

# Corporate Assurance Risk Register 2013/14

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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.

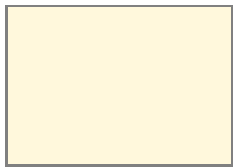
**Current score** – the risk scored with controls, assurances and progressed actions.

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

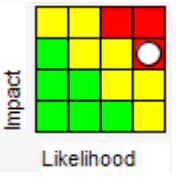
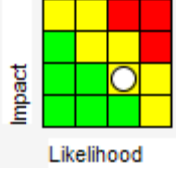

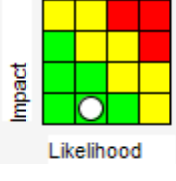
As controls and assurances are put in place and actions completed the Risk will be more controlled and, therefore, the current score moves towards the Target Score. The current score from the last reported Corporate Risk Register is shown in brackets.

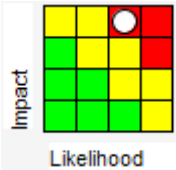
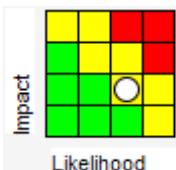

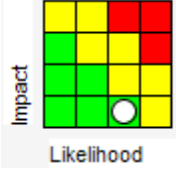


## Section 2 - Risk Matrix




E X A M P L E S				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			

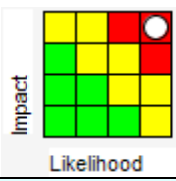
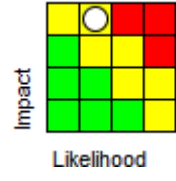
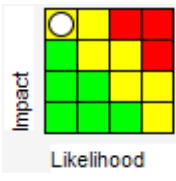




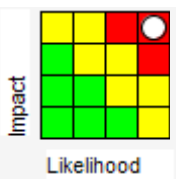
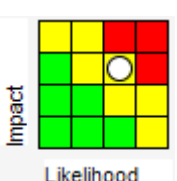
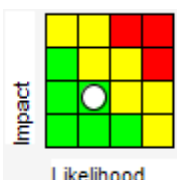
<b>Risk Title</b>	<b>1. Balanced Budget 2013/14</b>						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
<b>Code</b>	<b>Risk - CAUSE, EVENT, EFFECT</b>	<b>Risk Owner</b>	<b>Risk type</b>	<b>Risk category</b>	<b>Inherent risk score</b>		
1314CRR 01	Risk that inability to deliver savings and a balanced 2013/14 budget will result in an in-year overspend	Sally Holland	Strategic	Financial	16		
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>		
<p><b>1. Control</b> – Budget setting process to identify deliverable savings through: budget proposal reports to Departmental and Corporate Management Teams; member seminars; Cabinet; Scrutiny Committees; Council – <b>Assurance</b> - reports to and minutes of meetings.</p> <p><b>2. Control</b> – Management oversight of budget monitoring through: Monthly Performance Report (MPR) Revenue and Capital Budget Monitoring report - <b>Assurance</b> – MPR Report.</p> <p><b>3. Control</b> – Senior member and Chief Executive challenge to directorates through Performance Improvement Task Group (PITG), CMT, Corporate Delivery Board (CDB) - <b>Assurance</b> – Reports and minutes of meetings.</p> <p><b>4. Control</b> - Director challenge to Heads of Service - <b>Assurance</b> - Minutes of Departmental Management Team meetings/emails.</p>					8		
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>							
<b>Code</b>	<b>Actions to further mitigate risk / maximise opportunities</b>	<b>Action Owner</b>	<b>Due date</b>	<b>Comments / update on progress</b>	<b>RAG Status</b>	<b>Target risk score</b>	
1314CRA0101	Budget Profiling continually reviewed to ensure accurate forecasting	Joe Chesterton	31-Mar-14	2013/14 budget loaded and fully profiled. Profiling will continue to be refined on a monthly basis in light of actual spend patterns.		5	
1314CRA0102	Regular monitoring of overall budget and budget savings through member and officer governance arrangements, including, CMT, Cabinet, Scrutiny and Council.	Joe Chesterton	31-Mar-14	2013/14 budget savings monitoring circulated to Directors, with each saving allocated a responsible head of service. Monitoring of the base budget to commence for period end May 2013, with reporting to members from June 2013 onwards.			

Risk Title		2. Staff Engagement						
<b>Stage 1 - Risk without controls (Inherent risk)</b>								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score			
1314CRR 02	Risk that failure to manage the downsizing of the Council's workforce effectively will lead to reduced staff engagement and decreased performance	Sally Holland	Strategic	Service Provision	15			
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>								
<b>List of controls and associated assurances to ensure controls are working</b>					Current risk score	9		
<p><b>1. Control</b> – Managing Organisational Change Policy; Redeployment Policy &amp; Procedure; Redundancy Policy &amp; Procedure: <b>Assurance</b> – Policy documents available via intranet.</p> <p><b>2. Control</b> – Oversight of policies and procedures to ensure consistency of HR policies and processes and in implementing policies relating to restructures through the People Management &amp; Development Working Party; Corporate Management Team and Workforce Planning Panel - <b>Assurance</b> – Reports to and Minutes of meetings.</p> <p><b>3. Control</b> – All staff vacancies, redeployments and redundancies reviewed by the Workforce Planning Panel – <b>Assurance</b> – Minutes of Workforce Planning Panel</p> <p><b>4. Control</b> - Effective outplacement support made available for all staff affected by re-organisations, through the Working Through Tough Times support package- <b>Assurance</b> – Working through tough times support package available to all staff on intranet.</p> <p><b>5. Control</b> - Feedback obtained from staff on change management process and re-organisations, including complaints received from staff, in relation to organisational restructures. <b>Assurance</b> - Staff engagement survey feedback, staff complaints records and direct feedback from the union.</p> <p><b>6. Control</b> - Regular, 6 weekly, liaison with Unions to communicate information and obtain feedback, including in relation to restructures and operation of the Talent Pool. <b>Assurance</b> - Minutes of Meetings and reports.</p> <p><b>7. Control</b> - Annual review of restructures to identify lessons learnt. <b>Assurance</b> - Annual Review report and actions.</p>								
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score		
1314CRA0201	Revise the People Management Strategy, including the re-focused 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-14	Updated People Management Strategy and 13/14 action plan was endorsed at People Management and Development Working Party on 22 <sup>nd</sup> May.		3		

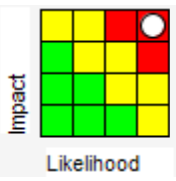

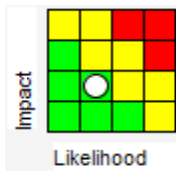




Risk Title	3. Reputational Damage						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1314CRR 03	Risk that negative criticism received as a result of undertaking budget savings, a reduction in service quality or contractor insolvency will significantly damage the reputation of the Council	Sally Holland	Strategic	Reputation	14		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
<p><b>1. Control</b> - Communications action plan reported to HR &amp; Communications DMT - <b>Assurance</b> – Communications Strategy in place.</p> <p><b>2. Control</b> - Monthly scanning of communication from central government departments and media to identify potential areas of negative coverage– <b>Assurance:</b> Monthly media monitoring report circulated to Leadership Group of officers and included in HR Business Partner reports.</p> <p><b>3. Control</b> - Monitoring of all Freedom of Information requests by media team to assess and anticipate appropriate response – <b>Assurance:</b> FoI database reviewed by Media Manager</p> <p><b>4. Control</b> - Essex Media &amp; Communications officer network to highlight issues impacting on local authorities more widely – <b>Assurance:</b> Report/Briefings</p> <p><b>5. Control</b> – Obtain regular audited management accounts of contractors and undertake regular financial due diligence – <b>Assurance:</b> Audited accounts</p>					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	Target risk score	
1314CRA0301	Evidence pro-active communications strategy highlighting Council successes including robust explanations of rationale for changes and savings	Lysanne Eddy; Hayley Pearson	31-Mar-14	Budget 2013/14 Communications Action plan completed (this covers all internal and external budget related communications activities from October 2013 to March 2014). Media and Communications officers and advisors working closely with service teams to help them to implement and manage communications strategies and plans to minimise reputational risks associated with service changes and reviews – including welfare reforms, library services review, consultation on options for Delaware House and Priory House and children's centres.		6	
1314CRA0302	Actively challenge negative and inaccurate media coverage, managing expectations with a range of stakeholders	Hayley Pearson	31-Mar-14	Media coverage is monitored daily and the Media & Comms team pursues local media partners for corrections in the event of incorrect coverage, and where necessary arrange interviews with appropriate Members or senior officers for follow-up articles by way of giving balance.			
1314CRA0303	Continue to proactively develop good media relationships	Hayley Pearson	31-Mar-14	The Senior Media Relations Officer 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			

				necessary to assist reporters with queries.			
1314CRA0304	Undertake consultation with local people and key stakeholders that will feed into on the Council's budget process and provide other feedback on the Council's services and residents perception	Suzanne Wright	30-Sep-13	Residents' perception survey scheduled to be undertaken from 17 June – 29 July 2013. A postal survey will be sent to a random sample of residents across Southend. The survey seeks to capture residents' perceptions of the Council's services and inform the Council's budget process.			
1314CRA0305	Continue to provide proactive performance management to help the council judge how well it is performing and where it needs to focus resources	Tim MacGregor	31-Mar-14	An end of year analysis for 2012/13 Corporate Performance was undertaken and has been reported to Cabinet on 18 June. April 2013 Monthly Performance Report was published 12 <sup>th</sup> June.			
1314CRA0306	Review findings from recent contractor insolvencies that have impacted on the council (inc Priory Visitor Centre audit)	Jacqui Lansley	31-Dec-13	Audit review in relation to Priory Visitor Centre contractor insolvency now complete. Report on findings and recommendations being prepared.			

Risk Title	4. Business Continuity						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	16	
1314CRR 04	Risk that the Council's business continuity processes are not robust enough to enable the provision of key services in an emergency	Sally Holland	Strategic	Business Continuity			
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					Current risk score	11	
<p>1. <b>Control</b> – Corporate Business Continuity Strategy – <b>Assurance</b> – Corporate Business Continuity Strategy.</p> <p>2. <b>Control</b> – Departmental Business Continuity Plans monitored through DMTs -<b>Assurance</b> – Update reports to DMT.</p> <p>3. <b>Control</b> – Civic Centre refurbishment Business Continuity Plan – <b>Assurance</b> – reports to New Ways of Working</p> <p>4. <b>Control</b> - Identification and prioritisation of Corporate ICT systems for recovery as part of Business Continuity Plan - <b>Assurance</b> - Reviewed annually and reported to Head of Customer Services. Monthly monitoring at Customer Service Management Team and by Emergency Planning / Business Continuity Liaison Officers.</p> <p>5. <b>Control</b> – ICT System processes and skills in place to re-establish key systems - <b>Assurance</b> – Regular reports to Head of Customer Services</p>							
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
1314CRA0401	Complete the BCP audit	Lysanne Eddy	30-Apr-13	Audit undertaken and findings considered by Corporate Management Team. Next steps agreed for 2013/14.		7	
1314CRA0402	Develop, prioritise and implement BCP action plan for 13/14	Lysanne Eddy	31-Mar-14	A further programme of work has been agreed for 2013/14, including ensuring the fall-back location at the Tickfield Centre is fit for purpose; undertaking more comprehensive Business Impact Analyses and implementing an awareness raising programme.			

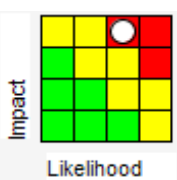
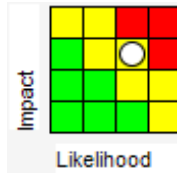
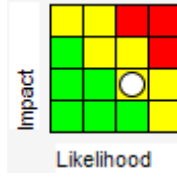




Risk Title	5. Financial implications of legislation and other Government policy changes							
<b>Stage 1 - Risk without controls (Inherent risk)</b>								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	16		
1314CRR 05	Risk that the impact of government policy, particularly in relation to welfare reform, localisation of Council Tax and Business Rates, the Social Care and Support Bill and the outcome of the Comprehensive Spending Round (CSR), will have a significant impact on the Council's finances	Sally Holland	Strategic	Financial				
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>								
<b>List of controls and associated assurances to ensure controls are working</b>					Current risk score	12		
<p><b>1. Control:</b> Government Consultations register to record forthcoming changes in Government policy and potential legislation to enable potential implications to be considered. <b>Assurance:</b> Consultation register held on intranet.</p> <p><b>2. Control:</b> Regular tracking of new legislation, government regulations and policy developments. <b>Assurance:</b> Production of Policy briefings and reports to Corporate Management Team.</p> <p><b>3. Control:</b> Medium Term Financial Strategy (MTFS), including budget pressures to regularly consider financial impact of Government policy reported to CMT, Cabinet and Council <b>Assurance:</b> Reports and minutes of meetings.</p> <p><b>4. Control:</b> Regular review of budget monitoring reports to identify potential areas of change in expenditure. <b>Assurance:</b> Reports and minutes to CMT</p> <p><b>5. Control:</b> Budget agreed by Full Council. <b>Assurance:</b> Report to Council/minute of meeting.</p>								
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5	
1314CRA0501	Senior managers to identify the impact of Government legislation and activity on their service area to support future budget planning and inclusion in revised MTFP.	Joe Chesterton	31-Oct-13	Key senior officers, assisted by the Accountancy team regularly review the impact of new and impending legislation and policy changes. MTFP due for revision in July 2013 post Spending Round 2013 announcement in late June. Pressures for 2014/15 being identified as part of 2014/15 budget planning process.	✓			
1314CRA0502	Undertake a review of the Local Council Tax support scheme	Joe Chesterton	31-Jan-14	Review has commenced with the target of reporting to Council in December 2013.	✓			
1314CRA0503	Implement regular reporting on take-up of Essential Living Fund	Veronica Dewsbury	31-Oct-13	Monthly reporting in place.	✓			
1314CRA0504	Monitor and assess the outcome of the Spending Review 2013	Joe Chesterton	31-Oct-13	This will be assessed post the announcement on 26 <sup>th</sup> June 2013.	✓			
1314CRA0505	Analyse Provisional Local Government Settlement in early December to ensure alignment with MTFS and identify necessary action where possible	Joe Chesterton	31-Dec-13	Modelling of potential impacts already underway, in preparation for release of provisional settlement in the autumn.	✓			



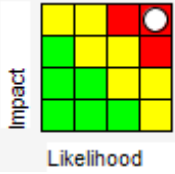
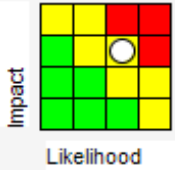
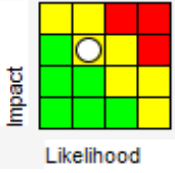
Risk Title		6. Impact of Health Service reforms				
<b>Stage 1 - Risk without controls (Inherent risk)</b>						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	
1314CRR 06	Risk that unsatisfactory new joint working/commissioning arrangements and relationships between respective health and social care partners will result in poor use of resources and an inability to deliver specialist & mandatory requirements to local people at the expected standard.	Simon Leftley	Strategic	Service Provision Financial	16	
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>						
<b>List of controls and associated assurances to ensure controls are working</b>					Current risk score	12
<p>1. <b>Control:</b> PCT Public Health transition plan <b>Assurance:</b> Report/plans  2. <b>Control:</b> Internal Audit review of HWBB governance arrangements. <b>Assurance:</b> Internal Audit Report and recommendations.  3. <b>Control:</b> Regular 1:1s between Director of Public Health with chief operating officer of CCGs to review areas of potential risk. <b>Assurance:</b> Meeting records and action points.  4. <b>Control:</b> Director of People attends CCG Board meetings <b>Assurance:</b> Meeting minutes  5. <b>Control:</b> HWBB membership including CE and Leader <b>Assurance:</b> ToR/Meeting minutes  6. <b>Control:</b> HWBB statutory committee of Council <b>Assurance:</b> Council Constitution/Legislation  7. <b>Control:</b> National Commissioning Board – Essex Unit <b>Assurance:</b></p>						
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>						
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score
1314CRA0601	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 have transferred to the council.	Andrea Atherton; Simon Leftley	31-Oct-13	The Southend Health Transition Board has monitored the successful transfer of the commissioning arrangements for mandated and other public health services to the Council. All contracts and their key performance indicators have been reviewed as part of this process.		
1314CRA0602	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.	Simon Leftley	31-Oct-13	Work has commenced mapping commissioning relationships and landscape.		
1314CRA0603	Support the monitoring and implementation of the Southend Clinical Commissioning Group Integrated Strategy and support alignment with the Joint Health and Wellbeing Strategy	Simon Leftley	31 Mar-14	Southend CCG outlined alignment between their Integrated Plan and Joint Health and Wellbeing Strategy priorities through a presentation at recent Health and Wellbeing Board.		
1314CRA0604	Ensure that the Joint Health and Wellbeing Strategy is underpinned by effective action plans	Simon Leftley	31-Oct 13	Overarching action plan in place to underpin Joint Health and Wellbeing Strategy. Performance management framework being developed to monitor progress/ outcomes.		
1314CRA0605	Build commissioning capacity through appointment of joint SBC/SCCG commissioning post	Simon Leftley	30-Nov-13	Review of current arrangements underway and a report on recommendations for potential joint arrangements being drafted.		

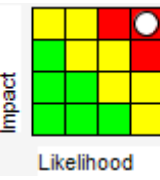
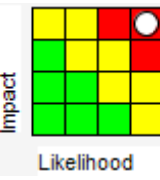
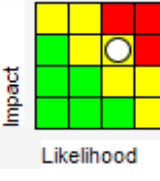
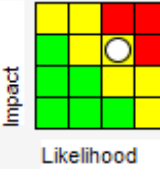
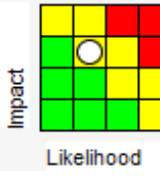

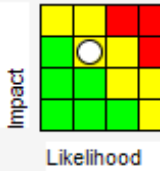

Risk Title	7. Regeneration						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1314CRR 07	Risk that the failure to ensure the required capacity, governance and physical infrastructure is in place limits or delays the Councils plans for regeneration in Southend.	Andrew Lewis	Strategic	Service Effectiveness	15		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
<b>1. Control</b> – South East Local Enterprise Partnership Board identification of regeneration opportunities. <b>Assurance:</b> Meetings/Minutes/Reports <b>2. Control</b> – Joint Area Action Plan for London Southend Airport and surrounding areas setting out regeneration plans and opportunities for the area. <b>Assurance:</b> JAAP Action Plan <b>3. Control</b> - Airport Consultative Committee to support private sector regeneration of Southend. <b>Assurance:</b> Meetings/Minutes/Reports <b>4. Control</b> - Corporate Delivery Board, Capital Board and Capital Asset and Strategy Group support of regeneration projects and ambitions <b>Assurance:</b> Meetings/Minutes/Reports <b>5. Control</b> – MedTech Board with LA membership <b>Assurance:</b> Meeting/Minutes/Reports					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	Target risk score	
1314CRA0701	Identification of opportunities stemming from new government funding streams and initiatives	Anita Thornberry/ Scott Dolling	31-Mar-14	European Regional Development Fund (ERDF) funding secured for MedTech Business Network Services. Continuing to engage with Department for Communities and Local Government/City Policy Unit regarding City Deal.	✔	5	
1314CRA0702	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/ Scott Dolling	31-Mar-14	Public Sector Plc partnership in place to bring forward site development proposals. Successful negotiation of City Deal is designed to give the Council powers to tackle difficult sites.	✔		
1314CRA0703	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.	Peter Geraghty	31-Mar-14	Development of Elm Road Leigh Development Brief. Work continues to complete JAAP in relation to Airport and associated Business Parks.	✔		
1314CRA0704	Continued incremental development of Southend's transport infrastructure, including through the Local Sustainable Transport Fund, LEP Transport Board Priority funding and Pinchpoint funding	Peter Geraghty	31-Mar-14	Pinchpoint Fund application to support A127 major scheme is being considered by DfT. LEP infrastructure investment programme is currently being prioritised.	✔		
1314CRA0705	Develop the Strategic Housing Plan, including plans to use the HRA for future housing investment	Jacqui Lansley	31-Mar-14	Key elements of the plan are being developed and a report is being prepared for consideration by members.	✔		

Risk Title	8. Police and Crime Commissioner						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1314CRR 08	Risk that the new Police & Crime Commissioner (PCC) and subsequent centralisation of funding will lead to service loss or changes that no longer reflect the borough's priorities	Andrew Lewis	Strategic	Service Provision	15		
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					Current risk score	9	
<p><b>1. Control</b> – Southend Partners Leader’s Advisory Group to oversee Southend Community Safety Partnership’s approach to the introduction of the PCC. - <b>Assurance:</b> Reports/Action points</p> <p><b>2. Control</b> – Southend Partners Chief Officers Group to progress the Leader’s Advisory Group approach: <b>Assurance:</b> Reports/Action notes.</p> <p><b>3. Control</b> - Community Safety Partnership (CSP) to set out and implement the borough’s approach to community safety: <b>Assurance:</b> Meetings/minutes/reports</p> <p><b>4. Control</b> – SBC membership of Essex Police and Crime Panel: <b>Assurance:</b> Reports to and minutes of meetings</p> <p><b>5. Control</b> – Southend Drug and Alcohol Team to assess the borough’s needs and financial requirements in relation to drugs and alcohol. <b>Assurance:</b> Action Plan/reports</p> <p><b>6. Control</b> – Strategic Intelligence Assessment setting out intelligence/evidence relating to community safety in the borough - <b>Assurance:</b> Assessment report</p>							
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
1314CRA0801	Ensure the Council's nominated member participates in the Essex Police and Crime Panel (EPCP)	Rob Tinlin	31-Mar-14	Councillor Cox nominated as Southend representative on Essex Police and Crime Panel	✓	5	
1314CRA0802	Establish an effective relationship with the newly elected PCC to safeguard future funding	Rob Tinlin; Simon Ford	31-Mar-14	Sound working relationship established between Chief Executive and PCC and his deputy.	✓		
1314CRA0803	Explore options to undertake joint Strategic Intelligence Assessment (SIA) with South Local Policing Area neighbours – Basildon, Castle Point and Rochford with a view to identifying joint priorities	Simon Ford	31-Mar-14	Options have been explored and feedback from the office of the PCC has been requested in relation to LPA based SIA's.	✓		

Risk Title	9. Shoebury Sea Defence							
<b>Stage 1 - Risk without controls (Inherent risk)</b>								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	14		
1314CRR 09	Risk that failure to engage and communicate with residents effectively on proposals leads to negative criticism of the council which will damage the reputation of the council	Andrew Lewis	Strategic	Reputational				
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>								
<b>List of controls and associated assurances to ensure controls are working</b>					Current risk score	12		
<b>1. Control</b> – Regular reporting to Corporate Director <b>Assurance:</b> DMT <b>2. Control</b> – Report to Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting Minutes								
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	9	
1314CRA0901	Establish a clear communication strategy to engage with the public	Richard Atkins	31-May-13	Media briefings held with Evening Echo. Face-to Face meetings have been held with representative stakeholders.				
1314CRA0902	Undertake public consultation on the flood defence proposals	Richard Atkins	31-May-13	Public Consultation on proposals ended 10th May 2013. The consultation included: <ul style="list-style-type: none"> <li>Exhibition of proposals at Thorpedene Library which ran from 15th April – 10th May</li> <li>Online and paper based consultation questionnaire/survey</li> <li>Public Meetings held on 22nd and 29th April with over 300 people in attendance</li> </ul>				
1314CRA0903	Alternative proposal from objectors to be cost and design appraised	Richard Atkins	30-June-13	Appraisal of alternative proposal in progress.				
1314CRA0904	Cabinet report outlining preferred option following analysis of consultation feedback and appraisal of alternative scheme	Richard Atkins	31-July-13	The analysis of consultation feedback has commenced.				
1314CRA0905	Prepare and submit planning application on preferred option including statutory consultation	Richard Atkins	31-Mar-14	These actions will not commence until a proposal has been approved by Cabinet.				
1314CRA0906	Ensure robust project management arrangements are in place	Richard Atkins	31-Mar-14					

<b>Risk Title</b>	<b>10. School Inspection Regime</b>							
<b>Stage 1 - Risk without controls (Inherent risk)</b>								
<b>Code</b>	<b>Risk - CAUSE, EVENT, EFFECT</b>	<b>Risk Owner</b>	<b>Risk type</b>	<b>Risk category</b>	<b>Inherent risk score</b>	12		
1314CRR 10	Risk that the new Ofsted Inspection ratings for schools will result in a perceived decline in Southend schools performance.	Simon Leftley	Strategic	Reputational			Likelihood	
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>								
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>	9		
<b>1. Control</b> Improving Learning Together Strategy in place with impact reviewed by Southend Children's Partnership <b>Assurance:</b> Report/Minutes <b>2. Control</b> Partnership with South Essex Teaching School Alliance established <b>Assurance:</b> Reports/Minutes <b>3. Control</b> School-to-School Support Strategic Group <b>Assurance:</b> Reports/Minutes								
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>								
<b>Code</b>	<b>Actions to further mitigate risk / maximise opportunities</b>	<b>Action Owner</b>	<b>Due date</b>	<b>Comments / update on progress</b>	<b>RAG Status</b>	<b>Target risk score</b>	3	
1314CRA1001	Establish a communication strategy to highlight changes to inspection regime and possible/likely impact	Alison Hoy	31-Dec-2013	Full Learning and Improvement Team planning meeting arranged for 28 June. Development of strategy on the agenda.	✓			
1314CRA1002	Embed the System Leadership Strategy (as an addendum to Improving Learning Together) to establish collective responsibility and shared accountability for performance	Alison Hoy	31-Jan-2014	The System Leadership Strategy has been written in collaboration with Thurrock. The Strategy consultation period has ended and it has been shared with colleagues across Southend and Thurrock. An official launch is planned for September 2013.	✓			
1314CRA1003	Review the remit of the School Support and Improvement Group (SISG) to act as a single risk assessment group for schools	Alison Hoy	31-July-2013	The first meeting of the group is planned for September 2013.	✓			

Risk Title		11. Service reviews					
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1314CRR11	Risk that the failure to undertake and implement the outcomes of current key service reviews (eg the Library, Children Centres and Adult residential care reviews) and a failure to take timely decisions in relation to future significant service reviews will result in adverse budget and service implications.	Simon Leftley	Strategic	Reputational Financial	16		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
<b>1. Control</b> - Cultural Advisory Working Party – <b>Assurance:</b> Reports/Meeting Minutes <b>2. Control</b> – Future Management of the councils housing stock and ALMO Member Task and Finish Group - <b>Assurance:</b> TOR/Reports/Minutes <b>3. Control</b> – Reports to Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting Minutes <b>4. Control</b> - Medium Term Financial Strategy (MTFS), including budget pressures to regularly consider financial impact of Government policy reported to CMT, Cabinet and Council <b>Assurance:</b> Reports and minutes of meetings. <b>5. Control</b> – Regular review of budget monitoring reports to identify potential areas of change in expenditure. <b>Assurance:</b> Reports and minutes to CMT					12		
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	
1314CRA1101	Establish clear media and communication strategies for service reviews	Simon Leftley; Andy Lewis	31-Mar-14	Media and Communications officers and advisors working closely with service teams to implement and manage communications strategies associated with service changes and reviews – including welfare reforms, library services review, consultation on options for Delaware House and Priory House and children's centres.	✓	8	
1314CRA1102	Ensure the outcomes of the Children Centre review are implemented effectively and supported by a robust project/implementation plan	Simon Leftley	31-Mar-14	Public consultation on proposals undertaken from 4 <sup>th</sup> April to 15 <sup>th</sup> May 2013.	✓		
1314CRA1103	Ensure the outcomes of the Library Services review are implemented effectively and supported by a robust project/implementation plan	Andy Lewis	31-Mar-14	Draft Library Strategy produced and out for consultation from 10 <sup>th</sup> June to 8 <sup>th</sup> September 2013. Following analysis of feedback a preferred option will be submitted to Cabinet for approval.	✓		
1314CRA1104	Ensure the outcomes of the adult residential care review are implemented effectively and supported by a robust project/ implementation plan	Simon Leftley	31-Mar-14	Following recommendations from cross party Member Task and Finish group formal consultation on future options commenced on the 3 <sup>rd</sup> June 2013 and will close on 1 <sup>st</sup> September 2013.	✓		

<b>Risk Title</b>	<b>12. The Forum (Up until completion)</b>						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
<b>Code</b>	<b>Risk - CAUSE, EVENT, EFFECT</b>	<b>Risk Owner</b>	<b>Risk type</b>	<b>Risk category</b>	<b>Inherent risk score</b>		
1314CRR12	Risk that the Forum Southend on Sea is not completed within agreed timescale, resulting in reputational damage and lack of appropriate provision for the start of the academic year	Andrew Lewis	Strategic	Reputational/ Service provision	16		
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>		
1. <b>Control</b> – Monthly Project Programme Board. <b>Assurance:</b> Meeting Minutes/Reports 2. <b>Control</b> – Monthly Project Review Meetings. <b>Assurance:</b> Meeting Minutes/Reports 3. <b>Control</b> - Weekly Site progress review meeting. <b>Assurance:</b> Meeting Minutes/Reports 4. <b>Control</b> – Externally appointed project manager and contract administrator. <b>Assurance:</b> Contract					12		
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>							
<b>Code</b>	<b>Actions to further mitigate risk / maximise opportunities</b>	<b>Action Owner</b>	<b>Due date</b>	<b>Comments / update on progress</b>	<b>RAG Status</b>	<b>Target risk score</b>	
1314CRA1201	Appointment of programme and co-ordination support for client fit-out and transition period	Mark Murphy	31-May-13	Nexus Relocation appointed to programme and co-ordinate fit-out and transition period.		8	
1314CRA1202	Appoint all 'fit-out' and transition suppliers and ensure ability to deliver within agreed programme	Mark Murphy	30-June-13	Contracts for provision of loose furniture, library shelving, library RFID hardware and people network PC's have all been placed in period.			
1314CRA1203	All partnership organisations working to an agreed transition programme to ensure project completes on time	Mark Murphy	30-June-13	All work streams including contractor Nexus informed of transition programme and associated timescales.	