	Andrea Atherton; Sue Cook; Simon Leftley	31-Mar-2013	This work is being captured in the procurement and contracts work stream of the Southend Council Public Health Transition Working Group	✅				
1213CRA06 08	Ensure, with the PCT, that robust arrangements are in place for key public health functions during the transition year, specifically health protection and emergency planning and resilience functions and screening.	Andrea Atherton	31-Mar-2013	The South Essex PCT emergency planning manager will continue to provide support to the Southend Public Health Team during the transition year. The screening lead is a member of the Southend Public Health Team. Details of the local Public Health England function have yet to be released.	✅				
1213CRA06 09	Develop a transitional staffing plan for Public Health	Andrea Atherton; Joanna Ruffle	31-Mar-2013	The South Essex consultation on co-location and alignment of staff to Southend, Essex and Thurrock councils finished on 28th May 2012. Work will commence on workforce strategy from June 2012.	✅				
1213CRA06 10	Ensure there is a framework that considers relationships with and between the Health and Wellbeing Board, CCGs and the NHS Commissioning Board, Health Watch and local professional networks as well as staff, residents and key stakeholders	Andrea Atherton	31-Mar-2013	Progress will be limited until there is further development of new organisations such as NHS Commissioning Board and Health Watch.	✅				

Risk Title	7. Information Management

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	15	
1213CRR 07	Failure of the Council to embed robust information management systems into Council services resulting in a significant number of data breaches impacting on the Council's reputation	Sally Holland	Strategic	Compliance			

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

List of controls and associated assurances to ensure controls are working	Current risk score	8	
1.Control - Data Protection Policy, FOI Policy, ICT Strategy, 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 **2.Control –** Overarching Information Sharing Protocol in place for Southend Partners to enable sharing of data to support service delivery and meet legal requirements. **Assurance** - Information Sharing Protocol **3.Control -** Encryption for removable devices in place – **Assurance –** Council removable devises **4.Control** - Encryption of Council laptops in place **– Assurance –** Council laptops **5.Control** - Data Breach Management Procedure documented and in place. **Assurance** Records kept on breaches of data losses and mitigation taken			

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5	
1213CRA07 01	Establish a review group for overseeing the work.	John Williams	01-Apr-2012	COMPLETE - Review group in place - chaired by CD-SS Sally Holland.	✓			
1213CRA07 02	Establish a working group to prepare for the ICO Audit on November 17th	John Williams	01-Apr-2012	COMPLETE - Working Group in place and chaired by HLDS - John Williams	✓			
1213CRA07 03	Set terms of reference and reporting mechanism for the group	Jackie Groom	30-Apr-2012	COMPLETE - Terms of reference set and reporting mechanisms in place.	✓			
1213CRA07 04	Prepare a work plan	Jackie Groom	30-Apr-2012	Work Plan drafted and will be presented to Information Management Working Group on the 17th May 2012	✓			
1213CRA07 05	Implement an awareness campaign for staff	Jackie Groom	31-May-2012	Communications Plan being drafted and will be discussed at Information Management Working Group on the 17th May 2012	✓			
1213CRA07 06	Complete the actions on the action plan for a robust response to the audit	Jackie Groom	02-Nov-2012	Work Plan drafted to be presented the Information Management Working Group on the 17th May 2012.	✓			

Risk Title	8. Regeneration

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	15	
1213CRR08	Risk that the economic climate and a reduction in public sector investment will limit or delay the Councils plans to regeneration opportunities in Southend.	Andrew Lewis	Strategic	Service Effectiveness			

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

List of controls and associated assurances to ensure controls are working	Current risk score	9	
1.**Control** – South East Local Enterprise Partnership Board identification of regeneration opportunities. **Assurance:** Meetings/Minutes/Reports 2.**Control** – Joint Area Action Plan for London Southend Airport and surrounding areas setting out regeneration plans and opportunities for the area. **Assurance:** JAAP Action Plan 3. **Control -** Airport Consultative Committee to support private sector regeneration of Southend. **Assurance:** Meetings/Minutes/Reports 4. **Control -** Corporate Delivery Board, Capital Board and Capital Asset and Strategy Group support of regeneration projects and ambitions **Assurance:** Meetings/Minutes/Reports			

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5	
1213CRA0801	Identification of opportunities stemming from new government funding streams and initiatives	Anita Thornberry	31-Mar-2013	A bid has been submitted to the Coastal Communities Fund for a business support package; a further bid to the Regional Growth Fund is being considered; working with Strategic Transport & Planning, submissions have been made to the LEP Transport group for prioritisation of funding for Southend schemes	✓			
1213CRA0802	Work in partnership with the private sector to provide opportunities to bring forward regeneration projects of difficult sites and to lever in private investment.	Anita Thornberry	31-Mar-2013	Work is being undertaken with the private sector to secure regeneration of the Seaways car park and the airport business park.	✓			
1213CRA0803	Continue work on Development Briefs and plans to ensure the Council is well placed for an upturn in the economic climate and a more supportive regeneration environment.	Andrew Meddle	31-Mar-2013	Work continues and is on track against the revised Local Development Scheme and the service is delivering additional work where opportunities come forward.	✓			

1213CRA08 04	Continued incremental development of Southend's transport infrastructure, including through the Local Sustainable Transport Fund, Better Bus Area fund and investment in Southend's cycling network.	Andrew Meddle	31-Mar-2013	Work continues to deliver improvements and to take advantage of greater sources of income and expertise to deliver the necessary investment. The highways capital programme has been combined for this year showing clearly the linkages between projects.	✅				
1213CRA08 05	Develop the Strategic Housing Plan, including plans to use the HRA for future housing investment	Jacqui Lansley	30-Sep-2012	Work has commended in conjunction with South Essex Homes and Accountancy. Good progress is being made.	✅				

Risk Title	9. Contractor Insolvency						

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	14	
1213CRR 09	Risk that Contractor insolvency could impact on Council Services resulting in a loss of service and increased costs for the Council in delivering replacement services.	Simon Leftley	Strategic	Service Provision			

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

List of controls and associated assurances to ensure controls are working

	Current risk score	12	
1. Control – Pre-contract award checks to ensure suitable contingency and financial recovery arrangements are in place in the event of contractor insolvency. **Assurance:** Pre-contract award check list(?) **2. Control -** Contract management liaison meetings to assess financial viability of the contract and other key suppliers – **Assurance:** Meeting minutes **3. Control -** Monitoring of contractor payment process for signs of financial difficulties. **Assurance:** Financial monitoring reports. **4. Control -** Obtain regular audited management accounts of contractors and undertake regular financial due diligence – **Assurance:** Audited accounts			

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5
1213CRA09 01	Review current contracts and contract management arrangements to assess whether suitable contingency arrangements are in place (with priority given to 'higher risk' contracts).	Simon Leftley	30-Sep-2012	The review is underway and progress is being made.	✅		
1213CRA09 02	Develop a contractor insolvency guide, to include early warning signals and a standard contingency plan, to assist contract managers in planning for potential insolvency and enable outstanding contract works to be carried out.	Elizabeth Stavreski	31-Jul-2012	Draft in place - due for further advice from Finance and Legal	✅		
1213CRA09 03	Undertake training for contract managers that addresses contractor insolvency.	Elizabeth Stavreski	31-Jul-2012	Contract Management Training held 17 April covering issues of risk and contractor performance and insolvency	✅		
1213CRA09 04	Review the contractor insolvency checklist to be used prior to drafting all contracts	Elizabeth Stavreski	31-Jul-2012	To be covered in the contractor insolvency guide.	✅		

Risk Title	10. Police and Crime Commissioner

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	15	
1213CRR 10	Risk that the new Police & Crime Commissioner (PCC) and subsequent centralisation of fundings will lead to service loss or changes to service that no longer reflect the borough's priorities	Andrew Lewis	Strategic	Service Provision			

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

List of controls and associated assurances to ensure controls are working	Current risk score	9	
1. Control – Southend Partners Leader's Advisory Group to oversee Southend Community Safety Partnership's approach to the introduction of the PCC. - **Assurance:** Reports/Action points **2. Control –** Southend Partners Chief Officers Group to progress the Leader's Advisory Group approach: **Assurance:** Reports/Action notes. **3. Control -** Community Safety Partnership (CSP) to set out and implement the borough's approach to community safety: **Assurance:** Meetings/minutes/reports **4. Control –** Community Safety - Task & Finish Group: **Assurance:** Reports to and minutes of meetings **5. Control –** Southend Drug and Alcohol Team to assess the borough's needs and financial requirements in relation to drugs and alcohol. **Assurance:** Action Plan/reports **6. Control –** Strategic Intelligence Assessment setting out intelligence/evidence relating to community safety in the borough - **Assurance:** Assessment report			

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5	
1213CRA10 01	Task & Finish Group to prepare appropriate information and intelligence on the borough that will feed into and help shape the PCCs 5 year Plan.	Lysanne Eddy	31-Aug-2012	Task and Finish group has been established and had its first meeting on 16/5/2012. Meetings are now scheduled fortnightly. The initial request for information and intelligence has gone out using a template.	✅			
1213CRA10 02	Undertake an assessment of current CSP funding streams in relation to the potential impact of the introduction of PCC (including funding streams for drugs and alcohol)	Simon Ford; Dipti Patel	31-Aug-2012	A Task and Finish Group has been set up to review current work across the CSP which will also identify the financial implication of the PCC introduction	✅			
1213CRA10 03	Undertake an assessment of community safety related contracts in terms of potential loss of funding/service	Simon Ford; Dipti Patel	31-Aug-2012	At present key lead officers have been tasked with completing a template which should capture the financial detail in respect of our current crime priorities	✅			

1213CRA1004	Monitor declared candidates programmes and provide opportunities for PCC candidates to understand the needs and priorities of Southend.	Lysanne Eddy	30-Nov-2012	The Council is aware of one declared candidate and is monitoring developments in relation to others.	✅			
1213CRA1005	Ensure the Council's nominated member participates in the Police and Crime Panel (PCP), when established	Rob Tinlin	30-Nov-2012	Southend-on-Sea Borough Council nominated member has been identified as Cllr Ian Robertson. This was notified to Essex County Council as host authority on 9/5/2012 [Comment TBC]	✅			
1213CRA1006	Ensure councillors, staff and partners understand the new roles of PCC, PCP, CSP and Scrutiny Committees in promoting community safety in the borough.	Rob Tinlin	30-Nov-2012	Issue has been addressed in member induction sessions held in May and will continue to feature in further member briefings.	✅			