

Corporate Assurance Risk Register December 2013/14

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

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

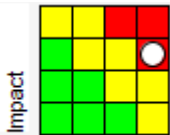
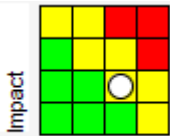

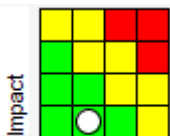
E X A M P L E S				IMPACT	CORPORATE RISK GRID			
Reputational:	Compliance	Financial:	Service Provision / Continuity:					
National publication (name and shame) by external body leading to a loss of control over the running of Council operations. Front page of national paper.	The council faces serious 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			

2013-14 Corporate Risk Register



Risk Title	1. Balanced Budget 2013/14							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		 Likelihood	
1314CRR01	Risk that inability to deliver savings and a balanced 2013/14 budget will result in an in-year overspend	Sally Holland	Strategic	Financial	16		 Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)								
List of controls and associated assurances to ensure controls are working					Current risk score	4 (8) ↓	 Likelihood	
<p>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.</p> <p>2. Control – Management oversight of budget monitoring through: Monthly Performance Report (MPR) Revenue and Capital Budget Monitoring report - Assurance – MPR Report.</p> <p>3. Control – Senior member and Chief Executive challenge to departments through Performance Improvement Task Group (PITG), CMT, Corporate Delivery Board (CDB) - Assurance – Reports and minutes of meetings.</p> <p>4. Control - Director challenge to Heads of Service - Assurance - Minutes of Departmental Management Team meetings/emails.</p>								
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	 Likelihood
1314CRA0101	Budget Profiling continually reviewed to ensure accurate forecasting	Joe Chesterton	31-Mar-2014	2013/14 Budget loaded and fully profiled. Profiling will continue to be refined on a monthly basis in light of actual spend patterns.	✓			
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-2014	2013/14 budget savings monitoring circulated to Directors for regular progress position, with each saving allocated a responsible Head of Service for delivery. Monitoring of the base budget commenced for the end of May 2013, with reporting to Members from June 2013 onwards. Monthly cycle of budget monitoring for 2013/14 in place for reporting to CMT, Cabinet, Scrutiny and Council.	✓			






Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

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		
1314CRR02	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	 Likelihood	
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score	9 (9)	 Likelihood
<p>1. Control – Managing Organisational Change Policy; Redeployment Policy & Procedure; Redundancy Policy & Procedure: Assurance – Policy documents available via intranet.</p> <p>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.</p> <p>3. Control – All staff vacancies, redeployments and redundancies reviewed by the Workforce Planning Panel – Assurance – Minutes of Workforce Planning Panel</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>7. Control - Annual review of restructures to identify lessons learnt. Assurance - Annual Review report and actions.</p>							
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	
1314CRA0201	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-2014	Updated People Management Strategy and 13/14 action plan was endorsed at People Management and Development Working Party on 22nd May. This has since been signed off by Cabinet. Actions within the plan are currently on target. The Employee Engagement Strategy for 2013 was conducted between September - October 2013. Results of this survey are currently being analysed and will be published shortly.		3	 Likelihood

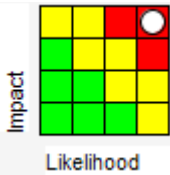
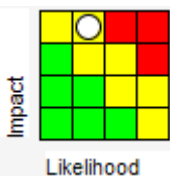
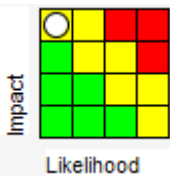
Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

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		Impact Likelihood
1314CRR03	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							
<p>1. Control - Communications action plan reported to HR & Communications DMT - Assurance – Communications Strategy in place.</p> <p>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.</p> <p>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</p> <p>4. Control - Essex Media & Communications officer network to highlight issues impacting on local authorities more widely – Assurance: Minutes of meeting</p> <p>5. Control - Obtain regular audited management accounts of contractors and undertake regular financial due diligence - Assurance: Audited accounts</p>					Current risk score	9 (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	Impact Likelihood
1314CRA0301	Evidence pro-active communications strategy highlighting Council successes including robust explanations of rationale for changes and savings	Lysanne Eddy; Kirsty Horseman	31-Mar-2014	Budget 2014/15 Communications Action Plan implemented from October 2013, covering all internal and external budget related communications activities to March 2014. Media and Communications officers and advisors continue to work closely with service teams to help them implement and manage communications strategies and plans to minimise reputational risks associated with service changes and reviews – including library services review, consultation on options for Delaware House and Priory House, children's centres and Avro-Viking centre (day opportunities) Three editions of Outlook magazine have been issued to residents during 2013. Content planned in close collaboration with DMTs and CE/Leader to ensure that information on service changes and other priority messages are included. This process will continue into 2014. Media and communication officers continue to liaise with Portfolio holders to ensure that any potential media/reputation management issues are identified early.		6	

Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

1314CRA03 02	Actively challenge negative and inaccurate media coverage, managing expectations with a range of stakeholders	Kirsty Horseman	31-Mar-2014	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.				
1314CRA03 03	Continue to proactively develop good media relationships	Kirsty Horseman	31-Mar-2014	The Senior Media Relations Advisor continues to foster good relations with editorial staff of the Echo and other local papers, radio stations and broadcasters. Communications Advisors attend Full Council, Cabinet Development Control Committee and other Council meetings.				
1314CRA03 04	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-2013	The findings from the Resident's Perception survey are being used to inform the Council's performance management and budget setting process.				
1314CRA03 05	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-2014	An end of year analysis for 2012/13 Corporate Performance was undertaken and was reported to Cabinet on 18 June. Monthly Performance Reports have been published for each month since April. Further analysis of the Council's performance, including against other local authorities, is being undertaken.				
1314CRA03 06	Review findings from recent contractor insolvencies that have impacted on the council (inc Priory Visitor Centre audit)	Jacqui Lansley	31-Dec-2013	Audit report received and recommendations reviewed.				



Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

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		
1314CRR04	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	16		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score	11 (11)	
<p>1. Control – Corporate Business Continuity Strategy – Assurance – Corporate Business Continuity Strategy.</p> <p>2. Control – Departmental Business Continuity Plans monitored through DMTs -Assurance – Update reports to DMT.</p> <p>3. Control – Civic Centre refurbishment Business Continuity Plan – Assurance – reports to New Ways of Working</p> <p>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.</p> <p>5. Control – ICT System processes and skills in place to re-establish key systems - Assurance – Regular reports to Head of Customer Services</p>							
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	
1314CRA0401	Complete the BCP audit	Lysanne Eddy	30-Apr-2013	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	Joanna Ruffle	31-Mar-2014	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. New BIA's have been piloted with departments and are being rolled out in the new year. Further training materials have been developed to support staff.	✓		

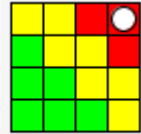
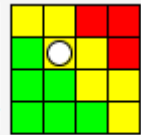


Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

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		Impact Likelihood
1314CRR05	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 CSR, will have a significant impact on the Council's finances	Sally Holland	Strategic	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		Impact Likelihood
<p>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.</p> <p>2.Control: Regular tracking of new legislation, government regulations and policy developments. Assurance: Production of Policy briefings and reports to Corporate Management Team.</p> <p>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.</p> <p>4. Control: Regular review of budget monitoring reports to identify potential areas of change in expenditure. Assurance: Reports and minutes to CMT</p> <p>5. Control: Budget agreed by Full Council. Assurance: Report to Council/minute of meeting.</p>					8 (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	Impact Likelihood
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-2013	Key senior officers, assisted by the Accountancy team regularly review the impact of new and impending legislation and policy changes. MTFP revised in July 2013 post Spending Round 2013 announcement in late June. Further continual reviews have taken place as part of the annual budget process. Pressures and funding for 2014/15 and beyond being identified as part of 2014/15 budget planning process.	✓	5	
1314CRA0502	Undertake a review of the Local Council Tax support scheme	Joe Chesterton	31-Jan-2014	Review has been completed and a report on the scheme for 2014/15 (unchanged from the 2013/14 scheme) went to Council on 12th December 2013.	✓		
1314CRA0503	Implement regular reporting on take-up of Essential Living Fund	Veronica Dewsbury	31-Oct-2013	Monthly reporting in place.	✓		




Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

1314CRA05 04	Monitor and assess the outcome of the Spending Review 2013	Joe Chesterton	31-Oct-2013	This was initially assessed after the announcement on 26th June 2013. However, the Government issued further consultation papers in the Summer. The outcome of these consultations featured in the Chancellor's Autumn Statement and the impending Local Government Settlement. Latest draft government financial settlement due third week in December 2013, following the autumn statement on 5 December.				
1314CRA05 05	Analyse Provisional Local Government Settlement in early December to ensure alignment with MTFP and identify necessary action where possible	Joe Chesterton	31-Dec-2013	Modelling of potential impacts already underway, in preparation for release of provisional settlement in the winter.				

Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

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	
1314CRR06	Risk that unsatisfactory new joint working/commissioning arrangements & relationships between respective health/social care partners will result in poor use of resources & an inability to deliver specialist/mandatory requirements at the expected standard	Simon Leftley	Strategic	Service Provision Financial	16	 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)						
List of controls and associated assurances to ensure controls are working					Current risk score	8 (12) ↓  Likelihood
<p>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.</p> <p>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</p> <p>3. Control: Quality, Innovation, Productivity and Prevention (QIPP) Programme in place and monitored by PCT. Assurance: Programme reports and minutes of meetings.</p> <p>4. Control: South Essex Cluster Quality and Governance Committee to oversee governance arrangements of key areas of governance Assurance: Meetings/Minutes/Reports.</p> <p>5. Control: External Audit review of transition process undertaken to assess arrangements. Assurance: External Audit Report and recommendations.</p> <p>6. Control: Public Health Senior Management Team meetings to review implementation of current and future changes. Assurance: Reports/Minutes/Reports.</p> <p>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: Minutes of meetings of Southend Health and Wellbeing Board and Essex Surveillance Group.</p>						
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
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	31-Oct-2013	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.		5
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-2013	14/15 Commissioning arrangements incorporated into Integrated Transformation Fund Plan. Health & Wellbeing Board to consider in February.		

Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

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-2014	Joint Health and Wellbeing Strategy agreed with on-going monitoring through the Health and Wellbeing Board. Clinical Commissioning Group strategy now aligned with Health & Wellbeing Strategy.				
1314CRA0604	Ensure that the Joint Health and Wellbeing Strategy is underpinned by effective action plans	Simon Leftley	31-Oct-2013	Reporting and monitoring arrangements agreed by HWBB with regular reporting system in place for each meeting and high level Health & Wellbeing actions being progressed.				
1314CRA0605	Build commissioning capacity through appointment of joint SBC/SCCG commissioning post	Simon Leftley	30-Nov-2013	Initial report outlining review of current arrangements and future potential joint arrangements shared with CCG. Options continue to be explored.				

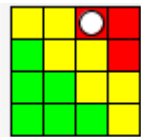
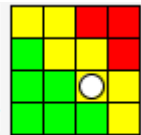
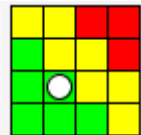
Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

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		Impact Likelihood
1314CRR07	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		Impact Likelihood
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					5 (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	Impact Likelihood
1314CRA0701	Identification of opportunities stemming from new government funding streams and initiatives	Anita Thornberry	31-Mar-2014	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	31-Mar-2014	Public Sector Plc partnership in place to bring forward site development proposals. Successful negotiation of City Deal assisting regeneration			
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-2014	Elm Road has been agreed by Council on the 12th December and JAAP was submitted on 17th December to the Planning Inspectorate for consideration			
1314CRA0704	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.	Peter Geraghty	31-Mar-2014	Successful Government award of £3.2 million for Tesco roundabout programme.			
1314CRA0705	Develop the Strategic Housing Plan, including plans to use the HRA for future housing investment	Jacqui Lansley	31-Mar-2014	Feasibility study concluded. Costings and more detailed analysis now being undertaken.			

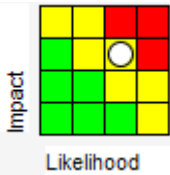
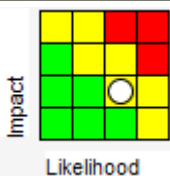
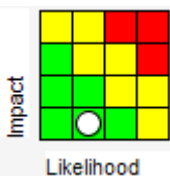
Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

Risk Title	8. 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		Impact Likelihood
1314CRR08	Risk that the new Police & Crime Commissioner (PCC) and subsequent centralisation of funding will lead to service loss or changes to service that no longer reflect the borough's priorities	Andrew Lewis	Strategic	Service Provision	15		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		Impact Likelihood
<p>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</p> <p>2. Control – Southend Partners Chief Officers Group to progress the Leader's Advisory Group approach: Assurance: Reports/Action notes.</p> <p>3. Control - Community Safety Partnership (CSP) to set out and implement the borough's approach to community safety: Assurance: Meetings/minutes/reports</p> <p>4. Control – SBC membership of Essex Police and Crime Panel: Assurance: Reports to and minutes of meetings</p> <p>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</p> <p>6. Control – Strategic Intelligence Assessment setting out intelligence/evidence relating to community safety in the borough - Assurance: Assessment report</p>					5 (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	Impact Likelihood
1314CRA0801	Ensure the Council's nominated member participates in the Essex Police and Crime Panel (EPCP)	Rob Tinlin	31-Mar-2014	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	Simon Ford; Rob Tinlin	31-Mar-2014	Regular contact with Office of PCC continues, including recent funding review meeting with PCC reps (Dec 2013)	✓		
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-2014	13/14 SAA (Strategic Intelligence Assessment) undertaken as a joint LPA initiative. Work underway to repeat this for 14/15 SAA	✓		

Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

Risk Title	9. Shoebury Sea Defence						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1314CRR09	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	14		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
1. Control – Regular reporting to Corporate Director Assurance: DMT 2. Control – Report to Cabinet/Scrutiny Assurance: Reports/Meeting Minutes					9 (12) ↓		 Likelihood
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	
1314CRA0901	Establish a clear communication strategy to engage with the public	Richard Atkins	31-May-2013	Completed	✓	5	 Likelihood
1314CRA0902	Undertake public consultation on the flood defence proposals	Richard Atkins	31-May-2013	<u>Completed</u> – Consultation included: - Exhibition of proposals at Thorpedene Library from 15 th April – 10 th May - Online and paper based consultation - Public meetings held on 22 nd and 29 th April - Regular meetings with ward Councillors - Meetings with Friends of Shoebury Common	✓		
1314CRA0903	Alternative proposal from objectors to be cost and design appraised	Richard Atkins	30-Jun-2013	Complete and published	✓		
1314CRA0904	Cabinet report outlining preferred option following analysis of consultation feedback and appraisal of alternative scheme	Richard Atkins	31-Jul-2013	Cabinet report prepared and approved (5 th November). Report discussed at Scrutiny on 16 th October and 25 th November and Council on 12 th December.	✓		
1314CRA0905	Prepare and submit planning application on preferred option including statutory consultation	Richard Atkins	31-Mar-2014	To be commenced following Full Council	✓		

Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

Risk Title	10. School Inspection Regime							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score			
1314CRR10	Risk that the new Ofsted Inspection ratings for schools will result in a perceived decline in Southend schools performance.	Simon Leftley	Strategic	Reputational	12			
Stage 2 - Risk with Controls and Assurances (current risk)								
List of controls and associated assurances to ensure controls are working					Current risk score	9 (9)		
1. Control Improving Learning Together Strategy in place with impact reviewed by Southend Children's Partnership Assurance: Report/Minutes 2. Control Partnership with South Essex Teaching School Alliance established Assurance: Reports/Minutes 3. Control School-to-School Support Strategic Group Assurance: Reports/Minutes								
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	
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 held and strategy in development.	✓			
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 Strategy will be circulated as part of the update of the Improving Learning Together Strategy and the launch of the Southend Challenge.	✓			
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-Jul-2013	The group had its inaugural meeting on 10th September and will continue to meet monthly.	✓			

Nb The current risk score from the last reported Corporate Risk Register is shown in brackets

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		Impact Likelihood
1314CRR11	Risk that the failure to undertake and implement the outcomes of current key service 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		Impact Likelihood
1. Control - Cultural Advisory Working Party – Assurance: Reports/Meeting Minutes 2. Control – Future Management of the councils housing stock and ALMO Member Task and Finish Group - Assurance: TOR/Reports/Minutes 3. Control – Reports to Cabinet/Scrutiny Assurance: Reports/Meeting Minutes 4. 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. 5. Control – Regular review of budget monitoring reports to identify potential areas of change in expenditure. Assurance: Reports and minutes to CMT					8 (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	Impact Likelihood
1314CRA1101	Establish clear media and communication strategies for service reviews	Simon Leftley; Andrew Lewis	31-Mar-2014	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-2014	Final recommendations agreed by Cabinet on 5.11.13.	✓		
1314CRA1103	Ensure the outcomes of the Library Services review are implemented effectively and supported by a robust project/implementation plan	Andrew Lewis	31-Mar-2014	Complete	✓		
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-2014	Agreed by Cabinet 19.11.13 and work on next phase commenced.	✓		

Nb The current risk score from the last reported Corporate Risk Register is shown in brackets