

Southend-on-Sea Borough Council

Agenda
Item No.

Report of Chief Executive and Town Clerk
To
Cabinet
On
19 June 2018

Report prepared by: Louisa Thomas - Senior Business
Management Advisor

2018-19 Corporate Risk Register

Cabinet Member. '7 ci bW`cf`>c\ b`@Ja V

Place, People and P&R Scrutiny Committees

1 Purpose of Report

- 1.1 To consider the 2018/19 Corporate Risk Register.

2 Recommendations

- 2.1 **That Cabinet considers the risks identified by the Corporate Management Team (CMT) for inclusion in the 2018/19 Corporate Risk Register, for presentation to Cabinet on 19 June and Audit Committee on 25 July 2018.**

3 Background

3.1 Corporate Risk Register 2018/19

- 3.1.1 The Council's Corporate Risk Register sets out the key risks to the successful delivery of the Council's corporate aims and priorities and outlines the key controls and actions to mitigate and reduce risks, or maximise opportunities.
- 3.1.2 The Corporate Risk Register has been refreshed to reflect the challenges for 2018/19 and the risks, and related controls and actions identified, are set out in **Appendix 1.**
- 3.1.3 The Corporate Management Team has identified the following areas to be included in, and then monitored and reviewed, as part of the Corporate Risk Register for 2018/19:
1. Council Budget / financial sustainability
 2. Recruiting and retaining staff
 3. Key external challenges
 4. Housing
 5. Local Infrastructure
 6. Secondary School Places
 7. Health and Social Care
 8. Information management and cyber security
 9. Children's Services Improvement Plan
 10. Waste Management
 11. Flooding/cliff slip

- 12. Major developments
- 13. Local Plan

3.1.4 The format of the Corporate Risk Register follows a 3 stage process:

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

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

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

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

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

3.1.6 Senior officers ensure specific risks are managed within service areas, within service plans and in accordance with the risk management strategy and processes. 'Red' rated risks with corporate implications can be escalated to CMT. Actions for all these risks are updated and reviewed by departmental management teams.

3.1.7 Operational risks, managed within departments, are also assessed as part of reviews undertaken by Internal Audit and project risks are monitored by the Corporate Management Team where applicable and relevant project teams.

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 2015 require that:

A relevant authority must ensure that it has a sound system of internal control which (a) facilitates the effective exercise of its functions and the achievement of its aims and objectives; (b) ensures that the financial and operational management of the authority is effective; and (c) includes effective 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 where relevant.
- 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 - 2018/19 Corporate Risk Register.

Corporate Assurance Risk Register 2018-19



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:		4	8	12	16
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			

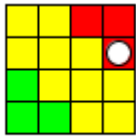
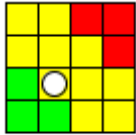
2018-19 Corporate Risk Register

Generated on: 29 May 2018

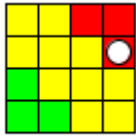
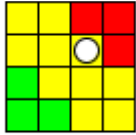
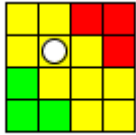


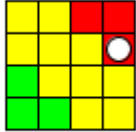
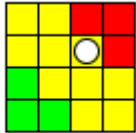
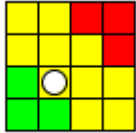
Risk Title	1. Council Budget/Financial Sustainability							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1819CRR01	Risk that failure to manage the short term budget gap and growing demand for services and failure to ensure the council is financially sustainable after 2020/21 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					Current risk score	Impact	Likelihood	
<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/Minutes</p> <p>3. Control: Senior member and Chief Executive challenge to departments on proposed savings Assurance: Reports and minutes of meetings.</p> <p>4. Control: Director challenge to Directors Assurance: Minutes of Departmental Management Team meetings/emails.</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>					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
1819CRA0101	Budget Timeline outlining key milestones to be agreed with the Administration and Senior Leadership Team.	Joe Chesterton	31-May-2018	Timeline in place with key deadlines		4		
1819CRA0103	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	31-Mar-2019	Saving proposals approved for 2018/19 were formatted in to the Budget setting for 2018/19.				
1819CRA0104	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-2019	Director of Finance and Resources horizon scans all Government announcements, including the latest Autumn Budget Statement and Local Government Settlement for inclusion in final budget and in preparation for future budgets.				

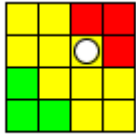
Risk Title	2. Recruiting and retaining staff							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1819CRR02	Risk that failure to have the appropriate staffing resources, with the right skills, will lead to a failure to achieve the Council's ambitions	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>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 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: Recruitment provider to identify recruitment hotspots and plan effective recruitment campaigns Assurance: Service Level Agreement, Contract management.</p>								6
Stage 3 - Further actions to reduce the risk (target risk)								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	Impact	Likelihood
1819CRA0201	Continue to embed Talent Management Strategy (including apprenticeships, graduate traineeships, graduate sponsorships and career progression)	Joanna Ruffle	31-Mar-2019	CMT strategy session took place on 11th April; work is underway to develop the 'New People Deal' for the Borough.				
1819CRA0202	Participate in regional Children's Social Care Workforce project	Joanna Ruffle	31-Mar-2019	This project is continuing and is focused on the reduction of agency workers for Childrens Services.				
1819CRA0203	Participate in regional Planners Workforce project	Peter Geraghty	31-Mar-2019	Continue to engage with colleagues regionally and looking at other options including public interest company.				
1819CRA0204	Develop a framework contract to deliver professional/interim resources to supplement the Reed contract	Joanna Ruffle	31-Mar-2019	A professional interim resources contract, has been supporting hard to fill posts; and providing specialist 'search and select' which has been used in a number of cases.				
1819CRA0205	Role of Resourcing Manager agreed and funded to drive talent management initiatives across the organisation	Joanna Ruffle	31-Mar-2019	The role of the Resourcing Manager is a permanent position within the HR management structure. The additional resource in People and HR is also permanent. Conversations are starting with the Department for Place to see if this would be beneficial. The new recruitment partner will be out to market shortly.				

Risk Title	3. Key External Challenges					
Stage 1 - Risk without controls (Inherent risk)						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact
1819CRR03	Risk that the impact of, or a failure to take advantage of, the Government's agenda and the lead up to Brexit, may hamper the ability of the Council to achieve key priorities	Alison Griffin	Strategic	Reputation	12	 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)						
List of controls and associated assurances to ensure controls are working					Current risk score	Impact
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: Minutes/Reports 2. Control: Corporate Management Team - oversight of Key Projects Assurance: Minutes/ Project Management Reports to CMT 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/Report/Minutes 5. Control: Association of South Essex Local Authority Assurance: Report/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
1819CRA0301	Maintaining, renewing and building relationships with key partners	Alison Griffin	31-Mar-2019	A range of partnerships have been strengthened during the year including CSP, working with health on localities through HWB, the establishment of Association of South Essex Local Authorities (ASELA) to promote growth along the corridor.	✓	4 Impact  Likelihood
1819CRA0302	Continue to undertake horizon scanning of key developments in relation to new government legislation, policy and Brexit negotiations	Alison Griffin	31-Mar-2019	On-going monitoring of policy developments and initiatives, particularly those that will have financial implications. Also using ASELA as well as other local government networks to strengthen our horizon scanning.	✓	
1819CRA0303	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-2019	Southend Council have submitted a formal response to the public consultation of the proposals for the STP. The Council now awaits the outcome of an independent review of all the responses to the consultation. In addition the Council contributed to the Joint Health and Overview Scrutiny Committees (JHOSC) response to the proposals.	✓	
1819CRA0304	Ensure the on-going sustainability of the BEST (Business Essex Southend & Thurrock) Growth Hub within the LEP	Andrew Lewis	31-Mar-2019	A letter from SELEP has confirmed the allocation of BEIS budget to support the BEST Growth Hub of £256k p.a. for two years. Staff	✓	

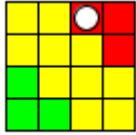
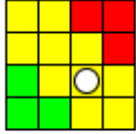
	umbrella through delivery of South East Business Boast and planning for longer term funding and operation.			have been advised of the changes and employment contracts will be adapted accordingly.			
1819CRA0305	Continue to make the case for Growth Fund Investment in Southend by working with the South Essex Growth Partnership and SELEP.	Andrew Lewis	31-Mar-2019	Outline Business case for Forum 2 was approved at the February SELEP Accountability Board. Airport Business Park project continues to progress against spend targets – with the full business case due to be sent to the SELEP Accountability Board in the summer. Detail of the UK Shared Prosperity Fund – funding post LGF and Brexit as yet unknown.			


Risk Title	4. Housing						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1819CRR04	Risk that a failure to implement plans to address rising homelessness and failure to develop a robust housing strategy will lead to further street and other homelessness, increased use of temporary accommodation & an inability to meet rising housing demand over the next 20 years.	Simon Leftley	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: Core Strategy and Local Development Plan in place Assurance: Strategy documents 2. Control: Cabinet/Scrutiny Assurance: Reports/Meeting minutes 3. Control: Housing Strategy Assurance: Documents 4. Control: Housing Working Party: Assurance: Reports and minutes of meetings					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	
1819CRA0401	Agree a new Housing Strategy for the borough aimed at ensuring the appropriate level of accommodation in the borough and reduce the need for temporary accommodation	Sharon Houlden	31-Mar-2019	Jan 18 Cabinet endorsed a proposed approach and timescales for the development of a Housing Vision and Strategy. The new vision and strategy is due for consideration at September Cabinet	✓	6	 Likelihood
1819CRA0402	Progress the Council's bid for additional resources from the Government's new street homelessness fund to tackle the issue in the borough	Sharon Houlden	31-Mar-2019	Bid submitted to the Ministry of Housing, Communities and Local Government - currently awaiting response	✓		
1819CRA0403	Ensure the development of the Council's Local Plan, links to the Council's housing strategy, and addresses the anticipated level of demand for housing in the coming decades	Peter Geraghty	31-Mar-2019	To be undertaken as part of development of Local Plan and related strategies.	✓		

Risk Title	5. Local Infrastructure						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood
1819CRR05	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		
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: 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 Corporate Management Team Assurance: Reports/Minutes 4. Control: Cabinet/Scrutiny Assurance: 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
1819CRA0501	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	Asset management plan & associated documents approved, now on website	✓	4	
1819CRA0502	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-2019	Complete and works ongoing	✓		
1819CRA0503	Conduct detailed self-assessment to support Challenge Fund bid	Neil Hoskins	31-Mar-2019	Design work to start 1st April 2018, construction plan to commence Oct 2018.	✓		
1819CRA0504	Complete Whole Government Account return (with Finance Dept)	Neil Hoskins	31-Mar-2019	Return completed.	✓		
1819CRA0505	Ensure compliance with spending profiles for Local Growth Fund to maintain access to available finance (notably for Airport Business Park and the Forum)	Adrian Beswick; Mark Murphy	31-Mar-2019	Working closely with partners to ensure spending profiles are achieved through programme and project management arrangements	✓		



Risk Title	6. Secondary School Places					
Stage 1 - Risk without controls (Inherent risk)						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood
1819CRR06	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	 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. Control: School Places working party Assurance: minutes 2. Control: Archive of cabinet and Council decisions Assurance: minutes 3. Control: Correspondence between stakeholders, schools, Academy trusts, Local MPs, Ministers Assurance: correspondence 4. Control: Weekly report on progress from Learning to Executive Councillor Assurance: note of actions						
Stage 3 - Further actions to reduce the risk (target risk)						
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score
1819CRA0601	Establish a secondary places project Board to monitor progress in actions and outcomes for both 18 and 19 places	Brin Martin	31-Mar-2019	Regular meetings of those involved with specific projects takes place, involving officers, contractors and the school. The outcomes of these meetings are shared with the Group Manager who has oversight of the build.	✓	4 Impact Likelihood
1819CRA0602	Where required escalate lack of progress directly with Cabinet, the Regional Schools Commissioner (RSC), Local MPs, press and the DfE	Brin Martin	31-Mar-2019	Cabinet has redacted the decision to pursue a free school in favour of expansion. Escalation will continue in the same way with the RSC when and if required.	✓	
1819CRA0603	Develop a secondary school places strategy to cater for the increasing pupil numbers.	Brin Martin	31-Mar-2019	The original plans have now been amended to an expansion model. This will be taken through the next school places working party, and will in essence for the medium term strategy.	✓	

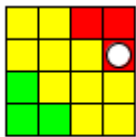
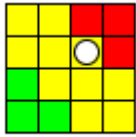

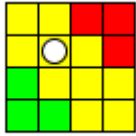

Risk Title	7. Health and Social Care							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1819CRR07	Risk that the implementation of Sustainability and Transformation Partnership (STP) proposals and implementation of the Localities Model does not result in effective health and social care outcomes for residents and also leads to significant cost increases in meeting service demand.	Simon Leftley	Strategic	Financial, Service Provision	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	
1. Control: South East Essex Locality Partnership. Assurance: Reports/Meeting Minutes. 2. Control: Health and Wellbeing Board. Assurance: Reports/Meeting Minutes. 3. Control: Locality Transformation Group. Assurance: Reports/Meeting Minutes. 4. Control: Corporate Management Team. Assurance: 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
1819CRA0701	Continue to actively work with Mid and South Essex health and social care partners to develop the STP proposals to ensure positive outcomes in health and social care provision for Southend residents	Simon Leftley	31-Mar-2019	The Council has submitted a formal response to the public consultation of the proposals for the STP. The Council now awaits the outcome of an independent review of all the responses to the consultation. In addition the Council contributed to the Joint Health and Overview Scrutiny Committees (JHOSC) response to the proposals).		4		
1819CRA0702	That the Health and Wellbeing Board (HWB) oversees the development and implementation of the localities model for health and social provision in the borough.	Simon Leftley	31-Mar-2019	HWB hold regular discussions regarding the development of the STP proposals and the Southend Locality development. In March 2018 HWB agreed that a South East Essex governance approach to developing Localities was a requirement. The inaugural SEE Locality Partnership was held on 18th May 2018. This partnership is accountable to HWB and are responsible for the business plan being developed.				
1819CRA0703	Continue the work of the South East Essex Locality Partnership (which includes engagement with key stakeholders, both providers and commissioners) to manage the implementation of the Localities model including the development of plans for each locality.	Jacqui Lansley	31-Mar-2019	Draft Locality development plan to be considered by HWB on 20 June. The partnership is focused on developing the integrated health and care model, the outcomes framework and providing assurance to the operational teams re leadership for Locality development.				

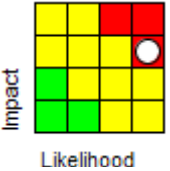
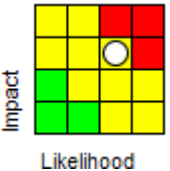
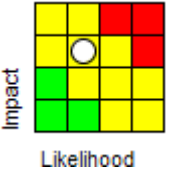
Risk Title	8. Information Management & Cyber Security					
Stage 1 - Risk without controls (Inherent risk)						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood
1819CRR08	Risk that a failure to ensure the Council has a coherent and comprehensive approach to data protection, including its cyber security arrangements, will result in significant financial and reputational damage to the Council	Joanna Ruffle	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	9 Impact Likelihood
<p>1. Control: Senior Information Risk Owner - Assurance: Annual SIRO report to Cabinet</p> <p>2. Control: Annual IG Toolkit assessment – Assurance: Report from independent assessment.</p> <p>3. Control: Regular reports to Corporate Management Team. Assurance: Reports/Minutes</p> <p>4. Control: Corporate Information Governance Group: Assurance: Reports/Minutes</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 Impact Likelihood
1819CRA0801	Ensure the Corporate Information Governance group continues to over the Council's approach to information management, including compliance with new data protection legislation.	Joanna Ruffle	31-Mar-2019	The Corporate Information Governance Group continues to meet monthly, to oversee GDPR preparations and other information related activity.	✓	 Likelihood
1819CRA0802	Ensure the Council's project plan, and associated officer group, for implementation of the General Data Protection Regulation (GDPR) is revised to address continued compliance with data protection legislation.	Lysanne Eddy	31-Mar-2019	GDPR Project Plan considered at fortnightly cross Council GDPR Project Group and monthly CIGG meetings. Plan incorporates recommended action from external assessment and Internal Audit review. Over 300 staff and councillors (and x no. schools) have received training to date, key policies and processes have been reviewed and communications rolled out to raise awareness. Work will continue to ensure compliance with data protection legislation and to facilitate effective use of information.	✓	
1819CRA0803	Ensure information management is a key part of the Council's transformation agenda.	Joanna Ruffle	31-Mar-2019	Transformation work continues and a wider piece of transformation work is about to be commissioned.	✓	
1819CRA0804	Ensure the Council's cyber security arrangements are up to date and robust enough to withstand attacks.	Nick Corrigan	31-Mar-2019	Completed Essex-wide Cyber Security Testing (Essex On-line Partnership). For Southend users, 3.8% clicked on a rogue link; individuals	✓	

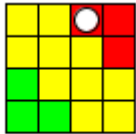
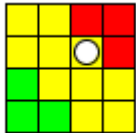

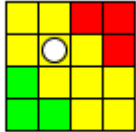

				to be targeted for awareness training; further tests to be run. Cyber Security awareness now embedded into induction ICT Training.				
1819CRA0805	Review the Council's approach to the use and sharing of, information and data	Joanna Ruffle	31-Mar-2019	Work on this is part of the Council's preparation for GDPR. This work will continue into 18/19 and will be overseen by the Corporate Information Governance Group.				


Risk Title	9. Children's Services Improvement Plan						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1819CRR09	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		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working							
<p>1. Control: Monitoring and updating of the Children Service's Improvement Plan by the CS Improvement Board. Assurance: Reports/minutes of CS Improvement Board meetings.</p> <p>2. Control: Monitoring and updating of the Leadership Narrative Document for Children's services. Assurance: Report/Minutes of Children's Services Improvement Board meetings.</p> <p>3. Control: Children's Service Improvement Board bi-monthly meetings Assurance: Report/Minutes.</p> <p>4. Control: Children's Departmental Management Team. Assurance: Monthly Performance reports/ minutes of meetings.</p> <p>5. Control: People Extended DMT Assurance: Reports to/notes from meetings.</p> <p>6. Control: Local Safeguarding Children's Board (LSCB) to complement the children's service improvement plans Assurance: Reports/minutes.</p> <p>7. Control: Improvement Board Independent Expert, advice and support. Assurance: Reports to John O'Loughlin, Simon Leftley and the Improvement Board</p>					Current risk score	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	
1819CRA0901	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-2019	Recruitment and retention continues to be an area of focus by senior management with weekly updates to the Director. The new practice lead is in post and 0.3 of this post is dedicated to participation of children and young people. The participation element of the role is being developed and is bringing together/coordinating the range of work in relation to participation and developing the young person's participation plan.		6	
1819CRA0902	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 risk from the breakdown of foster care placements.	John O'Loughlin	31-Mar-2019	Edge of Care team has worked with over 90 cases and currently have 50 open cases. Cases referred via placement panel or direct referral through the single front door for foster care placement breakdowns. Referral rates have doubled since the inception of this team and they are also now undertaking reunification cases of which they currently have 9. Edge of Care team members attend strategy meetings for unborn children when notified. Feedback from legal, courts, fellow professionals across social work teams and partner agencies has been extremely positive.			

1819CRA09 03	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-2019	Good progress with the implementation of Phase 2. Service Transformation Model and Toolkit completed with an action plan to drive to mature by 2019. Govt spot check completed with good results. 98% of referrals through the EHFS front door for year ending March 2018 have achieved successful outcomes. MASH + at the end of the 3 month pilot which is currently being reviewed but initial indications are extremely positive.				
1819CRA09 04	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-2019	There is recognition from CMT and the People Dept. of the continuing in year financial pressures for Children Services. Service and practise improvement is 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. This will, through the Children Transformation programme and in conjunction with the findings from the demand research project carried out by Research in Practice (RiP), be tackled in collaboration with the wider Council via CMT.				

Risk Title	10. Waste Management							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1819CRR10	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		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. Control: Regular contract management meetings with suppliers Assurance: Meeting Minutes/Reports 2. Control: Data set monitored by DMT and senior managers Assurance: Reports/Minutes 3. Control: Cabinet/Scrutiny Assurance: 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
1819CRA1001	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-2019	Performance management framework incorporated within the contract. Action has been addressed with Veolia senior management and includes a re-balancing of the recycling targets to ensure specification standards are met. Appropriate performance deductions will be applied as and where necessary in accordance with the contract.		6		Likelihood
1819CRA1002	Ensure SBC have access to waste disposal and treatment facilities that deliver value for money for the Council.	Carl Robinson	31-Mar-2019	SBC negotiations with Essex County Council have been concluded. The Mechanical Biological Treatment (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.				

Risk Title	11. Flooding / Cliff Slip					
Stage 1 - Risk without controls (Inherent risk)						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood
1819CRR11	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	
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: Flooding Reports considered by Cabinet Assurance: Reports/Meeting minutes. 2. Control: Gully cleaning programme in place Assurance: Programme documents. 3. Control: Regular monitoring of Met Office weather alerts Assurance: Alerts/Reports 4. Control: Cabinet/Scrutiny Assurance: 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
1819CRA1101	Ensure compliance with the requirements of the Floods and water Management Act 2010 with regard to Sustainable Drainage Systems (SuDS).	Milaila Bentz	31-Mar-2019	Flow attenuation and SuDS to be incorporated in several projects. Working on a design for the High Street.	✓	
1819CRA1102	Jointly investigate with Anglia Water Services, possible improvements to drainage system.	Milaila Bentz	30-Apr-2018	Draft proposals for Seaway Car-Park and Marine Parade identified. AECOM engineer to liaise with Seaway developer to agree locations. Marine parade works programmed autumn winter	✓	
1819CRA1103	Development of a Cliff Slip Strategy based on a risk minimisation approach	Milaila Bentz	31-Mar-2019	Invitation to Tender about to be issued.	✓	
1819CRA1104	Progression of Sea Defence Scheme at Shoebury Common - consultation options	Milaila Bentz	31-Jul-2018	Public consultation due for June 18.	✓	
1819CRA1105	Shoreline Management Strategy - consultation	Milaila Bentz	31-Mar-2019	Strategy presented to and agreed by, Cabinet.	✓	

Risk Title	12. Major Developments							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1819CRR12	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.	Joe Chesterton; 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	Impact	Likelihood	
1. Control: Corporate Management Team Assurance: Reports/Minutes. 2. Control: Corporate Management Team Assurance: Reports/Meeting Minutes 3. Control: Project Boards Assurance: Reports/Meeting Minutes 4. Control: Cabinet/Scrutiny Assurance: 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
1819CRA1201	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-2019	Consultation outcomes analysed and reflected in February 2018 Cabinet report accompanied by an interim report from consultation advisors Copper. Information shared with residents and businesses prior to publication. Cabinet report approved and considered at full Council with cross party support providing agreement to proceed with procurement. Procurement documents approved by Board with sign off by legal and procurement. Procurement process to include a session for short listed bidders to hear from Queensway residents directly. Project launched on 22nd March with films made for the event previewed by residents prior to launch.		6		Likelihood
1819CRA1202	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-2019	Completion of phase 1 infrastructure works on hold to allow for reprocurement in accordance with CPRs. Rugby Club works progressing on programme for an October relocation. Utilities connection to the clubhouse needs to be resolved prior to this. Planning Application for the Innovation centre concept design process commenced, forecast June 2018 for submission.				

1819CRA12 03	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 tenants	Joe Chesterton	31-Mar-2019	Quarter 4 - The planning application is slightly delayed due to refining anchor tenant requirements, the final pre-application processes are underway with meetings set up. Letting to the Original Bowling Company Ltd (T/A Hollywood Bowl) has also exchanged. Coach Park Condition documentation is being finalised.				
-----------------	---	----------------	-------------	--	---	--	--	--

Risk Title	13. Local Plan						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1819CRR13	Risk that the failure to meet deadlines and make sufficient progress in producing a Local Plan will lead to Secretary of State intervention, resulting in reputational damage to the Council and the potential imposition of unwanted planning policies	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		
1. Control: Reports to Cabinet Assurance: Council minute system 2. Control: Regular reports to Corporate Management Team Assurance: Reports/Minutes 3. Control: Member Local Development Framework Working Party Assurance: Reports/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	
1819CRA1301	Ensure an in-principle decision to proceed with the preparation of the development of a Local Plan for the borough.	Peter Geraghty	31-Mar-2019	Report to 19.6.18 Cabinet to agree in principle decision to proceed and include time-table, budget and agreement to consult on a statement of community involvement.	✓	4	
1819CRA1302	Begin consultation with community and stakeholders on issues and options in line with 'Regulation 18'	Peter Geraghty	31-Mar-2019	Preparations will follow agreement to proceed at June Cabinet	✓		
1819CRA1303	Ensure continued alignment of the Local Plan with the development of the Joint Strategic Plan and other key Council strategies (including Corporate Plan, Southend 2050, Housing Strategy).	Peter Geraghty	31-Mar-2019	To be undertaken as part of development of the Local Plan	✓		