2012-13 Corporate Risk Register

Generated on: 21 December 2012

Risk Title	1. Balanced Budget 2012/13

Stage 1 - Risk without controls (Inherent risk)						
Code	**Risk - CAUSE, EVENT, EFFECT**	**Risk Owner**	**Risk type**	**Risk category**	**Inherent risk score** 16	
1213CRR01	Risk that inability to deliver savings and a balanced 2012/13 budget will result in an in-year overspend	Sally Holland	Strategic	Financial		

Stage 2 - Risk with Controls and Assurances (current risk)		
List of controls and associated assurances to ensure controls are working		
1. Control – Budget setting process to identify deliverable savings through: budget proposal reports to Departmental and Corporate Management Teams; member seminars; Cabinet; Scrutiny Committees; Council – **Assurance -** reports to and minutes of meetings. **2. Control** – Management oversight of budget monitoring through: Monthly Performance Report (MPR) Revenue and Capital Budget Monitoring report - **Assurance** – MPR Report. **3.Control** – Senior member and Chief Executive challenge to directorates through Performance Improvement Task Group (PITG), CMT, Corporate Delivery Board (CDB) - **Assurance –** Reports and minutes of meetings. **4. Control** - Director challenge to Heads of Service - **Assurance** - Minutes of Departmental Management Team meetings/emails.	**Current risk score**	**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**	**Target risk score** 5
1213CRA0101	Budget Profiling continually reviewed to ensure accurate forecasting	Joe Chesterton	31-Mar-2013	Budget profiling reviewed monthly with Directorates as part of budget monitoring.	✅	
1213CRA0102	Regular monitoring of overall budget and budget savings through member and officer governance arrangements, including, CMT, Cabinet, Scrutiny and Council.	Joe Chesterton	31-Mar-2013	Budget monitoring for Revenue and Capital for October position to Members as part of MPR pack. Will be part of next Scrutiny cycle. Savings progress to end of October included within revenue budget monitoring report	✅	

Nb The current 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	15	
1213CRR02	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			

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** – 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 restrucutres and operation of the Talent Pool. **Assurance** - Minutes of Meetings and reports. 7. **Control** - Annual review of restructures to identify lessons learnt. **Assurance** - Annual Review report and actions.			

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	3	
1213CRA0201	Revise the People Management Strategy, including the re-focussed Organisational Development and Employee Engagement Strategies, to drive underpin and support the Council in meeting its objectives at a time of change.	Joanna Ruffle	31-Mar-2013	Progress report went to People Management and Development Working Party in October. All on target.	✅			
1213CRA0202	Implement agreed actions arising from the annual Staff engagement survey	Neil Keeler; Joanna Ruffle	31-Mar-2013	Work continues to be undertaken as part of the cultural change project and is featured in Service Plans and PMRs.	✅			

Nb The current 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	14	
1213CRR03	Risk that undertaking budget savings and negative criticism of local authorities 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	9 (9) -	
1. Control - Communications action plan reported to HR & Communications DMT - **Assurance** – Communications Strategy in place. **2. Control** - Monthly scanning of communication from central government departments and media to identify potential areas of negative coverage– **Assurance:** Monthly media monitoring report circulated to Leadership Group of officers and included in HR Business Partner reports. **3. Control** - Monitoring of all Freedom of Information requests by media team to assess and anticipate appropriate response – **Assurance:** FoI database reviewed by Media Manager **4. Control** - Essex Media & Communications officer group meetings to highlight issues impacting on local authorities more widely – **Assurance:** Minutes of meeting			

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

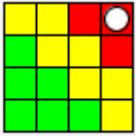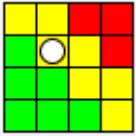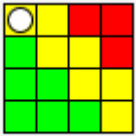| Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	6	
1213CRA0301	Evidence pro-active communications strategy highlighting Council successes including robust explanations of rationale for changes and savings	~~Kirsty Horseman;~~ Joanna Ruffle	31-Mar-2013	Four editions of Outlook magazine scheduled for 2012/13. Articles on the budget have already appeared in the Spring and Summer editions. Budget items planned for the Autumn and Winter. Positive and fair media coverage of the Council remains above 98%. During the current Financial year the Media & Communications Team has dealt with 897 enquiries from media organisations and issued 253 proactive media releases, 8 statements and 18 photo calls.	✅			
1213CRA0302	Actively challenge negative and inaccurate media coverage, managing expectations with a range of stakeholders	Lucy Archard; Joanna Ruffle; John Troup	31-Mar-2013	The Echo was challenged in July about two articles – one that gave inaccurate information about moving staff from the Civic Centre to an alternative location and another generated by local protest group SKIPP which grossly	✅			

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

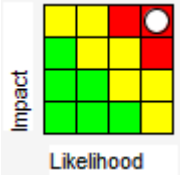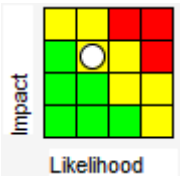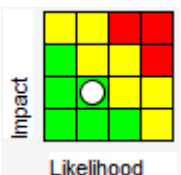|					
				exaggerated the amount of money the Council was spending on the Cliff Slip remediation. A proactive statement was issued to counter one-sided Echo stories concerning the proposed sea defences at Shoebury Common and another to manage the loss of Blue Flags by the Council due to extraneous circumstances. The Media & Comms team always pursues local media partners for corrections in the event of incorrect coverage, and if necessary will arrange interviews with appropriate members or senior officers for follow-up articles by way of giving balance.	
1213CRA03 03	Continue to proactively develop good media relationships	Lucy Archard; Joanna Ruffle; John Troup	31-Mar-2013	The Media and Communications Team continues to hold proactive briefings with the local media on challenging and sensitive issues, to ensure accuracy of information, that our media partners obtain sufficient two-way information to help them write an accurate and detailed story despite the complexity of the situation and to present the Council in the best light by being open, honest and transparent. The Team continue to foster good relations with the media and the Senior Media Relations Officer & Media Support Officer have daily contact with editorial staff of the Echo and other local papers, radio stations and broadcasters. The Senior Media Relations Officer attended the Police & Crime Commissioner Elections in Southend which none of the local media were able to staff and provided detailed results on their behalf.	✅
1213CRA03 04	Undertake consultation with local people and key stakeholders that will feed into on the Council's budget process	Joanna Ruffle; Suzanne Wright	29-Mar-2013	The online budget simulator ran from 16th July till 2nd September. Findings from the budget engagement are being used to inform the council's budget setting process for 2013/14.	✅
1213CRA03 05	Develop a self assessment process to help the council judge how well it is performing.	Tim MacGregor; Joanna Ruffle	28-Mar-2013	An end of year analysis for 2011/12 Corporate Performance was reported to Cabinet on 19 June. Further benchmarking of the Council's performance is being undertaken to enable	✅

				comparisons, including on value for money, with other local authorities.					
1213CRA03 06	Develop communication strategies for responding to and implementing new Government legislation and policy – in particular the implementation of the Local Government Finance Act	Joanna Ruffle	31-Mar-2013	* Member briefings have been held on the Localism Act; as well as Welfare Reform; Council Tax Benefit & Business Rates localisation; Declaration of Members Interests; Local Government Finance; Health Reforms; the economic health of the Borough; Changes to School allocations and Treasury Management. * 11 Policy Watch briefings for members/managers produced in 12/13. * Communications Strategy for health reforms developed * Welfare reform and Council's approach outlined on SBC website and in Outlook.	✅			

Nb The current 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	16	
1213CRR04	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			

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

List of controls and associated assurances to ensure controls are working

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	**Current risk score** 8 (11)	

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	7
1213CRA0401	Produce a health check report for CMT	Jackie Groom; Joanna Ruffle	31-May-2012	**COMPLETE** Health Check Report was agreed at CMT on the 9th May 2012.	✅		
1213CRA0402	Refresh Corporate BCP and ensure embedded as part of service planning.	Jackie Groom; Joanna Ruffle	31-Oct-2012	The Corporate BCP will be completed by 20th December 2012. BCP features as Actions in Service Planning guidance.	⚠️		
1213CRA0403	Refresh Directorate BCP template	Jackie Groom; Joanna Ruffle	31-Oct-2012	**COMPLETE:**Minor changes to reflect a common corporate standard have been agreed across all plans. This will then be applied to the Corporate BCP which will be refreshed to match those guidelines and complement the Council's Emergency Plan.	✅		
1213CRA0404	Set up BCP leads working group to routinely learn lessons from any incidents.	Jackie Groom; Joanna Ruffle	29-Jun-2012	**COMPLETE:** The BCP leads group has clear terms of reference in place, meets on a routine basis and shares lessons learnt from any BCP incident.	✅		

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	
1213CRR 05	Risk that the impact of new legislation & Government policy changes, in particular the Local Government Finance Bill (localisation of CTB & BR) welfare reform & local government financial settlement will have a significant impact on the Council's finances	Sally Holland	Strategic	Financial			Impact / Likelihood grid

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

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	
1213CRA05 01	Senior managers to identify the impact of Government legislation and activity on their service area to support future budget planning and inclusion in revised MTFS.	Joe Chesterton	31-Mar-2013	MFTP has been continually reviewed since July to reflect Local Government Finance changes.	✅			
1213CRA05 02	Undertake financial planning for years 13/14 and 14/15 to deliver savings and prepare for anticipated impact of Government activity to enable for the updating of the MTFS.	Joe Chesterton	31-Jan-2013	Savings proposals considered and approved by Executive Briefing in November for budget process 2013/14.	✅			Impact / Likelihood grid
1213CRA05 03	Close working with system providers to ensure new regulations for Council Tax Local Scheme can be customised to the borough's requirements and can work as required.	Joe Chesterton; Veronica Dewsbury	31-Mar-2013	Working closely with the suppliers, software has been developed which will be supplied and tested in January. Testing will be in liaison with Audit.	✅			

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

1213CRA0504	Use benefit modelling software to assess the impact and make informed decisions in relation to the impending 10% cut in Council Tax benefit allocation from April 2013	Joe Chesterton; Veronica Dewsbury	31-Mar-2013	Modelling has been continually undertaken and is being used in the creation of the new scheme. The proposed final scheme was agreed by Cabinet on 16.11.12 and full Council on 13.12.12.	✅			
1213CRA0505	Respond to release of indicative allocations (including 'tariffs and top ups') in relation to Business Rates for 13/14 and 14/15.	Joe Chesterton	30-Nov-2012	Responded to Government technical paper consultation as part of a whole Essex response.	✅			
1213CRA0506	Analyse Provisional Local Government Settlement in early December to ensure alignment with MTFS and identify necessary action where possible	Joe Chesterton	31-Dec-2012	Medium Term Financial Plan continually under review pending settlement announcement in December.	✅			
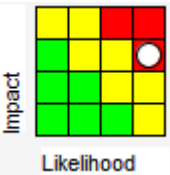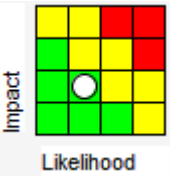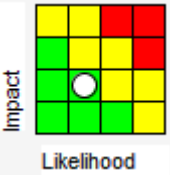
Risk Title	6. Impact of Health Service reforms

Stage 1 - Risk without controls (Inherent risk)

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

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

List of controls and associated assurances to ensure controls are working

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

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5	
1213CRA06 01	Ensure there is an understood and agreed (PCT/Council) set of governance arrangements for how the local public health system will operate during 2012/13 in readiness for the statutory transfer in 2013/14.	Rob Tinlin	31-Aug-2012	In readiness for April 2013 transfer a working group has been set up to look at health intelligence, health resilience and emergency planning arrangements. A separate working group has been set up to look at IT requirements and implications ready for transfer.	✅			
1213CRA06 02	Seek to maximise resources allocated to Southend in relation to carrying out health related functions, for future years	Andrea Atherton	30-Sep-2012	A series of submission have been made to the Department of Health Transition team highlighting where the baseline spend allocation needs to be amended. The Council is	✅			

Nb The current score from the last reported Corporate Risk Register is shown in brackets.
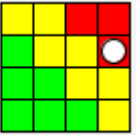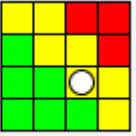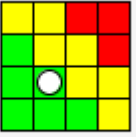
				currently assessing the outcome of the public health funding allocation on 19 December.			
1213CRA06 03	Develop the Joint Strategic Needs Assessment to inform and support the work of the Health and Wellbeing Board and Clinical Commissioning Group/s (CCGs), including developing the borough Health & Wellbeing Strategy.	Andrea Atherton; Sue Cook; Simon Leftley	31-May-2012	The draft Joint Health and Wellbeing Strategy (JHWS) is out for full consultation until 31st December 2012. The draft was presented to Community Services Scrutiny on 27th November as part of the consultation. Final version to be signed off by the Shadow Health and Wellbeing Board in January before going to full Council for agreement.	✅		
1213CRA06 04	Monitor and manage progress of Public Health Transition plans, maintaining a positive direction of travel, ensuring milestones are met and that transfer is in line with Department of Health expectations.	Andrea Atherton	31-Mar-2013	Milestones are monitored at South Essex PCT transition board as well as the Council's Health Transition Board. All milestones are currently being met. A Public Health Transition self-assessment was submitted to the LGA on 10 October 2012.	✅		
1213CRA06 05	Ensure arrangements are in place for the successful handover of all agreed health and social care related contracts – addressing issues of resourcing contractual obligations and indemnity issues are identified for contracts.	Andrea Atherton; Sue Cook; Simon Leftley	31-Mar-2013	A contract subgroup of the Southend Council Public Health Transition Working Group has been established to take this work forward. Also linking with Essex County Council on aspects of this work	✅		
1213CRA06 06	Manage the transfer of commissioning arrangements for public health functions, including the mandated and essential services outlined in the 'Healthy Lives, Healthy People' (Government public health strategy) that will transfer to the council.	Andrea Atherton; Sue Cook; Simon Leftley	31-Mar-2013	Discussions are ongoing with the Council's procurement team as members of the contract sub-group of Health Transition Board	✅		
1213CRA06 07	Ensure joint arrangements for commissioning of on-going work for Adult and Children's services maintain current service provision and do not result in financial loss to the Council.	Andrea Atherton; Sue Cook; Simon Leftley	31-Mar-2013	In relation to drug & alcohol services the DAAT is working closely with the Community Safety Priority Leadership Group, Health & Wellbeing Board, Adult Social Care services and Children & Learning to manage the transition of these services and contracts into Public Health. At this stage the risk is that insufficient funds will transfer to fund all existing Public Health contracts.	✅		
1213CRA06 08	Ensure, with the PCT, that robust arrangements are in place for key public health functions during the transition year, specifically health	Andrea Atherton	31-Mar-2013	The South Essex PCT emergency planning manager will continue to provide support to the Southend Public Health Team during the transition year. The screening lead is a	✅		

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

	protection and emergency planning and resilience functions and screening.			member of the Southend Public Health Team. Details of the exact local Public Health England functions are still to be determined. Arrangements will be reviewed by the Health Transition Board.					
1213CRA06 09	Develop a transitional staffing plan for Public Health	Andrea Atherton; Joanna Ruffle	31-Mar-2013	Southend Public Health Team are co-located with Southend Borough Council within the Civic Centre. TUPE transfer consultation are currently underway and due to finish by 27 December.	✅				
1213CRA06 10	Ensure there is a framework that considers relationships with and between the Health and Wellbeing Board, CCGs and the NHS Commissioning Board, Health Watch and local professional networks as well as staff, residents and key stakeholders	Andrea Atherton; Joanna Ruffle	31-Mar-2013	Communication Strategy agreed with Southend Council Public Health Transition Board - implementation from October 2012. Joint Health and Wellbeing event held for Southend, Essex and Thurrock's shadow Health and Wellbeing Boards on 25th September 2012 to discuss areas common interest. Positive feedback from the event and a commitment for all three boards to hold similar events in the future for key issues/policy developments.	✅				

Nb The current score from the last reported Corporate Risk Register is shown in brackets.   11

Risk Title	7. Information Management						

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	15	
1213CRR07	Failure of the Council to embed robust information management systems into Council services resulting in a significant number of data breaches impacting on the Council's reputation	Sally Holland	Strategic	Compliance			

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

List of controls and associated assurances to ensure controls are working

	Current risk score	5 (8)
1.Control - Data Protection Policy, FOI Policy, ICT Strategy, IT Security Policy, Disposal Policy, Privacy Versus Sharing Policy, Roles & responsibilities of data co-ordinators, IT policy - acceptable use for remote workers, IT policy - code of practice - portable computer media, IT policy - code of practice internet and electronic mail - **Assurance** - Covered on the induction programme (including signing up to the policies by manager and employee). Policies published on the intranet and staff are informed of updates via e-mail **2.Control –** Overarching Information Sharing Protocol in place for Southend Partners to enable sharing of data to support service delivery and meet legal requirements. **Assurance** - Information Sharing Protocol **3.Control -** Encryption for removable devices in place – **Assurance –** Council removable devises **4.Control** - Encryption of Council laptops in place – **Assurance –** Council laptops **5.Control** - Data Breach Management Procedure documented and in place. **Assurance** Records kept on breaches of data losses and mitigation taken		

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5
1213CRA0701	Establish a review group for overseeing the work.	John Williams	01-Apr-2012	**COMPLETE** Review group in place - chaired by CD-SS Sally Holland.	✓		
1213CRA0702	Establish a working group to prepare for the ICO Audit on November 17th	John Williams	01-Apr-2012	**COMPLETE** Working Group in place and chaired by HLDS - John Williams	✓		
1213CRA0703	Set terms of reference for the working and review group.	Jackie Groom; John Williams	30-Apr-2012	**COMPLETE** Terms of reference set and reporting mechanisms in place.	✓		
1213CRA0704	Prepare a work plan	Jackie Groom; John Williams	30-Apr-2012	**COMPLETE** Work Plan in place.	✓		
1213CRA0705	Implement an awareness campaign for staff	Jackie Groom; John Williams	31-May-2012	**COMPLETE** Awareness campaign in place and plan being followed.	✓		
1213CRA0706	Complete the actions on the action plan for a robust response to the audit	Jackie Groom; John Williams	31-Dec-2012	ICO Audit completed with a positive verbal outcome. Delivery date of the formal written report from the ICO Auditors has been put back by them until December.	✓		

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

Risk Title	8. Regeneration

Stage 1 - Risk without controls (Inherent risk)

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

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

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

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5	
1213CRA0801	Identification of opportunities stemming from new government funding streams and initiatives	Anita Thornberry	31-Mar-2013	Gap-funding from the Portas Pilot programme, of a value of £10k, has been received by Southend Borough Council. The LEP Transport group prioritisation continues to highlight Southend in a positive light and continues to be advanced. The bid to the Technology Strategy Board was unsuccessful and so the 2nd phase bid has not been submitted. A bid to the North Sea Commission for a Food Tourism package has been submitted. The Council has participated in an ERDF bid by Anglia Ruskin University to provide business support to MedTech businesses, which has been submitted. Southend has been asked to bid for the 2nd round of City Deals, which if successful would see Government provide additional freedoms & flexibilities to help promote economic growth locally. The bid is due to be submitted by 15th January 2013.	✔			

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

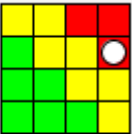|								
1213CRA08 02	Work in partnership with the private sector to provide opportunities to bring forward regeneration projects of difficult sites and to lever in private investment.	Anita Thornberry	31-Mar-2013	Work continues with the private sector around a number of potential sites including the Airport Business Park – the sites have long lead-in times for completion of agreements.	✅			
1213CRA08 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-2013	Progress is continuing on the Council's suite of planning documents. The Joint committee between SBC and Rochford Council has met and agreed the consultation drafts for submission. The JAAP is currently being taken through the relevant approval process and joint consultation is expected to take place between February and April 2013.	✅			
1213CRA08 04	Continued incremental development of Southend's transport infrastructure, including through the Local Sustainable Transport Fund, Better Bus Area fund and investment in Southend's cycling network.	Peter Geraghty	31-Mar-2013	The Council has been successful in securing funding from the Better Bus Area Bid. Scrutiny and Cabinet are considering proposals to bring forward junction improvements on the A127 and will be seeking funding via the LEP and Local Transport Board to support them.	✅			
1213CRA08 05	Develop the Strategic Housing Plan, including plans to use the HRA for future housing investment	Jacqui Lansley	30-Sep-2012	Work has commended in conjunction with South Essex Homes and Accountancy. Good progress is being made. A report is being prepared for members consideration in the New Year.	✅			

Risk Title	9. Contractor Insolvency

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	12	
1213CRR09	Risk that Contractor insolvency could impact on Council Services resulting in a loss of service and increased costs for the Council in delivering replacement services.	Simon Leftley	Strategic	Service Provision			

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

List of controls and associated assurances to ensure controls are working	Current risk score	8 (12)	
1. Control – Pre-contract award checks to ensure suitable contingency and financial recovery arrangements are in place in the event of contractor insolvency. **Assurance:** Pre-contract award check list(?) **2. Control -** Contract management liaison meetings to assess financial viability of the contract and other key suppliers – **Assurance:** Meeting minutes **3. Control -** Monitoring of contractor payment process for signs of financial difficulties. **Assurance:** Financial monitoring reports. **4. Control -** Obtainregular audited management accounts of contractors and undertake regular financial due diligence – **Assurance:** Audited accounts			

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5	
1213CRA0901	Review current contracts and contract management arrangements to assess whether suitable contingency arrangements are in place (with priority given to 'higher risk' contracts).	Simon Leftley	30-Sep-2012	Processes in place to address the action include: 1. All contract risks are identified via the options appraisals and mitigation strategies. 2. Financial checks using Experian are conducted prior to signing of any contracts with successful bidders. 3. Ensuring that service areas have allocated Contract Managers for high risk/high value contracts and establish an approach for contract monitoring and review 4. The Corporate Procurement Unit has developed an insolvency guidance and has the skills for dealing with contract or supplier failure 5. Embedding of the Category Management approach to create a more robust platform for enhanced contract management and supplier performance.	✅			

1213CRA09 02	Develop a contractor insolvency guide, to include early warning signals and a standard contingency plan, to assist contract managers in planning for potential insolvency and enable outstanding contract works to be carried out.	Elizabeth Stavreski	31-Jul-2012	**Completed** - Contractor Insolvency Guidance completed and being distributed to Contract managers.	✅				
1213CRA09 03	Undertake training for contract managers that addresses contractor insolvency.	Elizabeth Stavreski	31-Jul-2012	**Completed** - Contract Management Training held 17 April covering issues of risk and contractor performance and insolvency	✅				
1213CRA09 04	Review the contractor insolvency checklist to be used prior to drafting all contracts	Elizabeth Stavreski	31-Jul-2012	**Completed** - The contractor insolvency checklist reviewed as part of the development of the contractor Insolvency Guide.	✅				

Risk Title	10. Police and Crime Commissioner

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	15	
1213CRR10	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			

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

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

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	5	
1213CRA1001	Task & Finish Group to prepare appropriate information and intelligence on the borough that will feed into and help shape the PCCs 5 year Plan.	Lysanne Eddy; Joanna Ruffle	31-Aug-2012	**COMPLETE:** Task and Finish Group established.	✅			
1213CRA1002	Undertake an assessment of current CSP funding streams in relation to the potential impact of the introduction of PCC (including funding streams for drugs and alcohol)	Simon Ford; Dipti Patel	31-Aug-2012	Prospectus and PCC presentations completed. Work will now focus on engagement with incoming PCC.	✅			
1213CRA1003	Undertake an assessment of community safety related contracts in terms of potential loss of	Simon Ford; Dipti Patel	31-Aug-2012	A paper is to be presented at the next Southend CSP meeting detailing the posts and projects that are now at risk from withdrawal	✅			

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

	funding/service			of Home Office funding as a result of PCC introduction.					
1213CRA10 04	Monitor declared candidates programmes and provide opportunities for PCC candidates to understand the needs and priorities of Southend.	Lysanne Eddy; Joanna Ruffle	30-Nov-2012	**COMPLETED:** PCC elections have held on 15 November, with successful candidate taking office.	✅				
1213CRA10 05	Ensure the Council's nominated member participates in the Police and Crime Panel (PCP), when established	Rob Tinlin	30-Nov-2012	**Complete** Southend-on-Sea BC nominated member has been identified as Cllr Ian Robertson. The shadow PCP has been meeting and the first meeting of the formally constituted PCP will be in the New Year	✅				
1213CRA10 06	Ensure councillors, staff and partners understand the new roles of PCC, PCP, CSP and Scrutiny Committees in promoting community safety in the borough.	Rob Tinlin	30-Nov-2012	Successful candidate now in office. Leaders Advisory Group to invite Nicholas Alston to the meeting in March 2013 to discuss key priorities for Southend and ongoing engagement.	✅				

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