

# Southend-on-Sea Borough Council

Agenda  
Item No.

Report of Chief Executive and Town Clerk  
To

**Audit Committee**

On

**17<sup>th</sup> January 2018**

Report prepared by:  
Louisa Bowen, Senior Business Management Advisor

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**2017-18 Corporate Risk Register**

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**Executive Councillor – Cllr Lamb**

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## **1 Purpose of Report**

1.1 To consider the 2017/18 Corporate Risk Register and the Quarter 3 updates.

## **2 Recommendations**

**3 That Audit Committee considers the 2017/18 Corporate Risk Register and the Quarter 3 updates outlined in Appendix 1.**

### **3.1 Corporate Risk Register 2017/18**

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 Updates on the Corporate Risk Register are reported to, and considered by, Corporate Management Team (CMT) quarterly and are presented to Audit Committee every 6 months.

3.1.3 Since the last Audit Committee in June, the following amendments have been made:

1. New risk actions for Corporate Risk 6 (Alternative Service Delivery Models) have been added:
  - Implement Governance arrangements for alternative service delivery models.
  - Explore alternative Housing Investment Company (HIC)
2. There have been three management amendments to the following risk actions:
  - Corporate Risk 5 (Local Infrastructure) – Actions 1- 4 are now managed by Neil Hoskins.
  - Corporate Risk 8 (Contract Management) – Action 2 is now managed by Mark Murphy.
  - Corporate Risk 10 (Flooding/Cliff Slip) – Actions 1- 4 are now managed by Milaila Bentz.
  - Corporate Risk 15 (Major Developments) – Action 1 is now managed by Emma Cooney.

3. There have also been amendments to risk scoring for the following:
- Corporate Risk 1 (Budget for 2018-21) the Current Risk Score has been changed from 9 to 4.
  - Corporate Risk 9 (Secondary School Places) the Current Risk Score has been changed from 6 to 4.
  - Corporate Risk 14 (Health Lifestyles) the Current Risk Score has been changed from 6 to 4.

3.1.4 CMT has held a strategic discussion on the Council's approach to risk and undertaken a review of the current register, pending a potentially more substantial review in the new financial year. The review will be undertaken in the context of the development of the Southend 2050 vision, and an associated revised approach to the Council's business planning framework and work to further embed risk management across the organisation.

3.1.5 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.

3.1.6 Deputy Chief Executives and 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 CMT 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** – Risk Matrix

**Appendix 2** - 2017/18 Corporate Risk Register Quarter 3 updates.

# Corporate Assurance Risk Register Update 3

## 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

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	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			


# 2017-18 Corporate Risk Register

Generated on: 04 January 2018



Risk Title	<b>1. Budget for 2018-21</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood
1718CRR01	Risk that the scale of predicted funding reductions for 2018-21 budgets will result in significant adverse impact on council services	Joe Chesterton	Strategic	Financial/Reputational	16		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working							
<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 Directors <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>					Current risk score	4* ↓ (9)	Impact 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 Likelihood
1718CRA0101	Budget Timeline outlining key milestones to be agreed with the Administration and Senior Leadership Team.	Joe Chesterton	30-Apr-2017	Quarter 3 - Timeline in place with key deadlines.		4	
1718CRA0101	Continually monitor and assess government's position on grant to be distributed to Local Authorities and other Government announcements that impact funding	Joe Chesterton	18-Mar-2018	Quarter 3 - Director of Finance and Resources horizon scanning all Government announcements (including the latest Autumn Budget Statement and Local Government Settlement).			
1718CRA0103	All Member briefing session on local government finance	Joe Chesterton	28-Feb-2018	Quarter 3 - Cabinet discussion was held in April and in July to confirm the position that no session would be held.			

\*The Figure in brackets represents current risk score from previous report – June 2017 where there has been a change.


1718CRA01 04	Continual monitoring, risk assessment and reporting of progress on options to meet the saving targets required to set balanced budgets in 2018/19 to 2020/21	Joe Chesterton	28-Feb-2018	Quarter 3 - Saving proposals produced and have been formatted in to the Budget setting for 2018/19.				
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\*The Figure in brackets represents current risk score from previous report – June 2017 where there has been a change.

Risk Title	<b>2. Recruiting and retaining staff</b>					
Stage 1 - Risk without controls (Inherent risk)						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood
1718CRR02	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.	Joanna Ruffle	Strategic	Service Provision	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><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 restructure 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>						
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
1718CRA0201	Continue to embed Talent Management Strategy (including apprenticeships, graduate traineeships, graduate sponsorships and career progression)	Joanna Ruffle	31-Mar-2018	Quarter 3 - Work continues through 2017/18, see the actions below as these link in to this specific action.	✓	2 Impact Likelihood
1718CRA0202	Participate in regional Children's Social Care Workforce project	Joanna Ruffle	31-Mar-2018	Quarter 3 - This project continues in to second year, following approval at the East of England Chief Executive Forum which took place in the Summer.	✓	
1718CRA0203	Participate in regional Planners Workforce project	Peter Geraghty	31-Mar-2018	Quarter 3 - Continue to engage with colleagues regionally and looking at other options including public interest company.	✓	
1718CRA0204	Develop a framework contract to deliver professional/interim resources to supplement the Reed contract	Joanna Ruffle	31-Mar-2018	Quarter 3- The contract has been let, developed and implemented and is supporting the recruitment of "had to fill posts". Additional resource had been identified across HR services and the People Department which remains on-going. This resource is dedicated to the production and analysis of recruitment/vacancy data and is targeting recruitment in front line services.	✓	

\*The Figure in brackets represents current risk score from previous report – June 2017 where there has been a change.



1718CRA0205	Role of Resourcing Manager agreed and funded to drive talent management initiatives across the organisation	Joanna Ruffle	31-Mar-2018	Quarter 3 - The Resourcing Manager is appointed; the project plan and talent management initiatives are currently underway and are currently focusing on hard to fill posts in Children's Social work teams and the Planning Department. Work is currently underway to re-let the contracts for recruitment services for the Council.				
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Risk Title	3. Key External Challenges						
<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	
1718CRR03	Risk that the impact of, or a failure to take advantage of, a new Government agenda, changes to senior personnel and the lead up to Brexit may hamper the ability of the Council to achieve key priorities.	Alison Griffin	Strategic	Reputation	12		
<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 ↔	Impact Likelihood 
<p>1. <b>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</p> <p>2. <b>Control:</b> Corporate Management Team - oversight of Key Projects <b>Assurance:</b> Minutes/ Project Management Reports to CMT</p> <p>3. <b>Control:</b> Success For All Children Group <b>Assurance:</b> Children and Young People Plan/Reports/Minutes</p> <p>4. <b>Control:</b> Health and Wellbeing Board <b>Assurance:</b> Joint Health and Wellbeing Strategy/Report/Minutes</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	Impact Likelihood 
1718CRA0301	Maintaining, renewing and building relationships with key partners	Alison Griffin	31-Mar-2018	Quarter 3 - SBC's new Chief Executive (Alison Griffin) has been to developing effective working relationships across a wide range of partners – both through formal partnership bodies and through an extensive range of more informal meetings, visits and walkabouts. This has included contributing to discussions on the emerging South Essex 2050 vision and joint work with other SE authorities to secure infrastructure investment and growth to the economic corridor, which will help to frame the developing vision for the borough. There has been extensive partnership working with Health to challenge and strengthen the Sustainability and Transformation Plans (STP) and the next focus will see a concerted effort on localities and attracting NHS funding to local provision.	✓	4	
1718CRA0302	Continue to undertake horizon scanning of key developments in relation to new government legislation, policy and Brexit negotiations	Alison Griffin	31-Mar-2018	Quarter 3 - On-going monitoring of policy developments and initiatives, particularly those that will have financial implications, are highlighted as part of the budget process, via 'Policy Watch' and other briefings, and on-going monitoring by senior officers. Using LGA	✓		

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				and SOLACE briefing to maintain watching brief over Brexit opportunities and implications.			
1718CRA0303	Work with Mid and South Essex health and social care partners to develop a multi-year Sustainability and Transformation Plan (STP)	Simon Leftley	31-Mar-2018	Quarter 3 - The Council has engaged throughout the process of Consultation on the STP. The Public Consultation Business case went out to the Public on the 30th November 2017 and will run to the 9th March 2018. The Council will input to the Consultation & continue to monitor proposal for future services	✓		
1718CRA0304	Ensure the on-going sustainability of the BEST (Business Essex Southend & Thurrock) Growth Hub within the LEP umbrella through delivery of South East Business Boast and planning for longer term funding and operation.	Andrew Lewis	31-Mar-2018	Quarter 3 - 2017 Autumn budget statement reiterated strong government commitment to supporting the growth hubs – but still no confirmation of funding measures. ERDF funds have been investigated as a way to support staff if no funding is confirmed.	✓		
1718CRA0305	Continue to make the case for Growth Fund Investment in Southend by working with the South Essex Growth Partnership and SELEP.	Andrew Lewis	31-Mar-2018	Quarter 3 - ABP outline business case approved at September SELEP Accountability board which pre-approves some phase 2 funding prior to approval of full business case in 2018. SCATs business case also approved. Principle of change of focus for town centre non-transport funding to forum 2 also agreed. Full business case to be considered at February Accountability Board.	✓		

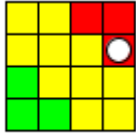
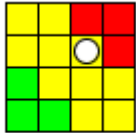
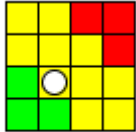
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Risk Title	<b>4. Housing Policy</b>							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1718CRR04	Risk that changes to government housing policy (such as selling off high value council properties) and increasing levels of housing need (notably homelessness) results in further significant pressure on council budgets.	Simon Leftley	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	
1. <b>Control:</b> Core Strategy and Local Development Plan in place <b>Assurance:</b> Strategy documents 2. <b>Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes 3. <b>Control:</b> Housing Strategy <b>Assurance:</b> Documents					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
1718CRR0401	Review and update Housing Strategy in light of the Thames Gateway South Essex Strategic Market Assessment and housing policy announcements.	Sharon Houlden	31-Mar-2018	Quarter 3 - Following the Review of Strategic Housing, a report and framework have been produced to assist the production of the new Housing Strategy and an initial report and stakeholder workshop has been scheduled. A summary document for the Strategic Housing Market Assessment (SHMA) is also being produced. The Housing Strategy has been drafted for Cabinet January 2018		6		
1718CRR0402	Work in partnership to develop affordable housing	Sharon Houlden	31-Mar-2018	Quarter 3 - Through regular liaison meetings, Council continues to work closely with Registered Providers and developers to maximise the number of affordable homes built in the borough. New approaches of developing affordable housing will be explored in the update Housing Strategy.				
1718CRR0403	Work collaboratively to develop a coordinated approach to homelessness prevention	Sharon Houlden	31-Mar-2018	Quarter 3 - A report was commissioned to look at the positioning of the Council's strategic housing and homelessness functions. Some of the recommendations of the report will feed in to the on-going work on the refresh of the Homelessness Prevention Strategy. A report re the development of an overarching Housing				

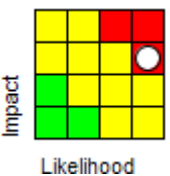
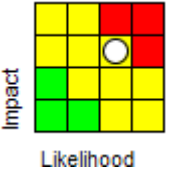

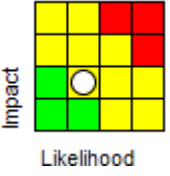
\*The Figure in brackets represents current risk score from previous report – June 2017 where there has been a change.

				<p>Strategy will go forward to Cabinet in January 2018.</p> <p>The Community Housing Manager is also heading up a working group looking at the provision of Soup Kitchens and how these can work more effectively in engaging rough sleepers with services. An update on this work has been provided to CMT.</p> <p>The Community Housing Manager has also met with representatives from SHAN, Street Pastors, Winter Night Shelters and HARP regarding engagement with rough sleepers and exploring the possibilities of a year round Church Night Shelter model.</p>				
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\*The Figure in brackets represents current risk score from previous report – June 2017 where there has been a change.

Risk Title	<b>5. Local Infrastructure</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1718CRR05	Risk that failure to maintain levels of access to regeneration funding opportunities will significantly restrict future infrastructure improvements in the borough	Andrew Lewis	Strategic	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		
1. <b>Control:</b> Highway/Footpath Assets Management inventory in place <b>Assurance:</b> Reports 2. <b>Control:</b> Monthly progress reported to DMT and senior managers <b>Assurance:</b> Reports/Minutes 3. <b>Control:</b> Regular reporting to Corporate Management Team <b>Assurance:</b> Reports/Minutes 4. <b>Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes					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	
1718CRA0501	Produce a Transport Asset Management Plan to support the maintenance and improvement of the roads, pavements and street furniture across the Borough	Neil Hoskins	31-Mar-2018	Quarter 3 - An all member drop in session and exhibition to explain the various work streams and the outcomes arranged for week commencing December 11th.	✓	4	 Likelihood
1718CRA0502	Continue to make the case for Growth Fund Investment in Southend by working with the South Essex Growth Partnership and SELEP.	Neil Hoskins	31-Mar-2018	Quarter 3 - As September - Business Case for Southend Central Area Transport Scheme (S-CATS) prepared and submitted to Independent Technical Evaluation (ITE). Value is for £2m and focusses on Phase 1 London Road. ASP Business Case submitted and currently being evaluated by ITE. Indications are positive.	✓		
1718CRA0503	Conduct detailed self-assessment to support Challenge Fund bid	Neil Hoskins	31-Mar-2018	Quarter 3 -NPIF bid successful. Design commencing March 18.	✓		
1718CRA0504	Complete Whole Government Account return (with Finance Dept)	Neil Hoskins	31-Mar-2018	Quarter 3 - As of September 2017. Whole Government Account return has been completed and agreed with finance.	✓		

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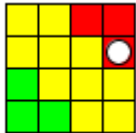
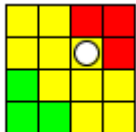

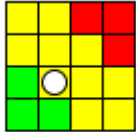


Risk Title	<b>6. Alternative service delivery models</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1718CRR06	Risk that failure to effectively manage (staffing, relationships, contracts) the transition to alternative service delivery models results in the organisation not meeting its statutory responsibilities to residents/customers	Simon Leftley; Andrew Lewis	Strategic	Financial	12		
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> Corporate Management Team <b>Assurance:</b> Reports/Meeting minutes</p> <p>2. <b>Control:</b> Changes to service delivery considered by Scrutiny/Cabinet/Council <b>Assurance:</b> Reports/Minutes.</p> <p>3. <b>Control:</b> Government Consultations register to record forthcoming changes in Government policy and potential legislation to enable potential implications to be considered. <b>Assurance:</b> Consultation register held on intranet.</p> <p>4. <b>Control:</b> Regular tracking of new legislation, government regulations and policy developments. <b>Assurance:</b> Production of Policy briefings and reports to Corporate Management Team.</p>					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	
1718CRA0601	Explore alternative delivery models for Adult Social Care services	Simon Leftley	31-Mar-2018	<p>Quarter 3 - The locality approach continues to grow across Southend. Following success in East Central, a West Central locality design team has now been created to identify the specific needs of this locality. It has been identified that while the locality approach continues to develop, an aligned presence to co-ordinate and support the localities is required. A Social Worker within the Transformation Team is acting as a conduit between health and social care working closely with service transformation and all areas in the system as we continue with the development of integrated MDT's across all 4 localities.</p> <p>A trial has commenced of a social worker being positioned directly in the Community Hub which is based in the Victoria Plaza shopping centre in Southend. The trial started 27th July and is being led by the Transformation Team</p>		4	

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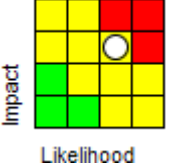
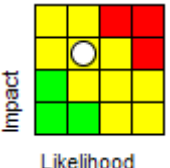
				<p>supported by the Adult Social Care Review team. The Community Hub projects are a space where residents of Southend can get support with a wide range of social issues. The hubs provide assistance with a range of social issues including personal finance and budgeting advice, housing, special educational needs, IT support, English language learning and more.</p> <p>The Transformation Team alongside the Integrated Commissioning Team have been working closely with the Carer's Hub in Southend to strengthen understanding around carer provision in Southend and how this impacts on our locality teams. We are building a cohort of social work practitioners to share knowledge and skills with the hub over the next few months to gauge the needs of Southend's carer population.</p>				
1718CRA0603	Implement the outcome of the Library Review in accordance with the delivery plan contained within the Library Development Strategy 2013 – 2028	Scott Dolling	31-Mar-2018	Quarter 3 - Leigh Library is last remaining project. Work has begun and completion has been rescheduled for 2018/19.				
1718CRR0604	Implement Governance arrangements for alternative service delivery models.	Joe Chesterton	31-Dec-2017	Quarter 3 - new Governance model agreed by Cabinet on 7th November, (subject to Council approvals on 14th December) This included the establishment of a Shareholder Board.				
1718CRR0605	Explore alternative Housing Investment Company (HIC)	Joe Chesterton	31-Mar-2018	Quarter 3 - Proposal for HIC agreed at June 2017 Cabinet, implementation plan in progress.				

\*The Figure in brackets represents current risk score from previous report – June 2017 where there has been a change.



Risk Title	<b>7. 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	
1718CRR07	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		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	Likelihood	
1. <b>Control:</b> Joint Executive Group (JEG). <b>Assurance:</b> Reports/Meeting Minutes. 2. <b>Control:</b> Health and Wellbeing Board. <b>Assurance:</b> Reports/Meeting Minutes. 3. <b>Control:</b> Locality Transformation Group. <b>Assurance:</b> Reports/Meeting Minutes. 4. <b>Control:</b> Corporate Delivery Board. <b>Assurance:</b> Reports/Meeting Minutes.					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	Impact	Likelihood
1718CRA0701	Ensure that the Health and Wellbeing Strategy is underpinned by relevant performance indicators	Simon Leftley	31-Mar-2018	Quarter 3 - The Health and Wellbeing (HWB) Strategy refresh 2017-2021 is currently in development and was agreed in Dec 2017. The focus of the refresh is to increase the levels of physical activity in the borough, to help improve the physical and mental health and well being of residents. A wider mapping exercise is in process to identify how other key health and well being issues are being strategically addressed and this will help to inform a revised suite of high level indicators, to give the HWB Board an overview of broader progress and challenges.		4		Likelihood
1718CRA0702	Work with Southend Clinical Commissioning Group (CCG) and partners to support Integrated Pioneer status	Simon Leftley	31-Mar-2018	Quarter 3 - The Better Care Fund (BCF) plan for 17/19 submitted in Sep 2017 and approved Nov 2017. Improved BCF plan (relating to transfers of care) approved Oct 2017. Relationships continue to grow and develop and are aligned to the Locality approach.				
1718CRA0703	Better Care Fund (BCF)	Simon Leftley	31-Mar-2018	Quarter 3 - Better Care Fund plan for 17/19 approved by NHSE in November 2017. Plan signed off by HWB prior to submission. S75 agreement due for agreement by mid December 2017. Plan in place for period 2017/19.				

\*The Figure in brackets represents current risk score from previous report – June 2017 where there has been a change.

Risk Title	8. Contract Management					
<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
1718CRR08	Risk that failure to embed effective contract management, combined with contract price inflation, across the authority will result in a loss of value for money, saving opportunities and/or quality of service provision.	Simon Leftley	Strategic	Financial	9	
<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
<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/					6 ↔	
<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
1718CRA0801	Governance and Monitoring of highway contracts to ensure proper management including new processes and workflows to support the management of these contract	Neil Hoskins	31-Mar-2018	Quarter 3 - Work on-going. Symology work progressing well. Sharon Griffiths producing a programme for all anticipated works, including street works and licensing. Richard Backhouse now managing Lot 1, Justin Styles managing Lots 2 and 5.	✓	4 Impact Likelihood
1718CRA0802	Employ where appropriate professional cost advice on all major projects and update and refresh cost plans on regular basis.	Mark Murphy	31-Mar-2018	Quarter 3 - Utilising in house expertise and conducting early contractor involvement. Call-off framework for cost consultation advice being utilised where required. Project variations reported to Place Department Capital Board.	✓	
1718CRA0803	Deliver a programme of contract management training and support across the organisation.	Lee White	31-Mar-2018	Quarter 3 - This is complete - there may be future sessions but they will be new actions, not part of this one.	✓	

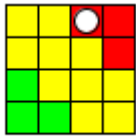
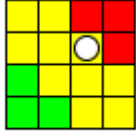
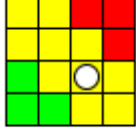
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Risk Title	<b>9. Secondary school places</b>					
Stage 1 - Risk without controls (Inherent risk)						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood
1718CRR09	Risk that failure to provide the required number of school places at secondary schools for 2018 and 2019 will lead to significant reputational and legal damage for the council.	Simon Leftley	Strategic	Reputational and Legal	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
<b>1. Control:</b> School Places working party <b>Assurance:</b> minutes <b>2. Control:</b> Archive of cabinet and Council decisions <b>Assurance:</b> minutes <b>3. Control:</b> Correspondence between stakeholders, schools, Academy trusts, Local MPs, Ministers <b>Assurance:</b> correspondence <b>4. Control:</b> Weekly report on progress from Learning to Executive Councillor <b>Assurance:</b> note of actions					4* ↓ (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
1718CRA0901	Establish a secondary places project Board to monitor progress in actions and outcomes for both 18 and 19 places	Brin Martin	31-Mar-2018	Quarter 3 - Following decisions at Cabinet, a new operational project board will now be established to oversee and monitor the delivery of the basic need for secondary places.	✓	4 Impact Likelihood 
1718CRA0902	Where requires escalate lack of progress directly with Cabinet, the regional Schools Commissioner, Local MPs, press and the DfE	Brin Martin	31-Mar-2018	Quarter 3 - With the change from free school to expansion, the requirement to ensure academies meet the expansion agreed, within budget and within time remains. Escalation will continue in the same way with the RSC when and if required.	✓	
1718CRA0903	Develop a secondary school places strategy to cater for the increasing pupil numbers.	Brin Martin	31-Mar-2018	Quarter 3 - The original plans have now been amended to an expansion model. This will be taken through school places working party in the new year, and will in essence for the medium term strategy.	✓	
1718CRA0904	At the earliest opportunity, if wave 13 does not materialise, lobby Local MP and Secretary of State	Brin Martin	31-Mar-2018	Quarter 3 - No longer appropriate - Close this action	✓	


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Risk Title	<b>10. Flooding / Cliff Slip</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1718CRR10	Risk that surface water flooding, breach of sea defences and/or seafront cliff movement, will result in damage to property and infrastructure as well as significant disruption.	Andrew Lewis	Strategic	Reputational, Reputational	12		 Impact Likelihood
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> Flooding Reports considered by Cabinet <b>Assurance:</b> Reports/Meeting minutes. <b>2. Control:</b> Gully cleaning programme in place <b>Assurance:</b> Programme documents. <b>3. Control:</b> Regular monitoring of Met Office weather alerts <b>Assurance:</b> Alerts/Reports <b>4. Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes					9	↔	 Impact 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	
1718CRA1001	Ensure compliance with the requirements of the Floods and water Management Act 2010 with regard to Sustainable Drainage Systems (SuDS).	Milaila Bentz	31-Mar-2018	Quarter 3 - Flow attenuation and SuDS to be incorporated in several projects. Working on a design for the High Street.	✔	6	 Impact Likelihood
1718CRA1002	Jointly investigate with Anglia Water Services, possible improvements to drainage system.	Milaila Bentz	31-Mar-2018	Quarter 3 - As September - Draft proposals for Seaway Car-Park and Marine Parade identified. AECOM engineer to liaise with Seaway developer to agree locations.	✔		
1718CRA1003	Development of a Cliff Slip Strategy based on a risk minimisation approach	Milaila Bentz	31-Mar-2018	Quarter 3 - Invitation to Tender about to be issued.	⚠		
1718CRA1004	Progression of Sea Defence Scheme at Shoebury Common - consultation options	Milaila Bentz	31-Mar-2018	Quarter 3 - Public consultation now planned for January Strategic Outline Case presented in draft, Cabinet report expected in March 2018.	✔		
1718CRA1005	Shoreline Management Strategy - consultation	Milaila Bentz	31-Mar-2018	Quarter 3 - As September -Public consultation launched on 18/09/17 and public exhibitions held 09/11 and 12/09/17. Background studies and documents by Mott MacDonald in preparation	✔		

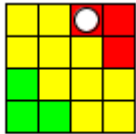
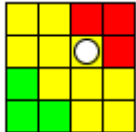

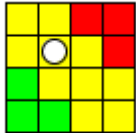


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Risk Title	<b>11. Information Management</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1718CRR11	Risk that a failure to ensure the Council has a coherent and comprehensive approach to Information Management, and is sufficiently prepared for the General Data Protection Regulation (GDPR), will result in significant financial and reputational damage to	Joanna Ruffle	Strategic	Reputational, Financial	12		 Impact Likelihood
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> Senior Information Risk Owner - <b>Assurance:</b> Annual SIRO report to Cabinet <b>2. Control:</b> Annual IG Toolkit assessment – <b>Assurance:</b> Report from independent assessment. <b>3. Control:</b> Regular reports to Corporate Management Team. <b>Assurance:</b> Reports/Minutes <b>4. Control:</b> Corporate Information Governance Group: <b>Assurance:</b> Reports/Minutes					9	↔	 Impact 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	
1718CRA1101	Reconstitute the Corporate Information Governance Group to oversee the Information Management Strategy Action Plan and act as project board for implementation of GDPR	Joanna Ruffle	31-Mar-2018	Quarter 3 - Meetings increased to monthly in order to oversee GDPR preparation. Performance reporting against information Management Strategy (IMS) implemented quarterly.	✓	6	 Impact Likelihood
1718CRA1102	Develop and implement a GDPR Project Plan	Lysanne Eddy	31-Mar-2018	Quarter 3 - External assessment completed and recommendations incorporated into 'Master Plan'. Fortnightly project meetings continue with departmental reps, with activity and reporting mapped against the Master Plan.	✓		
1718CRA1103	Ensure information management is a key part of the Council's transformation agenda.	Joanna Ruffle	31-Mar-2018	Quarter 3 - A partner (31-Ten) appointed, to undertake a transformation diagnostic report. 31-Ten have completed the diagnostic and reported back, this report went to CMT in October. An action planning day regarding the next steps was held on 8th Dec.	✓		
1718CRA1104	Ensure the Council's cyber security arrangements are up to date and robust enough to withstand attacks.	Nick Corrigan	31-Mar-2018	Quarter 3 - Issued Cyber Awareness Training for Staff (and online videos). Completed Cyber Assessment Tender for Security partner – award and start additional work expected in Nov 17. Ongoing implementation of new	✓		

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				<p>security auditing toolkit. Completed link to National Cyber Unit for alerts and monitoring of Council network</p> <p><b>During November:</b></p> <ul style="list-style-type: none"> <li>• Cyber Security Testing across Essex underway. Test Phishing emails sent out w/c 7th Nov.</li> <li>• Test underway of new security auditing toolkit</li> <li>• Ransomware protection product out to tender currently</li> <li>• Cyber Security Partner discussions delayed. Award expected Jan 18.</li> <li>• Update Anti-Virus Software took place Nov 17 with roll-out over 2018</li> </ul>				
1718CRA1105	Review the Council's approach to the use and sharing of, information and data	Joanna Ruffle	31-Mar-2018	<p>Quarter 3 - Partner (31-Ten) have been appointed to undertake a transformation diagnostic; 31-Ten have completed this action and reported back to CMT in October, an action planning day held on 8th Dec.</p>				

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Risk Title	<b>12. Ofsted joint inspection</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1718CRR12	Risk that the actions and expected outcomes from the Children's Services Improvement Plan are not achieved within expected timescales, resulting in a failure to achieve a rating of 'Good' in future Ofsted inspection.	Simon Leftley	Strategic	Reputational	12		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working							
<p><b>1. Control:</b> Monitoring and updating of the Children Service's Improvement Plan by the CS Improvement Board. <b>Assurance:</b> Reports/minutes of CS Improvement Board meetings.</p> <p><b>2. Control:</b> Monitoring and updating of the Leadership Narrative Document for Children's services. <b>Assurance:</b> Report/Minutes of Children's Services Improvement Board meetings.</p> <p><b>3. Control:</b> Children's Service Improvement Board bi-monthly meetings <b>Assurance:</b> Report/Minutes.</p> <p><b>4. Control:</b> Children's Departmental Management Team. <b>Assurance:</b> Monthly Performance reports/ minutes of meetings.</p> <p><b>5. Control:</b> People Extended DMT <b>Assurance:</b> Reports to/notes from meetings.</p> <p><b>6. Control:</b> Local Safeguarding Children's Board (LSCB) to complement the children's service improvement plans <b>Assurance:</b> Reports/minutes.</p> <p><b>7. Control:</b> Improvement Board Independent Expert, advice and support. <b>Assurance:</b> Reports to John O'Loughlin, Simon Leftley and the Improvement Board</p>					Current risk score	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	
1718CRA1202	Develop and enhance the resourcing available to the Council's Children's Service, with the recruitment of additional social workers; the embedding the work of the recently appointed 'Practise Lead' to promote good practice and 'Participation Lead' to	John O'Loughlin	31-Mar-2018	Quarter 3 -Recruitment and retention continues to be an area of focus by senior management with weekly updates to the Director. The new practice lead post has now been recruited to and 0.3 of this post is dedicated to participation of children and young people. The role will bring together/coordinate the range of work in relation to participation. This is an area of focus in the Children's Services plan		6	 Likelihood
1718CRA1203	Implementation of the new social care management system, Liquid Logic, due to go live from April 2017	John O'Loughlin	31-Mar-2018	Quarter 3 - Liquid Logic (Children's & Early Help Systems) successfully went live on October 23rd and the go live date for Adults is May 2018.			
1718CRA1204	Embed the new Edge of Care Team, to support those children at risk of entering, or re-entering, the care system (particularly older children at	John O'Loughlin	31-Mar-2018	Quarter 3 - Edge of Care now have 32 open cases. These families have been referred via placement panel and through Early Help from the court and permanence team, Child			

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	risk from the breakdown of foster care placements.			<p>protection Team and Fostering.</p> <p>The increase in referrals has been noted within the last month as there has been a concerted effort to engage social workers and team managers in discussions about preparing families for Public Law Outline, Child Protection intervention or when planning placements and this has seen an improvement in early intervention from Edge of Care.</p> <p>It is being developed that all unborn children that require strategy meetings will be referred to Edge of Care to engage in forward planning before ICPC, Care Proceedings or LAC consideration to give families the opportunity to engage earlier.</p> <p>Edge of Care are also recording on Liquid Logic and within workbooks that will be uploaded to Liquid Logic. Quality Assurance systems are in place and monthly audits and a tracker of the entire caseload is embedded within the team's practice.</p>			
1718CRA1205	Implement and embed the Early Help Phase 2 programme, which, working in partnership with other care professionals will aim to improve the first contact service for vulnerable children.	John O'Loughlin	31-Mar-2018	<p>Quarter 3 - There is good progress with the implementation of the Early Help Phase 2 programme. The Single Front Door and First Contact team are now fully integrated and co-located in Civic 2. EWMHS, DWP and Family Mosaic also form part of this integration. Also discussions with Police and Health to strengthen the Early Help offer by co-location and joint working is happening now.</p> <p>There is on-going work with Partner Agencies and other services to work in joined up family approach, using consistent outcomes aligned to the Southend Outcome Plan.</p> <p>There are currently 9 services within Early Help and a new team (Adolescent Intervention Team) has now been formed. The Service Transformation Maturity Model toolkit and Action Plan have now been completed, and DCLG will be carrying out Spot-check inspection on 11th December 2018.</p>	✓		
1718CRA1207	Undertake a full budget and performance review of Children's Services to assess levels of resourcing against the demand for services.	Simon Leftley	31-Mar-2018	<p>Quarter 3 - The children's budget for 2018/19 will be set in accordance with the annual Council budget setting programme including investment bids and savings targeted through the department of people. There is recognition in CMT and the People Dept. of the</p>	✓		

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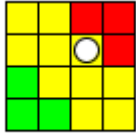
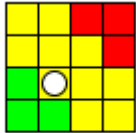
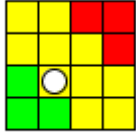


				<p>considerable in year financial pressures for Children Services. Service and practise improvement is continually targeted through the work of the OFSTED improvement programme, and it is still in scope for a longer term financial budget plan to be designed to accompany the service's future requirements. Note - This will need to be developed through the Children Transformation programme, whilst also considering feedback from the demand research project carried out by Research in Practice (RiP), and affordability of the service proposed</p>				
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Risk Title	<b>13. Waste Management</b>							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1718CRR13	Risk of contractor failing to meet contractual requirements to effectively manage waste contractual arrangements results in additional financial liability for the Council and loss of service quality.	Andrew Lewis	Strategic	Reputational, 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> Regular contract management meetings with suppliers <b>Assurance:</b> Meeting Minutes/Reports <b>2. Control:</b> Data set monitored by DMT and senior managers <b>Assurance:</b> Reports/Minutes <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
1718CRA1303	Ensure frontline waste collection, street cleansing and ancillary service contractor is performing to service outputs and that performance management is monitored to achieve service standards as specified within relevant contracts	Carl Robinson	31-Mar-2018	Quarter 3 - Performance management framework incorporated within the contract. This is being addressed with Veolia senior management to ensure contract compliance is adhered to in future contract years to ensure specification standards are met and Veolia fully comply with their bid submission. Appropriate performance deductions will be applied as and where necessary in accordance with the contract.		6		
1718CRA1304	Ensure SBC have access to waste disposal and treatment facilities that deliver value for money for the Council.	Carl Robinson	31-Mar-2018	Quarter 3 -SBC are continuing with negotiations with ECC to determine its options going forward. The MBT facility will continue to be used in the medium term where it demonstrates Value for Money to SBC and environmental benefits are derived from using the plant.				

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Risk Title	<b>14. Health Lifestyles</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1718CRR 14	Risk that continued pressure on the health system including Public Health funding results in a failure to adequately address lifestyle behaviours and reduce health inequalities.	Andrea Atherton	Strategic	Financial, Service Provision	9		 Likelihood
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> Health and Wellbeing Board. <b>Assurance:</b> Reports/Meeting Minutes. <b>2. Control:</b> Monthly data set monitored by DMT and senior managers: <b>Assurance:</b> Report/Minutes <b>3. Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes					4* ↓ (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	
17/18 PHA 10	Public Health Responsibility Deal	Andrea Atherton	31-Mar-2018	Quarter 3- First Wellbeing Champion network took place on the 11th October, Public Health are using insight gained at this event to further develop the offer of support to Southend businesses. Business engagement and support has continued with a wide range of businesses including eating establishments supported through Regulatory Services. Public Health are working with the transport team to engage local businesses with the South Essex Active Travel Programme.	🟢	4	 Likelihood
17/18 PHA 14	Healthy Lifestyle Service	Andrea Atherton	31-Mar-2018	Quarter 3- The service is still struggling to consistently reach its minimum Key Performance Indicator (KPI) for number of referrals to the service, to support this the provider has developed a remedial action plan including closer work with the Social Care , Single Point of Access (SPoA) as well as considering how closer working relationships, workforce development (including Making Every Contact Count) and promotion can further increase referrals into the service.	🟡		
17/18 PHA 24	Social marketing programme	Andrea Atherton	31-Mar-2018	Quarter 3- On-going implementation of marketing to promote national and local Public Health campaigns including "One You",	🟢		

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				"Change4Life" and "Stoptober". Also supporting local uptake of flu vaccination through targeted marketing for at-risk groups and working alongside relevant practitioners. Planning a physical activity campaign and emotional health and wellbeing in the workplace campaigns for early 2018.			
17/18 PHA CPA 08	Physical Activity Strategy	Andrea Atherton	31-Mar-2018	Quarter 3- Physical Activity Strategy Implementation Group continuing, sub-group formed for communications and insight. Working with the South Essex Active Travel Programme and Community Headspace group to grow the existing knowledge and insight around our physically inactive populations. Planning a campaign for early 2018 to include SEAT and partners to promote physical activity including walking and cycling for adults in the Borough. In December we will be undertaking external review with support from the Chief Leisure Officers Association and Sport England, the findings from the review and associated action plan will guide future actions.			

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Risk Title	<b>15. Major Developments</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood
1718CRR15	Risk that failure of partners to progress major infrastructure developments (e.g. Seaways, Airport Business Park and Queensway) will result in significant financial and reputational damage to the Council.	Simon Leftley; Andrew Lewis	Strategic	Reputational, 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> Corporate Management Team <b>Assurance:</b> Reports/Minutes. <b>2. Control:</b> Corporate Management Team <b>Assurance:</b> Reports/Meeting Minutes <b>3. Control:</b> Project Boards <b>Assurance:</b> Reports/Meeting Minutes <b>4. 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
1718CRA1501	Queensway Area Regeneration Project, 17/18 actions: • Progress the finance option & housing plans for the Queensway area regeneration project • Consultation & communication with existing Queensway residents to inform specifications for the redevelopment.	Emma Cooney	31-Mar-2018	Quarter 3 - Consultation closed on 15th December. Approx. 300 attended between the 3 public exhibitions held. Informal feedback has been positive. Review of procurement documents taking place currently with board input at monthly meetings. Undergoing audit checks and 'critical friend' support on processes. Viability testing being updated and highways 'cover over' structural cost details analysed. Housing Infrastructure Fund (HIF) funding to be announced in December.	✓	6	
1718CRA1502	Airport Business Park 2017/18 actions: • To commence Phase 1 infrastructure works • To agree Westcliff Rugby Club relocation strategy and commence work • To submit a planning application for the Innovation centre	Andrew Lewis	31-Mar-2018	Quarter 3 - Phase 1 infrastructure works commenced completion forecast June 2018. Rugby Club Agreement completed and work commenced. Planning Application for the Innovation centre concept design process commenced, forecast June 2018 for submission	✓		
1718CRA1503	Seaway Car Park 2017/18 actions: • To support Turnstone to submit a planning application • To meet the Coach Park Relocation Condition • To support Turnstone in securing prime	Joe Chesterton	31-Mar-2018	Quarter 3 - Continuing, Environmental Impact Assessment (EIA) opinion now issued and planning application expected in January or February 2018. Terms agreed for the Coach Park and	✓		

\*The Figure in brackets represents current risk score from previous report – June 2017 where there has been a change.

	tenants			endorsed, legal documentation being prepared. Contracts have been exchanged with anchor tenant (Empire) and Travelodge with further leisure and restaurant tenant leads being developed.				
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\*The Figure in brackets represents current risk score from previous report – June 2017 where there has been a change.