

# Southend-on-Sea Borough Council

Agenda  
Item No.

Report of Chief Executive and Town Clerk  
To  
**Audit Committee**  
On  
**24<sup>th</sup> June 2015**

Report prepared by: Tim MacGregor,  
Team Leader - Policy and Information Management

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## 2015-16 Corporate Risk Register

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Executive Councillor – Cllr Woodley

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### A Part 1 Public Agenda Item

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#### 1 Purpose of Report

1.1 To consider the 2015/16 Corporate Risk Register.

#### 2 Recommendations

2.1 **That Audit Committee considers the 2015/16 Corporate Risk Register.**

#### 3 Background

##### 3.1 Corporate Risk Register 2015/16

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.

3.1.2 The Corporate Risk Register has been refreshed to reflect the challenges for 2015/16 and is attached at **Appendix 1**.

3.1.3 The Corporate Management Team have identified the following areas to be included in, and then reviewed, as part of the Corporate Risk Register for 2015/16:

- Council Budget for 2016-19
- Recruiting and retaining staff
- Partnership arrangements
- Housing Policy/Local Infrastructure
- Alternative service deliver models
- Health and Social Care Integration
- Contract price inflation
- Education and skills
- Surface water flooding
- Seafront cliff movement
- Ofsted joint inspection
- Department for Transport Challenge Fund

3.1.4 The format of 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

The current score is then adjusted in light of progress against actions.

3.1.5 Updates on the Corporate Risk Register will be reported to CMT quarterly and to Audit Committee every 6 months.

3.1.6 Corporate Directors ensure service specific risks are managed within their departments, 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 reviewed by Departmental Management Teams.

3.1.7 Operational risks, managed within departments, 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 2015/16**

# Corporate Assurance Risk Register June 2015/16

## 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	4	8	12	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	3	6	9	12
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	4	6	8
Rumour and gossip	All other material risks.	Under £50k, less than 5% of total budget individually or cumulatively	Minor disruption	Negligible	1	2	3	4
					Unlikely <10%	Likely 10-40%	Very Likely 40-75%	Almost Certain >75%
					LIKELIHOOD			

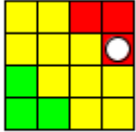


# 2015-16 Corporate Risk Register

Generated on: 10 June 2015



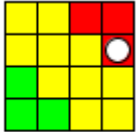
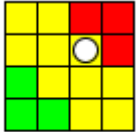

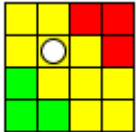


Risk Title	1. Budget for 2016-19						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR01	Risk that the scale of predicted funding reductions for 2016-19 budgets will result in significant adverse impact on council services	Sally Holland	Strategic	Financial/Reputational	16		<p>Impact</p> <p>Likelihood</p>
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> – Budget setting process to identify required 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 setting process through: reports to CMT and Administration - <b>Assurance</b> – Reports/Minutes</p> <p><b>3. Control</b> – Senior member and Chief Executive challenge to departments on proposed savings - <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> <p><b>5. 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>					6		<p>Impact</p> <p>Likelihood</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	
1516CRA0101	Continually monitor and assess government's position on grant to be distributed to Local Authorities and other Government announcements that impact funding	Joe Chesterton	31-Mar-2016	Head of Finance and Resources horizon scanning for all relevant government announcements. Utilising treasury network as an additional source of information.	✓	4	<p>Impact</p> <p>Likelihood</p>
1516CRA0102	Review outcomes and impact of Emergency Budget (July) and CSR (Autumn) to allow robust budget to be set.	Joe Chesterton	31-Mar-2016	Not yet due.	✓		
1516CRA0103	Budget Timeline outlining key milestones to be agreed with Joint Administration and Senior Leadership Team.	Joe Chesterton	30-Sep-2015	In progress - draft timeline being prepared.	✓		



1516CRA01 04	All Member briefing session on local government finance	Joe Chesterton	31-Oct-2015	Briefing session planning underway.				
1516CRA01 05	Continual monitoring, risk assessment and reporting of progress on options to meet the saving targets required to set balanced budgets in 2016/17 to 2018/19	Joe Chesterton	31-Mar-2016	Relevant meetings have been arranged and will be included in budget timeline. Cabinet/CMT meeting held in April, further meeting to be arranged for July.				

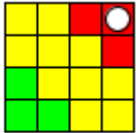
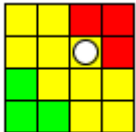
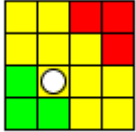
Risk Title		2. Recruiting and retaining staff				
<b>Stage 1 - Risk without controls (Inherent risk)</b>						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood
1516CRR02	Risk that failure to retain or recruit staff with the required skills and experience will result in an inability to deliver key projects or services to meet expectations of residents, members, businesses and partners.	Sally Holland	Strategic	Service Provision	12	 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>					Current risk score	Impact Likelihood
<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> – New recruitment provider to identify recruitment hotspots and plan effective recruitment campaigns – <b>Assurance</b> – Service Level Agreement, Contract management.</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
1516CRA0201	Update 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-2016	People Management Strategy has been updated and includes an annual action plan 2015/16. This was approved by member working party on 27th May 2015 and will be referred to Cabinet in June for ratification.		2
1516CRA0202	Develop a Talent Management Strategy (including apprenticeships, graduate traineeships, graduate sponsorships and career progression)	Joanna Ruffle	31-Mar-2016	Specific action identified within People Management Strategy action plan to progress this work.		



Risk Title	3. Partnership arrangements						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		Impact 
1516CRR03	Risk that changes in approach to partnership working by partner organisations reduces the Council's ability to influence key financial and policy decisions, adversely affecting the ability of the Council to achieve its objectives.	Rob Tinlin	Strategic	Reputation	12		Likelihood 
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		Impact 
<b>1. Control</b> Southend Borough Council active member of South East Enterprise Partnership (SELEP) Board and officers aligned to relevant working groups to engage and influence activity and decisions , <b>Assurance:</b> Minutes/Reports <b>2. Control</b> Corporate Delivery Board <b>Assurance:</b> Minutes/Reports <b>3. Control</b> Success For All Children Group <b>Assurance:</b> Children and Young People Plan/Reports/Minutes <b>4. Control</b> Health and Wellbeing Board <b>Assurance:</b> Joint Health and Wellbeing Strategy/Report/Minutes					6		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	Impact 
1516CRA0301	Develop models of partnership delivery across Essex in relation to adult social care provision.	Simon Leftley	31-Mar-2016	Regular meetings between Southend, Essex and Thurrock to develop models of partnership delivery. Boards established working on particular areas of adult social care - Southend leading the Learning Disability work stream.		4	Likelihood 
1516CRA0302	Work with Essex Police to develop/enhance effective partnership working in relation to safeguarding children.	Simon Leftley	31-Mar-2016	Significant work taken place between children's services and Essex Police in relation to the effective response to domestic violence cases and safeguarding children.			
1516CRA0303	Engage with regional developments in relation to devolution and combined authorities	Andrew Lewis	31-Mar-2016	SBC officers and Leader actively engaged in related work streams.			
1516CRA0304	Work with Government to maximise the benefits of Southend's City Deal and growth fund allocation	Andrew Lewis	31-Mar-2016	City Deal stock take completed with Cabinet Office. City Deal enterprise centre 'The Hive' completed and open.			
1516CRA0305	Successful roll out of the Business Southend Growth Hub model across the SELEP area to attract on-going funding while continuing to serve Southend	Andrew Lewis	31-Mar-2016	Business Essex, Southend and Thurrock (BEST) soft launch 1st April with new website. Southend leading the roll-out across BEST and pan LEP steering group.			
1516CRA0306	Engage with the re-launched South Essex Growth Partnership	Andrew Lewis	31-Mar-2016	New Terms of Reference agreed. Conference hosted in March 15 with Michael Heseltine as keynote speaker promoting South Essex.			

Risk Title	4. Housing Policy/Local Infrastructure						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood
1516CRR04	Risk that changes to government policy in relation to housing development reduces the resources available to the council leading to a strain on local infrastructure	Simon Leftley Andrew Lewis	Strategic	Financial	12		
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
<b>1. Control</b> Core Strategy and Local Development Plan in place <b>Assurance:</b> Strategy documents <b>2. Control</b> Regeneration Framework in place <b>Assurance:</b> Framework documents <b>3. Control</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes					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
1516CRA0401	Analyse pre and post-election housing policy in relation to local development	Simon Leftley	30-Sep-2015	Analysis is underway. Report outlining findings and implications to Corporate Management Team and Cabinet during September.		6	
1516CRA0402	Refresh of the regeneration framework approved by Cabinet in September 2007	Scott Dolling	31-Mar-2016	Refresh of the Regeneration Framework underway, ensuring that it includes reference to the Southend Central Area Action Plan (SCAAP) and the Joint Area Action Plan (JAAP) in relation to the funding from the SELEP that has been secured and proposals sites proposed. Report to Cabinet in March outlining regeneration priorities, these are being used to inform the framework refresh.			
1516CRA0403	Produce a new Development Management DPD	Peter Geraghty	02-Mar-2016	Development Management DPD was found 'sound' in March 2015 after examination in public in November 2014. It will be put forward for adoption by Full Council on the 23rd July 2015 after which it will go through a formal adoption process in accordance with Planning Regulations. There will be a period of 12 weeks where it will be subject to potential legal challenge.			

1516CRA04 04	Update Core Strategy to ensure it conforms with all aspects of the National Planning Policy Framework	Peter Geraghty	31-Mar-2016	The Core Strategy Review is timetabled in the current Local Development Scheme timetable. Provisional work has commenced on the evidence base to support the Review. This has initially involved an update to the Thames Gateway South Essex (TGSE) Strategic Housing Market Assessment (SHMA) which will provide, amongst other things, an objectively assessed need (OAN) housing figure for TGSE and the five authorities which comprise it. This figure will be the 'starting point' (NPPF wording) for discussion of housing allocation under the Duty to Co-operate. Report due at 23 June Cabinet.				
1516CRA04 05	Produce draft Community Infrastructure Levy Charging Schedule and Infrastructure Delivery Plan (IDP)	Peter Geraghty	31-Mar-2016	The examination of the Southend Charging Schedule was conducted by written representations and a final Inspector Report was issued in early June 2015. The Council is now taking the Southend Community Infrastructure Levy Charging Schedule to Full Council to be put forward for adoption. The Charging Schedule was informed by a Southend Infrastructure Delivery Plan which will require updating as part of the Core Strategy Review. Report due at 23rd June Cabinet.				

Risk Title	5. Alternative service delivery models							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score			
1516CRR05	Risk that failure to effectively manage (staffing, relationships, contracts) the transition to alternative service delivery models results in the organisation not meeting its statutory responsibilities to residents/customers	Simon Leftley Andrew Lewis	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	9	 Likelihood	
<b>1. Control:</b> Corporate Delivery Board <b>Assurance:</b> Reports/Meeting minutes <b>2. Control:</b> Changes to service delivery considered by Scrutiny/Cabinet/Council <b>Assurance:</b> Reports/Minutes. <b>3. 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. <b>4. 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.								
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	 Likelihood
1516CRA0501	Explore alternative delivery models for Adult Social Care services	Simon Leftley	31-Mar-2016	Senior officer group set up to look at alternative delivery models lead by Simon Leftley.	✓			
1516CRA0502	Explore alternative models for provision of ground maintenance	Andrew Lewis	31-Mar-2016	Scoping of alternative delivery model underway.	✓			
1516CRA0503	Implement the outcome of the Library Review in accordance with the delivery plan contained within the Library Development Strategy 2013 – 2028	Nick Harris	31-Mar-2016	Following review by the Joint Administration the next phase of outcomes are being implemented.	✓			
1516CRA0504	Mobilise and embed the Council's new frontline waste collection, street cleansing and ancillary service contracts	Dipti Patel	31-Mar-2016	New recycling, waste and street cleansing contract signed with Veolia. New contract will start on 5th October 2015 and includes commitment to increase recycling rates to 60% and redesigning the Household Waste Recycling Centres.	✓			

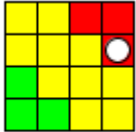
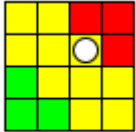
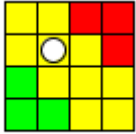
Risk Title	<b>6. Health and Social Care Integration</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood
1516CRR06	Risk that failure to integrate health and social care effectively (inc Pioneer, Better Care Fund and Care Act) will harm the ability of the health and care system to operate at optimal levels, adversely affecting service provision and council finances.	Simon Leftley	Strategic	Service Provision, Financial	12		
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
<b>1. Control:</b> Joint Executive Group (JEG). <b>Assurance:</b> Reports/Meeting Minutes. <b>2. Control:</b> Health and Wellbeing Board. <b>Assurance:</b> Reports/Meeting Minutes. <b>3. Control:</b> Pioneer Programme Board. <b>Assurance:</b> Reports/Meeting Minutes. <b>4. Control:</b> Corporate Delivery Board. <b>Assurance:</b> Reports/Meeting Minutes.					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
1516CRA0601	Ensure that the Joint Health and Wellbeing Strategy is underpinned by effective action plans	Simon Leftley	30-Sep-2015	Following the refresh of the Health and Wellbeing strategy a review of the current action plan underway.		4	
1516CRA0602	Work with Southend Clinical Commissioning Group and partners to support Integrated Pioneer status	Simon Leftley	31-Mar-2016	Programme manager in place. Work streams in place to develop joint commissioning, integrated services and prevention and engagement. Joint Associate Director of Integrated Care Commissioning appointed. Action delivery monitored through Health and Wellbeing Board.			
1516CRA0603	Better Care Fund (BCF)	Simon Leftley	31-Mar-2016	Pioneer Programme Board established Q4 14/15 to provide assurance that BCF is on track for delivery. All projects listed under the BCF plan are currently in scoping stage. On schedule to commence delivery in Q2 15/16. Section 75 agreement between council and CCG has been agreed and signed (31st March 2015), the Section 75 enables the creation of the BCF fund and facilitates the flow of funding.			
1516CRA0604	Prepare to implement the 2nd phase of the Care and Support Bill (dependent on government policy)	Simon Leftley	31-Mar-2016	Project team monitoring developments in relation to Care and Support Bill following general election.			

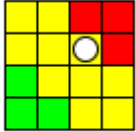
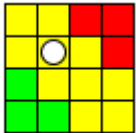
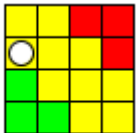
Risk Title	7. Contract price inflation						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR07	Risk that construction related contract price inflation results in less resources to meet capital programme desired outcomes and further pressure on other council budgets.	Andrew Lewis	Strategic	Financial	9		
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> Contract price inflation clauses (linked to government indices) included within Highways contracts, <b>Assurance:</b> Contract documentation <b>2. Control</b> Capital Projects Board <b>Assurance:</b> Reports/Meeting Minutes <b>3. Control</b> Corporate Delivery Board <b>Assurance:</b> Reports/Meeting Minutes <b>4. Control</b> Contract management arrangements <b>Assurance:</b> Contract documentation/minutes/meetings					6		
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	
1516CRR0701	Introduction of Governance and Monitoring of new/other than new highway contracts to ensure proper management. Introduce new processes and workflows to support the management of these contract	Paul Mathieson	31-Mar-2016	New contracts are in place and being monitored by Programme Boards. Process flow charts prepared and being updated to take account of improvements in Symology, infrastructure asset management system.	✓	4	
1516CRR0702	Employ where appropriate professional cost advice on all major projects and update and refresh cost plans on regular basis.	Andrew Lewis	31-Mar-2016	Utilising in house expertise and conducting early contractor involvement. Call-off framework for cost consultation advice being utilised where required. Project variations reported to Corporate Delivery Board.	✓		
1516CRR0703	Continue to deliver the programmed replacement of old street lighting lanterns with new LED type	Dipti Patel	31-Mar-2016	Replacement programme on-going. Programme aims to reduce energy costs, reduce contract maintenance cost and reduce Carbon Tax through reduced carbon emissions.	✓		

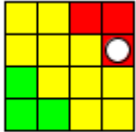
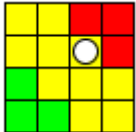

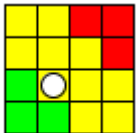

Risk Title	8. Education and skills						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood
1516CRR08	Risk that failure to narrow the gap in results at secondary schools will result in a lack of appropriate skills of Southend pupils and undesirable levels of young people not in education, employment or training (NEET).	Simon Leftley	Strategic	Reputational	9		
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. <b>Control</b> Improving Learning Together Strategy in place with impact reviewed by Success for All Group <b>Assurance:</b> Report/Minutes.</p> <p>2. <b>Control</b> Partnership with South Essex Teaching School Alliance established <b>Assurance:</b> Reports/Minutes.</p> <p>3. <b>Control</b> Pupil Premium Strategy Group <b>Assurance:</b> Reports/Minutes.</p> <p>4. <b>Control</b> School Support Improvement Board <b>Assurance:</b> Reports/Minutes.</p> <p>5. <b>Control</b> Success for All Children Group <b>Assurance:</b> Reports/Minutes.</p>					6		
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
1516CRA0801	Review and revise the Improving Learning Together Strategy (including the System Leadership Strategy)	Dani Wade	31-Oct-2015	The Improving Learning Together strategy is reviewed and revised annually to reflect current local and national priorities.		4	
1516CRA0802	Embed 'The Southend Challenge' to support schools to reach good or outstanding rating	Dani Wade	31-Mar-2016	Southend Challenge cluster working continues to embed across the Local Authority. Schools continue to work together to effect improvement e.g. cluster peer reviews - these provide external validation of the schools judgements in terms of progress in areas of focus.			
1516CRA0803	Develop a specific project under The Southend Challenge aimed at supporting any secondary school current rated as inadequate	Dani Wade	31-Oct-2015	Currently scoping the project specification e.g. termly summit meetings to be arranged for all three schools with Exec Head, Head of School, Chair of Governors attending etc.			

Risk Title	9. Surface water flooding						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR09	Risk that surface water flooding, due to overwhelmed drainage infrastructure, will result in damage to property and infrastructure as well as significant disruption.	Andrew Lewis	Strategic	Reputational, Financial	12		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
<p>1. <b>Control:</b> Flooding Reports considered by Cabinet <b>Assurance:</b> Reports/Meeting minutes.</p> <p>2. <b>Control:</b> Gully cleaning programme in place <b>Assurance:</b> Programme documents.</p> <p>3. <b>Control:</b> Regular monitoring of Met Office weather alerts <b>Assurance:</b> Alerts/Reports</p>					9		 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	
1516CRA0901	Repairs and Renewals Grant scheme implemented/administered	Richard Atkins; Keith Holden	18-Sep-2015	Tender document in preparation.	✓	6	 Likelihood
1516CRA0902	Produce Local Flood Risk Management Strategy as required under the Floods and Water Management Act 2010	Richard Atkins	31-Mar-2016	Draft Strategy prepared. To be finalised, consulted on (public), and submitted to Cabinet for adoption.	✓		
1516CRA0903	Communication with residents, property owners and businesses to increase awareness of flood risk and property protection measures	Richard Atkins; Keith Holden	31-Mar-2016	Substantial communication in connection with Repairs and Renewals Grant scheme. To be continued to deal with riparian ownership responsibilities. Additional information and guidance around flooding responsibilities and protecting property added to the council's website.	✓		
1516CRA0904	Jointly investigate with Anglia Water Services, possible improvements to drainage system.	Richard Atkins	02-Mar-2016	Investigation and modelling of existing system at Marine Parade and Victoria Road being carried out by Anglian Water including potential improvements. Other flood risk sites to be investigated based on prioritised list from previous flood events. The council has undertaken a series of drainage improvements following the extreme weather events of 2013/2014 which are detailed in the relevant flood report which has been considered by Cabinet.	✓		



<b>Risk Title</b>	<b>10. Seafront cliff movement</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>					
1516CRR 10	Risk that a seafront cliff movement will result in damage to property, transport dislocation and significant financial and reputational damage to the Council.	Andrew Lewis	Strategic	Reputational, Financial	12		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> Corporate Deliver Board <b>Assurance:</b> Reports/Minutes <b>2. Control</b> Regular reporting to DMT <b>Assurance:</b> Reports/Minutes									Likelihood	
<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>	6			
1516CRR 1001	Quantified Risk Assessment completed which prioritises areas of potential instability.	Richard Atkins	30-Sep-2015	Risk assessment completed. A detailed monitoring regime is being prepared which includes ground investigations at high priority area.	✓					Likelihood
1516CRR 1002	Progress stabilisation work at Clifton Drive	Richard Atkins	31-Mar-2016	Stabilisation work underway. Work programme being monitored.	✓					

<b>Risk Title</b>	<b>11. Ofsted joint inspection</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>			
1516CRR 11	Risk that increased demand for child safeguarding services and on-going financial and partnership challenges results in a lower than anticipated Ofsted joint inspection rating.	Simon Leftley	Strategic	Reputational	9		 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>	6	 Likelihood	
<p>1. <b>Control</b> – Ofsted Inspection Planning Group: <b>Assurance:</b> Report/Minutes.</p> <p>2. <b>Control</b> – Inspection Preparation Plan monitored by Ofsted Inspection planning group: <b>Assurance:</b> Report/Minutes.</p> <p>3. <b>Control</b> - Inspection Logistics Plan outlining key timelines/personnel: <b>Assurance:</b> Report.</p> <p>4. <b>Control</b> – Monthly data set monitored by DMT and senior managers: <b>Assurance:</b> Report/Minutes</p> <p>5. <b>Control</b> – HoS is member of Police's Gold Command advisory group: <b>Assurance:</b> Regular attendance at meetings.</p>								
<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	 Likelihood
1516CRR 1101	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	31-Mar-2016	Work on-going to identify areas for improvement building on the self-assessment.	✓			
1516CRR 1102	Conduct a detailed self-assessment against the inspection criteria	John O'Loughlin	31-Mar-2016	Self-assessment completed and regularly reviewed.	✓			
1516CRR 1103	Monitor the outcome for Local Authorities who have recently been inspected.	John O'Loughlin	31-Mar-2016	All published inspection reports from other authorities reviewed for key inspection criteria.	✓			

Risk Title	12. Department for Transport Challenge Fund						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood
1516CRR 12	Risk that the failure to meet the requirements of the Department for Transport Challenge Fund will severely limit funding available to start or progress highway projects in the borough.	Andrew Lewis	Strategic	Financial	12		
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. <b>Control</b> – Highway/Footpath Assets Management inventory in place - <b>Assurance:</b> Reports</p> <p>2. <b>Control</b> – Monthly progress reported to DMT and senior managers <b>Assurance:</b> Reports/Minutes</p> <p>3. <b>Control</b> – Regular reporting to Capital Delivery Board <b>Assurance:</b> Reports/Minutes</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	Impact Likelihood
1516CRR 1201	Produce a new Highway Asset Management Plan to support the maintenance and improvement of the roads, pavements and street furniture across the Borough	Paul Mathieson	31-Mar-2016	Draft document to be taken to Place Scrutiny on 13th July for pre-cabinet scrutiny consideration.		4	
1516CRR 1202	Conduct detailed self-assessment to support Challenge Fund bid	Paul Mathieson	31-Mar-2016	Awaiting guidance from Department for Transport, but part of the Transport Asset Management Plan process.			
1516CRR 1203	Complete Whole Government Account return (with Finance Dept)	Paul Mathieson	31-Mar-2016	Completion of the return on-going, due for submission to Government by 31st July.	