

Southend-on-Sea Borough Council

Report of Chief Executive and Town Clerk
To

Audit Committee

On

20th January 2016

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

Agenda
Item No.

2015-16 Corporate Risk Register

Executive Councillor – Councillor Woodley

A Part 1 Public Agenda Item

1 Purpose of Report

1.1 To provide an update to the Corporate Risk Register for 2015/16.

2 Recommendation

2.1 **That the updated Corporate Risk Register for 2015/16 is noted.**

3 Background

3.1 Corporate Risk Register 2015/16

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

3.1.2 The register was refreshed in April to reflect the challenges for 2015/16 and was presented to Audit Committee on 24th June. The register is reported to Corporate Management Team quarterly and Audit Committee every six months.

3.1.3 The Corporate Risk Register follows a 3 stage process:

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

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

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

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

- 3.1.4 The Corporate Risk Register is attached at Appendix 1, and has been updated following consideration by Corporate Management Team on 18th December. An indication of the 'direction of travel' of the current level of risk for each risk is shown in this report, highlighting the difference in scores from June (when last presented to Audit Committee) to December.
- 3.1.5 Corporate Directors ensure service specific risks are managed within their directorates, within service plans and in accordance with the Risk Management Strategy and processes. 'Red' rated risks with corporate implications can be escalated to CMT via Corporate Directors. Actions for all these risks are updated and managed by the Directorate risk leads and reviewed at departmental management team meetings.
- 3.1.6 Operational risks, managed within Directorates, are also assessed as part of reviews undertaken by Internal Audit and Project risks are monitored by the Corporate Delivery Board where applicable.

4 Corporate Implications

- 4.1 **Contribution to Council's Vision & Corporate Priorities**
The Corporate Risk Framework underpins the operational effectiveness of the Council's Corporate Governance arrangements and specifically monitors progress of managing key risks associated with the successful delivery of Corporate Aims and Priorities.
- 4.2 **Financial Implications**
Any financial implications arising from identifying and managing risk will be considered through the normal financial management processes. Proactively managing risk can result in reduced costs to the Council by reducing exposure to potential loss.
- 4.3 **Legal Implications**
The Accounts and Audit Regulations 2003 require that:

The relevant body shall be responsible for ensuring that the financial management of the body is adequate and effective and that the body has a sound system of internal control which facilitates the effective exercise of that body's function and which includes the arrangements for the management of risk.
- 4.4 **People Implications**
Any people and property implications arising from identifying and managing risk will be considered through the Council's normal business management processes.
- 4.5 **Property Implications**
None specific

- 4.6 Consultation
Consultation has taken place with key stakeholders.
- 4.7 Equalities Implications
Corporate Equalities considerations have been considered in the drafting of the Register and any specific equality related risks have been identified for the Council.
- 4.8 Risk Assessment
Failure to implement a robust assurance framework which includes fit for purpose risk management arrangements increases the risk that Council objectives will not be delivered.
- 4.9 Value for Money
Effective forecasting and timely management of risk is a key factor in preventing waste, inefficiency and unnecessary or unplanned use of resource.
- 4.10 Community Safety Implications
None specific
- 4.11 Environmental Impact
None specific.

5 Appendices

Appendix 1 –Corporate Assurance Risk Register 2015/16

Blank Page

Corporate Assurance Risk Register December 2015/16

Contents

- Section 1** **3 Stage Risk Scoring Process**
Brief description of the 3 stage risk scoring process and clarification of each stage
- Section 2** **Risk Matrix**
The matrix used for calculating Risk score.
- Section 3** **Corporate Assurance Risk Register**
- Inherent, Current and Target scores
 - Controls and Assurances
 - Future Actions and comments.

Southend-on-Sea Borough Council's Corporate Assurance and Risk Register is a best practice template for recording and managing risks. The Council also promotes the use of Assurance and Risk Registers for managing risks within service areas which are recorded and managed in service and project plans.

The Risk Register is a management tool where a review and updating process identifies, assesses and manages down the risk to acceptable levels. It provides a framework in which problems that may arise and adversely affect the delivery of the Council's aims and priorities are captured and actions instigated to reduce the likelihood and impact of that particular risk.

Section 1 - Three Stage Risk Scoring Process

Southend-on-Sea Borough Council operates a 3 Stage Risk Scoring process as outlined in the Council's Risk Management Toolkit which is available on the Council intranet site. The information below offers a brief overview of each stage of the Risk process.

Inherent score – the risk scored with no controls, assurances or actions in place.

Current score – the risk scored with controls, assurances and progressed actions.

Target score – the risk score with controls and assurances in place and linked actions completed.

As controls and assurances are put in place and actions completed the Risk will be more controlled and, therefore, the current score moves towards the Target Score. The current score from the last reported Corporate Risk Register is shown in brackets.

Section 2 - Risk Matrix


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			

2015-16 Corporate Risk Register

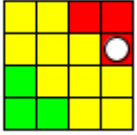

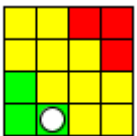


Risk Title		1. Budget for 2016-19					
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR01	Risk that the scale of predicted funding reductions for 2016-19 budgets will result in significant adverse impact on council services	Sally Holland	Strategic	Financial/Reputational	16		<p>Impact</p> <p>Likelihood</p>
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working							
<p>1. Control: Budget setting process to identify required savings through: budget proposal reports to Departmental and Corporate Management Teams; member seminars; Cabinet; Scrutiny Committees; Council Assurance: reports to and minutes of meetings.</p> <p>2. Control: Management oversight of budget setting process through: reports to CMT and Administration Assurance: Reports to and minutes of meetings</p> <p>3. Control: Senior member and Chief Executive challenge to departments on proposed savings Assurance: Reports to and minutes of meetings.</p> <p>4. Control: Director challenge to Heads of Service Assurance: Minutes of Departmental Management Team meetings, Appraisals, 1-2-1 meetings.</p> <p>5. Control: Medium Term Financial Strategy (MTFS), including budget pressures to regularly consider financial impact of Government policy reported to CMT, Cabinet and Council Assurance: Reports and minutes of meetings.</p>					Current risk score	4 (6)* ↓	<p>Impact</p> <p>Likelihood</p>
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
1516CRA0101	Continually monitor and assess government's position on grant to be distributed to Local Authorities and other Government announcements that impact funding	Joe Chesterton	31-Mar-2016	Head of Finance and Resources horizon scanning for all relevant government announcements. Utilising treasury network as an additional source of information. Assessing Spending Review announcement.	✓	4	<p>Impact</p> <p>Likelihood</p>
1516CRA0102	Review outcomes and impact of Emergency Budget (July) and CSR (Autumn) to allow robust budget to be set.	Joe Chesterton	31-Mar-2016	Emergency budget assessment undertaken and fed into updated Medium Term Financial Plan. Autumn Statement announced and assessment being undertaken.	✓		
1516CRA0103	Budget Timeline outlining key milestones to be agreed with Joint Administration and Senior Leadership Team.	Joe Chesterton	30-Sep-2015	Finalised and distributed	✓		
1516CRA0104	All Member workshop on local government finance	Joe Chesterton	31-Oct-2015	All member budget workshop delivered on 18 th November 2015. Feedback being reviewed in setting Council budget.	✓		

*The figure in brackets represents current risk score from previous report, June 2015

1516CRA01 05	Continual monitoring, risk assessment and reporting of progress on options to meet the saving targets required to set balanced budgets in 2016/17 to 2018/19	Joe Chesterton	31-Mar-2016	Cabinet/CMT meetings held in April and July. Savings proposals fully considered by Cabinet Members from October to December				
-----------------	--	----------------	-------------	---	---	--	--	--


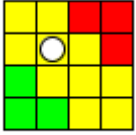
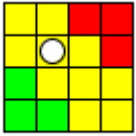
*The figure in brackets represents current risk score from previous report, June 2015

Risk Title		2. Recruiting and retaining staff					
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR02	Risk that failure to retain or recruit staff with the required skills and experience will result in an inability to deliver key projects or services to meet expectations of residents, members, businesses and partners.	Sally Holland	Strategic	Service Provision	12		 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	3 (6)* ↓	 Impact Likelihood
<p>1. Control – Managing Organisational Change Policy; Redeployment Policy & Procedure; Redundancy Policy & Procedure Assurance – Policy documents available via intranet.</p> <p>2. Control – Oversight of policies and procedures to ensure consistency of HR policies and processes and in implementing policies relating to restructures through the People Management, Accommodation & Digital Strategy Working Party; Corporate Management Team and Workforce Planning Panel Assurance – Reports to and Minutes of meetings.</p> <p>3. Control – All staff vacancies, redeployments and redundancies reviewed by the Workforce Planning Panel Assurance – Minutes of Workforce Planning Panel</p> <p>4. Control – New recruitment provider to identify recruitment hotspots and plan effective recruitment campaigns Assurance – Service Level Agreement, Contract management meetings and liaison with provider.</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	
1516CRA0201	Update the People Management Strategy, including the re-focussed Organisational Development and Employee Engagement Strategies, to drive, underpin and support the Council in meeting its objectives at a time of change.	Joanna Ruffle	31-Mar-2016	People Management Strategy has been updated and includes an annual action plan 2015/16. This was approved by member working party on 27th May 2015 and was referred to Cabinet in June for ratification. Action plan is in hand and currently on target.	✓	2	 Impact Likelihood
1516CRA0202	Develop a Talent Management Strategy (including apprenticeships, graduate traineeships, graduate sponsorships and career progression)	Joanna Ruffle	31-Mar-2016	Specific action identified within People Management Strategy action plan to progress this work. Talent Management approach is being developed and will be presented to CMT early in the New Year.	✓		

*The figure in brackets represents current risk score from previous report, June 2015

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

*The figure in brackets represents current risk score from previous report, June 2015

Risk Title 4. Housing Policy/Local Infrastructure							
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	12	Impact  Likelihood
1516CRR04	Risk that changes to government policy in relation to housing development reduces the resources available to the council leading to a strain on local infrastructure	Simon Leftley Andrew Lewis	Strategic	Financial			
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score	6 (9)*	Impact  Likelihood
1. Control: Core Strategy and Local Development Plan in place Assurance: Key Strategy documents 2. Control: Regeneration Framework in place Assurance: Framework documents 3. Control: Cabinet/Scrutiny Assurance: Regular Reports/Meeting minutes							
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	6 Impact  Likelihood
1516CRA0401	Analyse pre and post-election housing policy in relation to local development	Simon Leftley	30-Sep-2015	Analysis is on-going as new housing policies are introduced.	✓		
1516CRA0402	Refresh of the regeneration framework approved by Cabinet in September 2007	Scott Dolling	31-Mar-2016	Refresh of the Regeneration Framework underway, ensuring that it includes reference to the Southend Central Area Action Plan (SCAAP) and the Joint Area Action Plan (JAAP) in relation to the funding from the SELEP that has been secured and proposals sites proposed. Report to Cabinet in March 2015 outlining regeneration priorities which are being used to inform the framework refresh.	✓		
1516CRA0403	Produce a new Development Management DPD	Peter Geraghty	02-Mar-2016	Formally adopted July 2015	✓		
1516CRA0404	Update Core Strategy to ensure it conforms with all aspects of the National Planning Policy Framework	Peter Geraghty	31-Mar-2016	The Core Strategy Review is scheduled in the current Local Development Scheme timetable. Provisional work has commenced on the evidence base to support the Review. This has initially involved an update to the Thames Gateway South Essex (TGSE) Strategic Housing Market Assessment (SHMA) which will provide, amongst other things an objectively assessed need (OAN) housing figure for TGSE and the five authorities which comprise it. This figure will be the 'starting point' (NPPF wording) for discussion of housing allocation under the Duty to Co-operate.	✓		

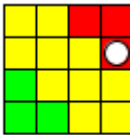
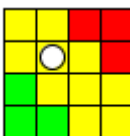
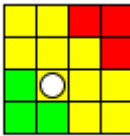
*The figure in brackets represents current risk score from previous report, June 2015

1516CRA04 05	Produce draft Community Infrastructure Levy Charging Schedule and Infrastructure Delivery Plan (IDP)	Peter Geraghty	31-Mar-2016	Formally adopted July 2015				
-----------------	--	----------------	-------------	----------------------------	---	--	--	--

*The figure in brackets represents current risk score from previous report, June 2015

Risk Title	5. Alternative service delivery models						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR05	Risk that failure to effectively manage (staffing, relationships, contracts) the transition to alternative service delivery models results in the organisation not meeting its statutory responsibilities to residents/customers	Simon Leftley Andrew Lewis	Strategic	Financial	16		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score	6 (9)* ↓	
1. Control: Corporate Delivery Board Assurance: Monthly Reports/Meeting minutes 2. Control: Changes to service delivery considered by Scrutiny/Cabinet/Council Assurance: Reports/Minutes. 3. 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. 4. Control: Regular tracking of new legislation, government regulations and policy developments. Assurance: Production of Policy briefings and reports to Corporate Management Team.							
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
1516CRA0501	Explore alternative delivery models for Adult Social Care services	Simon Leftley	31-Mar-2016	Considerable work undertaken between SBC and Southend CCG in remodelling community recovery pathways. Work streams being overseen by Sharon Houlden.	✓	4	
1516CRA0502	Explore alternative models for provision of ground maintenance	Andrew Lewis	31-Mar-2016	Review undertaken into alternative service delivery options. Recommendations approved by Cabinet in June and ratified by full council in July 2015. New model of service delivery to be implemented by 1 st April 2016.	✓		
1516CRA0503	Implement the outcome of the Library Review in accordance with the delivery plan contained within the Library Development Strategy 2013 – 2028	Nick Harris	31-Mar-2016	New Shoeburyness library opened on 14 th September 2015. Work is now being undertaken to develop a programme of capital improvement works at Leigh, Kent Elms & Westcliff.	✓		
1516CRA0504	Mobilise and embed the Council's new frontline waste collection, street cleansing and ancillary service contracts	Dipti Patel	31-Mar-2016	New contract started on 5th October 2015 and includes commitment to increase recycling rates to 60% and redesigning the Household Waste Recycling Centres.	✓		

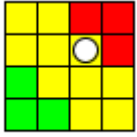
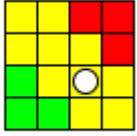
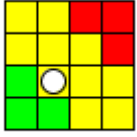
*The figure in brackets represents current risk score from previous report, June 2015

Risk Title	6. Health and Social Care Integration						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	12	 Likelihood
1516CRR06	Risk that failure to integrate health and social care effectively (inc Pioneer, Better Care Fund and Care Act) will harm the ability of the health and care system to operate at optimal levels, adversely affecting service provision and council finances.	Simon Leftley	Strategic	Service Provision, Financial			
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score	6 (9)* ↓	 Likelihood
1. Control: Joint Executive Group (JEG). Assurance: Reports/Meeting Minutes. 2. Control: Health and Wellbeing Board. Assurance: Bi-monthly Reports/Meeting Minutes. 3. Control: Pioneer Programme Board. Assurance: Reports/Meeting Minutes. 4. Control: Corporate Delivery Board. Assurance: Monthly Reports/Meeting Minutes. 5. Control: Health Transformation Board. Assurance: Reports/Meeting Minutes.							
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	 Likelihood
1516CRA0601	Ensure that the Joint Health and Wellbeing Strategy is underpinned by effective action plans	Simon Leftley	30-Sep-2015	Latest performance monitoring report presented to Health and Wellbeing Board on 2 nd December.	✓	4	
1516CRA0602	Work with Southend Clinical Commissioning Group and partners to support Integrated Pioneer status	Simon Leftley	31-Mar-2016	Programme manager in place. Work streams in place to develop joint commissioning, integrated services and prevention and engagement. Joint Associate Director of Integrated Care Commissioning appointed. Action delivery monitored through Health and Wellbeing Board.	✓		
1516CRA0603	Better Care Fund (BCF)	Simon Leftley	31-Mar-2016	Pioneer Programme Board established Q4 14/15 to provide assurance that BCF is on track for delivery. All projects listed under the BCF plan are currently in scoping stage. On schedule to commence delivery in Q2 15/16. Section 75 agreement between council and CCG has been agreed and signed (31st March 2015); the Section 75 enables the creation of the BCF fund and facilitates the flow of funding.	✓		
1516CRA0604	Prepare to implement the 2nd phase of the Care and Support Bill (dependent on government policy)	Simon Leftley	31-Mar-2016	Continuing phase 1 implementation. Phase 2 postponed by government until 2019/20.	✓		

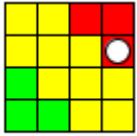
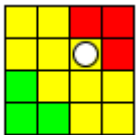
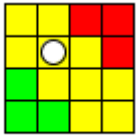
*The figure in brackets represents current risk score from previous report, June 2015

Risk Title	7. Contract price inflation						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR07	Risk that construction related contract price inflation results in less resources to meet capital programme desired outcomes and further pressure on other council budgets.	Andrew Lewis	Strategic	Financial	9		 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		
1. Control: Contract price inflation clauses (linked to government indices) included within Highways contracts Assurance: Contract documentation 2. Control: Capital Projects Board Assurance: Reports/Meeting Minutes 3. Control: Corporate Delivery Board Assurance: Monthly Reports/Meeting Minutes 4. Control: Contract management arrangements Assurance: Contract documentation/minutes/meetings					4 (6)* ↓		 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	
1516CRR0701	Introduction of Governance and Monitoring of new highway contracts to ensure proper management. Introduce new processes and workflows to support the management of these contracts.	Paul Mathieson	31-Mar-2016	New contracts in place since April 2015. New process being implemented and Symology has been updated accordingly. Transport Asset Management Plan agreed by Cabinet on 22 nd September.	✓	4	 Impact Likelihood
1516CRR0702	Employ where appropriate professional cost advice on all major projects and update and refresh cost plans on regular basis.	Andrew Lewis	31-Mar-2016	Utilising in house expertise and conducting early contractor involvement. Call-off framework for cost consultation advice being utilised where required. Project variations reported to Corporate Delivery Board.	✓		
1516CRR0703	Continue to deliver the programmed replacement of old street lighting lanterns with new LED type	Paul Mathieson	31-Mar-2016	DfT Challenge fund award and Green Investment Bank 'invest to save' finance secured to accelerate delivery. Replacement programme on-going. Programme aims to reduce energy costs, reduce contract maintenance cost and reduce Carbon Tax through reduced carbon emissions. Works contracts in place and contract board set up to manage on-going programme. Tenders received for central management system and are being evaluated to appoint contractor by end of December	✓		

*The figure in brackets represents current risk score from previous report, June 2015

Risk Title	8. Education and skills						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR08	Risk that failure to narrow the gap in results at secondary schools will result in a lack of appropriate skills of Southend pupils and undesirable levels of young people not in education, employment or training (NEET).	Simon Leftley	Strategic	Reputational	9		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
1. Control: Improving Learning Together Strategy in place with impact reviewed by Success for All Group Assurance: Report/Minutes. 2. Control: Partnership with South Essex Teaching School Alliance established Assurance: Reports/Minutes. 3. Control: Pupil Premium Strategy Group Assurance: Reports/Minutes. 4. Control: School Support Improvement Board Assurance: Reports/Minutes. 5. Control: Success for All Children Group Assurance: Bi-monthly meeting reports/Minutes.					6 (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	
1516CRA0801	Review and revise the Improving Learning Together Strategy (including the System Leadership Strategy)	Dani Wade	31-Oct-2015	A School Improvement Peer Review was undertaken in November 2015 with a specific focus on a system leadership strategy. Recommendations from the Report will be shared with schools and form the basis of the revised Improving Learning Together Strategy.	✓	4	 Likelihood
1516CRA0802	Embed 'The Southend Challenge' to support schools to reach good or outstanding rating	Dani Wade	31-Mar-2016	Schools are now working well in their Southend Challenge Cluster. Watchsted cite currently 86.5% of Southend schools inspected are judged good and outstanding compared to 83.5% nationally and therefore there is pool of effective practice from which to draw.	✓		
1516CRA0803	Develop a specific project under The Southend Challenge aimed at supporting any secondary school current rated as inadequate	Dani Wade	31-Oct-2015	Two secondary schools (Chase and Cecil Jones) are now part of Multi Academy trusts and are no longer in local authority control. These schools are accountable to the DfE via the Regional Schools Commissioner. The third secondary school is part of the Ofsted Triad Project which involves Continuing Professional Development delivered by Ofsted Her Majesty's Inspector's and working with two other Southend secondary schools (Southend High School for Girls and Eastwood Academy) to evaluate and learn from best practice in each school.	✓		

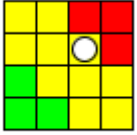
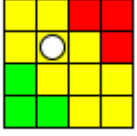
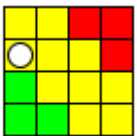
*The figure in brackets represents current risk score from previous report, June 2015

Risk Title		9. Surface water flooding					
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR09	Risk that surface water flooding, due to overwhelmed drainage infrastructure, will result in damage to property and infrastructure as well as significant disruption.	Andrew Lewis	Strategic	Reputational, Financial	12		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
1. Control: Independently commissioned Flood Incident Reports considered by Cabinet as required Assurance: Reports/Meeting minutes. 2. Control: Gully cleaning programme in place with enhanced specification in high risk areas Assurance: Programme documents. 3. Control: Regular monitoring of Met Office weather alerts Assurance: Alerts/Reports					9 (9)*	↕	 Likelihood
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
1516CRA0901	Repairs and Renewals Grant scheme implemented/administered	Richard Atkins; Keith Holden	18-Sep-2015	Work programme almost complete. 135 applicants were assisted as a result of the scheme.	✓	6	 Likelihood
1516CRA0902	Produce Local Flood Risk Management Strategy as required under the Floods and Water Management Act 2010	Richard Atkins	31-Mar-2016	Approved by Council	✓		
1516CRA0903	Communication with residents, property owners and businesses to increase awareness of flood risk and property protection measures	Richard Atkins; Keith Holden	31-Mar-2016	Repairs and Renewals grant communicated to all residents previous flooded and those at risk. Communications to be commenced to deal with 'riparian' ownership responsibilities. Additional information and guidance around flooding responsibilities and protecting property added to the council's website.	✓		
1516CRA0904	Jointly investigate with Anglia Water Services, possible improvements to drainage system.	Richard Atkins	02-Mar-2016	Investigation and modelling of existing system at Marine Parade and Victoria Road including potential improvements almost complete. Other flood risk sites to be investigated based on prioritised list from previous flood events. The Council has undertaken a series of drainage improvements following the extreme weather events of 2013/2014 which are detailed in the relevant flood incident reports which have been considered by Cabinet. Further flood incident report due at Cabinet in January 2016.	✓		

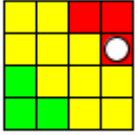
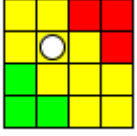
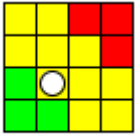
*The figure in brackets represents current risk score from previous report, June 2015

Risk Title	10. Seafront cliff movement						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR 10	Risk that a seafront cliff movement will result in damage to property, transport dislocation and significant financial and reputational damage to the Council.	Andrew Lewis	Strategic	Reputational, Financial	12		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
1. Control Corporate Delivery Board Assurance: Monthly Reports/Minutes 2. Control Regular reporting to DMT Assurance: Reports/Minutes					9 (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	
1516CRR 1001	Quantified Risk Assessment completed which prioritises areas of potential instability.	Richard Atkins	30-Sep-2015	Risk assessment completed. A detailed monitoring regime is being prepared which includes ground investigations at high priority area.	✓	6	 Likelihood
1516CRR 1002	Progress stabilisation work at Clifton Drive	Richard Atkins	31-Mar-2016	Stabilisation work underway. Work programme being monitored.	✓		

*The figure in brackets represents current risk score from previous report, June 2015

Risk Title	11. Ofsted joint inspection						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR 11	Risk that increased demand for child safeguarding services and on-going financial and partnership challenges results in a lower than anticipated Ofsted joint inspection rating.	Simon Leftley	Strategic	Reputational	9		 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		
1. Control – Ofsted Inspection Planning Group: Assurance: Report/Minutes. 2. Control – Inspection Preparation Plan monitored by Ofsted Inspection planning group: Assurance: Report/Minutes. 3. Control - Inspection Logistics Plan outlining key timelines/personnel: Assurance: Report. 4. Control – Monthly data set monitored by Departmental Management Team and senior managers: Assurance: Report/Minutes 5. Control – Head of Service is member of Police’s Gold Command advisory group: Assurance: Regular attendance at meetings.					6 (6)*	↕	 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	
1516CRR 1101	Conduct detailed performance analysis to identify areas for improvement using for example the Annual Safeguarding Report and Children and Young People Plan needs assessment.	John O'Loughlin	31-Mar-2016	Work on-going to identify areas for improvement building on the self-assessment. The Council commissioned a regional peer review which received positive feedback. An action plan is in place to take forward peer review recommendations.	✓	3	 Impact Likelihood
1516CRR 1102	Conduct a detailed self-assessment against the inspection criteria	John O'Loughlin	31-Mar-2016	Self-assessment completed and regularly reviewed.	✓		
1516CRR 1103	Monitor the outcome for Local Authorities who have recently been inspected.	John O'Loughlin	31-Mar-2016	All published inspection reports from other authorities reviewed for key inspection criteria.	✓		

*The figure in brackets represents current risk score from previous report, June 2015

Risk Title	12. Department for Transport Challenge Fund						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1516CRR 12	Risk that the failure to meet the requirements of the Department for Transport Challenge Fund will severely limit funding available to start or progress highway projects in the borough.	Andrew Lewis	Strategic	Financial	12		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
1. Control – Highway/Footpath Assets Management inventory in place - Assurance: Reports 2. Control – Monthly progress reported to DMT and senior managers Assurance: Reports/Minutes 3. Control – Regular reporting to Capital Delivery Board Assurance: Reports/Minutes					6 (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	
1516CRR 1201	Produce a new Highway Asset Management Plan to support the maintenance and improvement of the roads, pavements and street furniture across the Borough	Paul Mathieson	31-Mar-2016	Transport Asset Management Plan approved by Cabinet on 22 nd September 2015.	✓	4	 Likelihood
1516CRR 1202	Conduct detailed self-assessment to support Challenge Fund bid	Paul Mathieson	31-Mar-2016	Further work has evidenced that the Council is Band 2, which means no loss of funding for 2016/17. Work proceeding to move the Council to Band 3 by end of 2016/17.	✓		
1516CRR 1203	Complete Whole Government Account return (with Finance Dept)	Paul Mathieson	31-Mar-2016	Submission made for 2016/17 by due date. Work on-going to link Whole Government Account to Transport Asset Management Plan.	✓		

*The figure in brackets represents current risk score from previous report, June 2015