Southend-on-Sea Borough Council

Report of Chief Executive and Town Clerk
To

Audit Committee

On

14 January 2015

Report prepared by: Tim MacGregor,
Policy and Governance Manager

2014-15 Corporate Risk Register

Executive Councillor – Councillor Woodley

A Part 1 Public Agenda Item

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1 **Purpose of Report**

1.1 To provide an update to the Corporate Risk Register for 2014/15.

2 **Recommendation**

2.1 **That the updated Corporate Risk Register for 2014/15 is noted.**

3 **Background**

3.1 **Corporate Risk Register 2014/15**

3.1.1 The Council's Corporate Risk Register sets out the key risks to the successful delivery of the Council's corporate aims and priorities and outlines the key controls and actions to mitigate and reduce risks, or maximise opportunities. The register is a key element of the Council's risk management strategy.

3.1.2 The register was refreshed in April to reflect the challenges for 2014/15 and was presented to Audit Committee on 25th June. The register is reported to Corporate Management Team quarterly and Audit Committee every six months.

3.1.3 The Corporate Risk Register follows a 3 stage process:

1st stage: An 'inherent score' with the risk assessed with no controls, assurance or actions in place.

2nd stage: The 'current score' where the risk is assessed with controls, assurances and progress against identified actions. The current score is adjusted in light of progress against actions.

3rd stage: The target score which is the risk with the controls, assurances and actions, as if they have been completed

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The current score is then adjusted in light of progress against actions. It should be noted that the scoring of a risk is a subjective process following discussion with those closely involved in the issue and assessment by Corporate Management Team.

3.1.4   The Corporate Risk Register is attached at Appendix 1, and has been updated following consideration by Corporate Management Team on 17th December. An indication of the 'direction of travel' of the current level of risk for each risk is shown in this report, highlighting the difference in scores from June (when last presented to Audit Committee) to December.

3.1.5   Corporate Directors ensure service specific risks are managed within their directorates, within service plans and in accordance with the Risk Management Strategy and processes. 'Red' rated risks with corporate implications can be escalated to CMT via Corporate Directors. Actions for all these risks are updated and managed by the Directorate risk leads and reviewed at departmental management team meetings.

3.1.6   Operational risks, managed within Directorates, are also assessed as part of reviews undertaken by Internal Audit and Project risks are monitored by the Corporate Delivery Board where applicable.

4   **Corporate Implications**

4.1   Contribution to Council's Vision & Corporate Priorities
         The Corporate Risk Framework underpins the operational effectiveness of the Council's Corporate Governance arrangements and specifically monitors progress of managing key risks associated with the successful delivery of Corporate Aims and Priorities.

4.2   Financial Implications
         Any financial implications arising from identifying and managing risk will be considered through the normal financial management processes. Proactively managing risk can result in reduced costs to the Council by reducing exposure to potential loss.

4.3   Legal Implications
         The Accounts and Audit Regulations 2003 require that:

         The relevant body shall be responsible for ensuring that the financial management of the body is adequate and effective and that the body has a sound system of internal control which facilitates the effective exercise of that body's function and which includes the arrangements for the management of risk.

4.4   People Implications
         Any people and property implications arising from identifying and managing risk will be considered through the Council's normal business management processes.

4.5   Property Implications
         None specific

4.6   Consultation
        Consultation has taken place with key stakeholders.

4.7   Equalities Implications
        Corporate Equalities considerations have been considered in the drafting of the
        Register and any specific equality related risks have been identified for the Council.

4.8   Risk Assessment
        Failure to implement a robust assurance framework which includes fit for purpose
        risk management arrangements increases the risk that Council objectives will not be
        delivered.

4.9   Value for Money
        Effective forecasting and timely management of risk is a key factor in preventing
        waste, inefficiency and unnecessary or unplanned use of resource.

4.10   Community Safety Implications
        None specific

4.11   Environmental Impact
        None specific.

5   Appendices

        Appendix 1 –Corporate Assurance Risk Register 2014/15

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APPENDIX 1

Corporate Assurance Risk Register
December 2014/15

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.
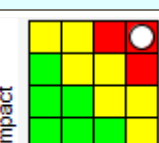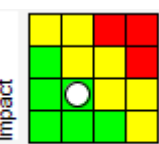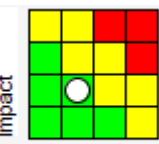
As controls and assurances are put in place and actions completed the Risk will be more controlled and, therefore, the current score moves towards the Target Score.
The current score from the last reported Corporate Risk Register is shown in brackets.
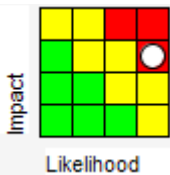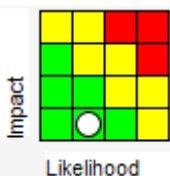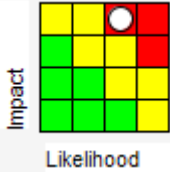
Section 2 - Risk Matrix
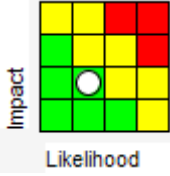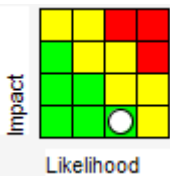
EXAMPLES				IMPACT		CORPORATE RISK GRID			
Reputational:	**Compliance**	**Financial:**	**Service Provision / Continuity:**						
National publication (name and shame) by external body leading to a loss of control over the running of Council operations. Front page of national paper.	The council faces 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			
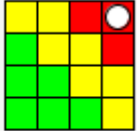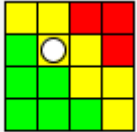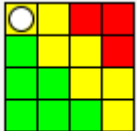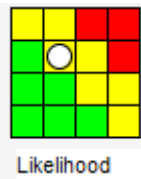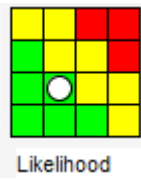
Risk Title	1. Setting a Balanced Budget for 2015/16

Stage 1 - Risk without controls (Inherent risk)							
Code	**Risk - CAUSE, EVENT, EFFECT**	**Risk Owner**	**Risk type**	**Risk category**	**Inherent risk score**	16	
1415CRR01	Risk that there is an in-year overspend of the 2014/15 budget and the Council fails to identify the required savings to enable a balanced budget to be set for 2015/16	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 required 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 setting process through: Monthly Performance Report (MPR) Revenue and Capital Budget Monitoring report. **Assurance:** Reports/Minutes. **3.Control:** Senior member and Chief Executive challenge to departments on proposed savings. **Assurance:** Reports and minutes of meetings. **4. Control:** Director challenge to Heads of Service. **Assurance:** Minutes of Departmental Management Team meetings/emails. **5. Control:** Regular Monitoring of overall budget and budget savings through: budget reports to Departmental and Corporate management Teams; Cabinet; Scrutiny Committees; Council. **Assurance:** Reports to and minutes of meetings.	**Current risk score** 5 (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**		
1415CRA0101	Continually monitor and assess government's position on grant to be distributed to Local Authorities and any other Government announcements that impact funding.	Joe Chesterton	31-Mar-2015	Head of Finance and Resources horizon scanning for all relevant government announcements. Utilising treasury networks as an additional source of information.	✅		
1415CRA0102	Budget Timeline outlining key milestones to be agreed with Joint Administration and Senior Leadership Team.	Joe Chesterton	31-Oct-2014	Budget timeline agreed and in place	✅	**Target risk score** 5	
1415CRA0103	All Members briefing session on local government finance.	Joe Chesterton	31-Aug-2014	Briefing session for members held on 30 September	✅		
1415CRA0104	Continual monitoring and reporting of progress on options to meet the saving target required to set a balanced 15/16 budget	Joe Chesterton	31-Mar-2015	Senior Leadership Team presentation on current financial position provided in April. Cabinet /CMT budget strategy session in July - Draft saving/pressure/capital proposal prepared over the summer. Detailed discussions held with portfolio holders (5 informal sessions with Cabinet from Sept-Dec) to prepare proposals for 2015-16 Council budget.	✅		

Risk Title	2. Workforce Development and Planning

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	15	
1415CRR02	Risk that failure to provide appropriate career opportunities and rewards will adversely affect the Council's ability to retain staff with the required levels of skills and experience.	Sally Holland	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	5 (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	
1415CRA0201	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-2015	Updated People Management Strategy and 14/15 action plan was endorsed at People Management and Development Working Party on 13th May. Actions within the plan are currently on target. Progress report considered by People Management, Accommodation & Digital Strategy WP on 29 September.	✅			

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	14	
1415CRR03	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			

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

List of controls and associated assurances to ensure controls are working

	Current risk score	5 (9)	
1. **Control:** Communications action plan reported to People and Policy DMT. **Assurance:** Communications Strategy in place. 2. **Control:** Monitoring of all Freedom of Information requests by media team to assess and anticipate appropriate response. **Assurance:** FOI database reviewed by Information and Communication Manager. 3. **Control:** Essex Media & Communications officer network to highlight issues impacting on local authorities more widely. **Assurance:** Minutes of meeting. 4. **Control:** Guidance to organisation on media relations. **Assurance:** Media Protocol			

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	6	
1415CRA0301	Evidence pro-active communications strategy highlighting Council successes including robust explanations of rationale for changes and savings	Lysanne Eddy; Kirsty Horseman	31-Mar-2015	Produced Budget 2015/16 Communications Action Plan & associated timeline, covering all internal and external budget related communications activities to March 2015. Media and communications 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. Three editions of Outlook magazine are currently produced per year (The Winter edition was distributed in November). Content is planned in close collaboration with Departmental Management Teams and Chief Executive/Leader to ensure that information on service changes and other priority messages are included as well as general council news and success stories. Media and communication advisors continue to liaise with Portfolio Holders to ensure that any potential media/reputation management issues are identified early.	✓			

1415CRA0302	Actively challenge negative and inaccurate media coverage, managing expectations with a range of stakeholders	Kirsty Horseman	31-Mar-2015	Media coverage is monitored daily. Media and communications advisors pursue local media partners for corrections in the event of incorrect coverage, and where necessary arrange interviews with appropriate Portfolio holders or senior officers for follow-up articles by way of ensuring balance.	✅		
1415CRA0303	Continue to proactively develop good media relationships	Kirsty Horseman	31-Mar-2015	The Senior Media Relations Advisor continues to foster good relations with editorial staff and journalists of the local papers, as well as radio and television broadcasters. Proactive media briefings are regularly held to communicate complex, high-level and sensitive matters by way of ensuring journalists have the opportunity to understand and learn more about their subject matter and have access to a range of experts and spokespeople to assist with the accuracy of their reporting. Communications advisors attend Full Council, Cabinet, Development Control Committee and other Council meetings. Media training undertaken for senior members, 17.9.14.	✅		
1415CRA0304	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-2015	Monthly Performance Reports have been published regularly. Further analysis of the Council's performance, including against other local authorities, has been undertaken using CIPFA VFM toolkit and LGInform (the LGA's performance management tool). Further work is being undertaken to extend the use of LGInform across the Council.	✅		

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	
1415CRR04	Risk that the testing of the Council's revised business continuity processes will require further deployment of resources to ensure arrangements are sufficiently resilient.	Sally Holland	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	8 (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	
1415CRA0401	Run a Business Continuity exercise to test revised processes	Lysanne Eddy	30-Oct-2014	Gold/Silver Team exercise took place on 1st October. Feedback report and recommendations produced and considered post exercise.	✓			
1415CRA0402	Implement BCP action plan for 14/15	Joanna Ruffle	31-Mar-2015	Initial Business Impact Assessments completed. Business Continuity Plans being updated and verified with Group Managers ready for service level plans to be produced. Feedback and recommendations from 1st October exercise to be considered.	✓			

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	
1415CRR05	Risk that the impact of government policy, particularly in relation to welfare reform, social care and health integration and any changes in local government funding, 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

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:** Head of Finance and Resources linked into LA treasury network, LGA and LG Futures. **Assurance:** Reports. **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 **6. Control:** Budget agreed by Full Council. **Assurance:** Report to Council/minute of meeting. **7. Control:** Regular reporting on Essential Living Fund. **Assurance:** Monthly reporting.	**Current risk score**	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	5
1415CRA0501	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-Jan-2015	Regular review of the impact of new and impending legislation and policy changes on-going.	✅		
1415CRA0502	Undertake a review of the Local Council Tax support scheme for 2014/15.	Joe Chesterton	31-Jan-2015	Report to readopt the Local Council Tax Support Scheme for 2015/16 and consult on potential changes for 2016/17, agreed at 11 December Council.	✅		
1415CRA0503	Undertake review of the continued funding for Essential Living Fund team and associated support budget	Veronica Dewsbury	31-Oct-2014	Report to agree continuation of the Essential Living Fund Scheme from 2015/16-18/19 agreed by Cabinet on 11 November 2014	✅		
1415CRA0504	Monitor and assess the outcome any government funding announcements	Joe Chesterton	31-Mar-2015	Regular monitoring is on-going	✅		
1415CRA0505	Analyse Provisional Local Government Settlement in early December to ensure alignment with MTFP and identify necessary action where required	Joe Chesterton	31-Dec-2014	Local Government provisional settlement announced 17 December and outcomes factored into the Council's budget for 2015/16.	✅		

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			
1415CRR06	Risk that new joint working & commissioning arrangements between the council and key health partners, conflicting budget pressures and operational difficulties result in an inability to deliver expected health and social care requirements to local people.	Simon Leftley	Strategic	Service Provision Financial	Inherent risk score	16	

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

List of controls and associated assurances to ensure controls are working			
1. **Control:** Quality, Innovation, Productivity and Prevention (QIPP) Programme in place and monitored. **Assurance:** Programme reports and minutes of meetings. **2. 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. **3. Control:** Joint Executive Group (JEG). **Assurance:** Reports/Meeting Minutes. **4. Control:** Health and Wellbeing Board. **Assurance:** Reports/Meeting Minutes.	Current risk score	5 (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			
1415CRA0601	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-2015	Joint Health and Wellbeing Strategy monitored through the Health and Wellbeing Board. Clinical Commissioning Group strategy now aligned with Health & Wellbeing Strategy.	✅			
1415CRA0602	Ensure that the Joint Health and Wellbeing Strategy is underpinned by effective action plans	Simon Leftley	30-Sep-2014	Refresh of the current action plan underway.	✅			
1415CRA0603	Work with Southend Clinical Commissioning Group and partners to support Integrated Pioneer status.	Simon Leftley	31-Mar-2015	Programme manager in place. Work streams in place to develop joint commissioning, integrated services and prevention and engagement. Action delivery monitored through Health and Wellbeing Board.	✅	Target risk score	5	
1415CRA0604	Better Care Fund	Simon Leftley	31-Mar-2015	Initial plan submitted by due date – government approval received week commencing 22nd December. Work underway to refine Better Care Fund	✅			
1415CRA0605	Effectively implement the Care and Support Bill	Simon Leftley	31-Mar-2015	Project team in place led by Head of Service. Initial scoping of actions required completed and a detailed plan has been developed. Implementation to start in January ready for April 2015. Update report presented to Cabinet on 11th November.	✅			

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	15	
1415CRR 07	Risk that the failure to adequately influence the Local Enterprise Partnership/Central Government funding plans will limit the progress of major infrastructure projects in Southend.	Andrew Lewis	Strategic	Financial	Inherent risk score	15	

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

List of controls and associated assurances to ensure controls are working

	Current risk score	5 (9)
1.**Control:** South East Local Enterprise Partnership Board identification of regeneration opportunities. **Assurance:** Meetings/Minutes/Reports 2.**Control:** Joint Area Action Plan (JAAP) 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	Current risk score	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	5
1415CRA07 01	Identification of opportunities stemming from new government funding streams and initiatives	Scott Dolling	31-Mar-2015	Growth Deal funding announced in July 2014 allocated funding for A127 improvements, town centre infrastructure improvements and Victoria Avenue in line with the Council's aspirations for the area. It also confirmed £800,000 funding for the whole of SELEP (South East Local Enterprise Partnership) to roll out the growth hub concept for which Southend will be the parent hub. Working with SELEP partnership on the strategy for European Structural Fund bidding between 2015-2020. The second round of Growth Deal anticipated for autumn 2014 was postponed in the Autumn Statement but with additional funding for the period of 2016-2020 identified. When bidding rounds are announced business cases will be submitted accordingly.	✅	Target risk score	5
1415CRA07 02	Work in partnership with the private sector to provide opportunities to bring forward regeneration projects of difficult sites and to lever in private investment	Scott Dolling	31-Mar-2015	Work underway at former library to transform it into business space as funded through City Deal. Official Journal of the European Union process to identify Airport Business Park Developer partners complete with preferred bidder announced. Development agreement under negotiation.	✅		

1415CRA07 03	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-2015	Consultation on the modifications to the JAAP following the Inspectors report closed on 25th September. Review of consultation feedback by the appointed Planning Inspector and all other matters has resulted in a Final Inspector's Report, which included recommendations to make the JAAP sound in planning term. Southend Borough Council and Rochford District Council are taking the JAAP to their respective Full Council for agreement to adopt the JAAP. Consultation on main modification on the Development Management Development Plan Document (DPD) carried out on 19th December 2014, following the examination in public (EIP) on the 11th November.	✅			
1415CRA07 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.	Peter Geraghty	31-Mar-2015	Successful Government award of £3.2 million for Tesco roundabout programme which has now commenced. Growth Deal funding announced in July 2014 - allocated funding for A127 improvements, town centre infrastructure improvements and Victoria Avenue.	✅			

Risk Title	8. School Inspection Regime						

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	12	
1415CRR08	Risk that the new Ofsted Inspection ratings for schools will result in a perceived decline in Southend schools performance.	Simon Leftley	Strategic	Reputational			

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

List of controls and associated assurances to ensure controls are working

	Current risk score	5 (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. 4. **Control:** School Support Improvement Board. **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
1415CRA0801	Review and revise the Improving Learning Together Strategy (including the System Leadership Strategy)	Jane Theadom	31-May-2014	The Improving Learning Together Strategy has been revised and shared with schools. This links to the development of system leaders. Heads are currently being informed of their roles (Pupil premium systems leaders will be meeting on 30th September).	✔		
1415CRA0802	Embed 'The Southend Challenge' to support schools to reach good or outstanding rating	Jane Theadom	31-Mar-2015	All primary and special challenge groups are up and running and have utilised funding to instigate improvements in leadership and pupil premium gaps. Four projects are up and running and the schools are actively engaged. KS2 results significantly improved from 2013 - Southend in top 25% of all local authorities. The local authority is currently liaising with all Southend schools to evaluate reasons for underperformance for disadvantaged pupils. The outcome of this work will be available early in 2015, and headteachers, senior leadership teams and governing bodies will be expected to respond to any findings that affect their leadership work. Southend challenge groups continue to work together on specific projects and this will be evaluated towards the end of the academic year 2015.	✔		

| 1415CRA08 03 | Develop a specific project under The Southend Challenge aimed at supporting any secondary school current rated as inadequate | Jane Theadom | 31-Mar-2015 | The first meeting relating to the secondary challenge group took place on 22nd September to set parameters for the Southend Challenge group. We are investigating a model being used in Basildon to take this forward with all secondary schools. Specific work is being planned for two out of the three schools currently rated inadequate. Challenge and support meetings are taking place for underperforming secondary schools in December and early January and outcomes will be reported in the next risk assessment. Monitoring visits underway by Ofsted with all schools making progress - earliest reinspection anticipated next Autumn. | ✅ | | | |

Risk Title	9. Airport Business Park

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	15	
1415CRR09	Risk that a failure to secure a development partner and progress the Airport Business Park Master plan will result in a loss of employment opportunities and reputational damage to the Council.	Sally Holland; 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	8 (12)	
1. **Control:** Regular reporting to Corporate Delivery Board. **Assurance:** Reports/Minutes. 2. **Control:** Airport Business Park Project Board meet monthly. **Assurance:** Reports/Minutes. 3. **Control:** Airport Business Park Project Team meet monthly and report into the Project Board. **Assurance:** Reports/Minutes. 4. **Control:** Externally appointed project manager and procurement specialist. **Assurance:** Contract.			

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	
1415CRA0901	Joint planning framework for Airport Business Park	Peter Geraghty	31-Mar-2015	Consultation on the modifications to the Joint Area Action Plan (JAAP) following the Inspectors report closed on 25th September. Review of consultation feedback by the appointed Planning Inspector and all other matters has resulted in a Final Inspector's Report, which included recommendations to make the JAAP sound in planning terms. Consultation on main modification on the Development Management DPD is due to be carried out on 19th December 2014, following the examination in public (EIP) on the 11th November. Southend Council's Cabinet agreed to adopt the JAAP on 9 December and it was adopted at full Council on 11 December. Rochford DC agreed adoption of the JAAP at full Council on 16 December.	✅			
1415CRA0902	Engage with potential tenants of Airport Business Park	Mark Johnson	31-Mar-2015	Liaison with interested parties continuing. Work underway at former library to transform it into business space as funded through City Deal providing potential future tenants.	✅			
1415CRA0903	Secure development partner for Airport Business Park scheme	Mark Johnson	31-Mar-2015	OJEU (Official Journal of the European Union) procurement process to identify Airport Business Park Developer partners complete. Development partner has been appointed and currently working towards developing a master plan for the business park, for Spring 2015.	✅			

Risk Title	10. Single Inspection for Children's Social Care

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	12	
1415CRR10	Risk that a reduced rating following an inspection of the Council's children's social care services under the new single inspection framework will result in reduced confidence in the council.	John O'Loughlin	Strategic	Reputational			

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

List of controls and associated assurances to ensure controls are working	Current risk score	5 (8)	
1. **Control:** Ofsted Inspection Planning Group. **Assurance:** Reports/Minutes. 2. **Control:** Inspection Preparation Plan monitored by Ofsted Inspection Planning Group. **Assurance:** Reports/Minutes. 3. **Control:** Inspection Logistics Plan outlining key timelines/personnel. **Assurance:** Reports. 4. **Control:** Monthly data set monitored by DMT and senior managers. **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	4
1415CRR1001	Conduct detailed performance analysis to identify areas for improvement using for example the Annual Safeguarding Report and Children and Young People Plan needs assessment.	John O'Loughlin	30-Apr-2014	Analysis completed and actions incorporated into 14/15 Children and Young Peoples Plan and Children's Services service plan.			
1415CRR1002	Conduct a detailed self-assessment against the inspection criteria	John O'Loughlin	31-May-2014	Self-assessment carried out and additional resource allocated in two areas identified for improvement. Enhanced audit and quality assurance controls in place. Audit reports considered by Ofsted Inspection Planning group and People Departmental Management Team.	✔		
1415CRR1003	Monitor the outcome for Local Authorities who have recently been inspected.	John O'Loughlin	31-Mar-2015	Met with Essex CC to understand their experience of being inspected. All published inspection reports from other authorities analysed for key inspection criteria.	✔		