

# Southend-on-Sea Borough Council

Report of Chief Executive and Town Clerk  
To  
**Cabinet**  
On  
**17 January 2018**

Agenda  
Item No.

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Analyst

## 2018-19 Corporate Risk Register - Quarter 3 update

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### Relevant Scrutiny Committee(s): Policy & Resources, People and Place Scrutiny Committees

Cabinet Member – Cllr Lamb  
A Part 1 Public Agenda Item

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#### 1 Purpose of Report

1.1 To consider the 2018/19 Corporate Risk Register Quarter 3 update.

#### 2 Recommendations

3 That Cabinet considers the 2018/19 Corporate Risk Register and the Quarter 3 updates outlined in Appendix 1.

#### 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 Updates on the Corporate Risk Register are reported to CMT quarterly and to Cabinet twice a year in June and January.

3.1.3 The Corporate Management Team (CMT) has undertaken a review of the current content. This in the context of the proposed work to further develop and align work on risk across the Council so that the approach to risk management is better embedded, supports the governance framework, the transformation agenda and integrated decision making.

3.1.4 The Corporate Management Team have considered the new wording for Corporate Risk 2, and its risk action (number 4). To reflect the transition period between our existing recruitment contract and new recruitment contract with Hays.

- The rewording of Corporate Risk 2 – **Recruiting and retaining staff**. This has been amended from:  
'Risk that failure to have the appropriate staffing resources, with the right skills, will lead to a failure to achieve the Council's ambitions'.  
**To –**  
'Risk that the Council will not have the appropriate staffing resources, with the right skills, resulting in part, from a failure to effectively manage the transition from our existing recruitment partner to the new partner, will lead to a failure to achieve the Council's ambitions'
- The rewording of the risk action 4, under **Recruiting and retaining staff**, has been amended from:

'Develop a framework contract to deliver profession/interim resources to supplement the Reed contract'.

**To –**

'Develop a framework to deliver professional recruitment resources, including a robust implementation plan which is jointly owned by SBC and Hays and which is appropriately managed'.

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

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

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

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

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

3.1.6 Updates on the Corporate Risk Register are reported to CMT quarterly and now to Cabinet every 6 months.

3.1.7 Deputy Chief Executives and Directors ensure service specific risks are managed within their departments, within service plans and in accordance with the risk management strategy and processes. 'Red' rated risks with corporate implications can be escalated to CMT via Corporate Directors. Actions for all these risks are updated and reviewed by Departmental Management Teams.

3.1.8 Operational risks, managed within departments, are also assessed as part of reviews undertaken by Internal Audit and project risks are monitored by the CMT where applicable.

3.1.9 A review of the Council's corporate risk framework will be undertaken in the New Year with a view to ensuring the approach to risk management supports the Southend 2050 and the transforming together programme.

#### **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 Risk Matrix**

**Appendix 2 - 2018/19 Corporate Risk Register Quarter 3 update**

# Corporate Assurance Risk Register Update 2

## 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			



# 2018-19 Corporate Risk Register

Generated on: 21 December 2018

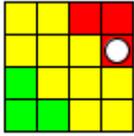
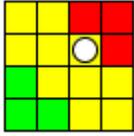
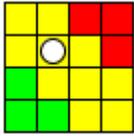
Risk Title	<b>1. Council Budget/Financial Sustainability</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood
1819CRR01	Risk that failure to manage the short term budget gap and growing 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							
<p><b>1. Control:</b> Budget setting process to identify required savings through: budget proposal reports to Departmental and Corporate Management Teams; member seminars; Cabinet; Scrutiny Committees; Council <b>Assurance:</b> reports to and minutes of meetings.</p> <p><b>2. Control:</b> Management oversight of budget setting process through: reports to CMT and Administration <b>Assurance:</b> Reports/Minutes</p> <p><b>3. Control:</b> Senior member and Chief Executive challenge to departments on proposed savings <b>Assurance:</b> Reports and minutes of meetings.</p> <p><b>4. Control:</b> Director challenge to Directors <b>Assurance:</b> Minutes of Departmental Management Team meetings/emails.</p> <p><b>5. Control:</b> Medium Term Financial Strategy (MTFS), including budget pressures to regularly consider financial impact of Government policy reported to CMT, Cabinet and Council <b>Assurance:</b> Reports and minutes of meetings.</p>					Current risk score	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
1819CRA0101	Budget Timeline outlining key milestones to be agreed with the Administration and Senior Leadership Team.	Joe Chesterton	31-May-2018	Quarter 3 - Timeline in place with key deadlines, this action is now complete.		4	
1819CRA0103	Continual monitoring, risk assessment and reporting of progress on options to meet the budget reductions required to set balanced budgets in 2018/19 to 2023/24	Joe Chesterton	31-Mar-2019	Quarter 3 - Budget reductions approved for 2018/19 are continually being monitored through monthly budget monitoring; and are now formally reported to each cabinet with the first report going to 6th November Cabinet.  Options for budget reductions and investments are being considered as part of the budget setting process for 2019/20. The Medium Term Financial Plan has been refreshed to extend to cover 5 years to 2023/24 and will continue to be updated.			

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	Quarter 3 - Strategic Director (Finance and Resources) and finance team horizon scan all Government announcements, including the Autumn Budget Statement (29th October) and Local Government Settlement for inclusion in final budget and in preparation for future budgets.				
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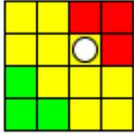
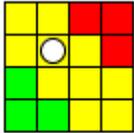
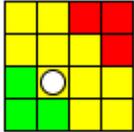
Risk Title	<b>2. Recruiting and retaining staff</b>					
Stage 1 - Risk without controls (Inherent risk)						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood
1819CRR02	Risk that the Council will not have the appropriate staffing resources, with the right skills, resulting in part, from a failure to effectively manage the transition from our existing recruitment partner to the new partner, will lead to a failure to achieve the Councils 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><b>1. Control:</b> Managing Organisational Change Policy; Redeployment Policy &amp; Procedure; Redundancy Policy &amp; Procedure <b>Assurance:</b> Policy documents available via intranet.</p> <p><b>2. Control:</b> Oversight of policies and procedures to ensure consistency of HR policies and processes and in implementing policies relating to restructures through the Corporate Management Team and Workforce Planning Panel <b>Assurance:</b> Reports to and Minutes of meetings.</p> <p><b>3. Control:</b> All staff vacancies, redeployments and redundancies reviewed by the Workforce Planning Panel <b>Assurance:</b> Minutes of Workforce Planning Panel</p> <p><b>4. Control:</b> Recruitment provider to identify recruitment hotspots and plan effective recruitment campaigns <b>Assurance:</b> 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	Quarter 3 - This work is now incorporated into the Transforming Together outcomes and delivery plan.	✓	
1819CRA0202	Participate in regional Children's Social Care Workforce project	Joanna Ruffle	31-Mar-2019	Quarter 3 - Collaborative and focused work with HR and the service area continues.	✓	
1819CRA0203	Participate in regional Planners Workforce project	Peter Geraghty	31-Mar-2019	Quarter 3 - Participation in the regional planners Workforce project no longer required as recruitment drive has enabled the area to be fully staffed.	✓	
1819CRA0204	Develop a framework to deliver professional recruitment resources, including a robust implementation plan which is jointly owned by SBC and Hays and which is appropriately managed	Joanna Ruffle	31-Mar-2019	Quarter 3 - We are now in the implementation phases Hays, with a go live date of February 2019.	✓	
1819CRA0205	Role of Resourcing Manager agreed and funded to drive talent management initiatives across the organisation	Joanna Ruffle	31-Mar-2019	Quarter 3 - Strengthened the strategic capacity in HR. The work will be targeted around the new People Deal. The recruitment service has been reviewed and a new recruitment partner has been appointed.	✓	

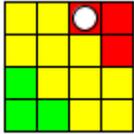
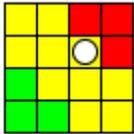
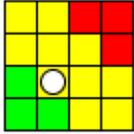
Risk Title	3. Key External Challenges					
<b>Stage 1 - Risk without controls (Inherent risk)</b>						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood
1819CRR03	Risk that the impact of, or a failure to take advantage of, the Government's agenda and the lead up to Brexit, may hamper the ability of the Council to achieve key priorities	Alison Griffin	Strategic	Reputation	12	
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>						
<b>List of controls and associated assurances to ensure controls are working</b>					Current risk score	6 Impact Likelihood
<p>1. <b>Control:</b> Southend Borough Council active member of South East Enterprise Partnership (SELEP) Board and officers aligned to relevant working groups to engage and influence activity and decisions, <b>Assurance:</b> Minutes/Reports</p> <p>2. <b>Control:</b> Corporate Management Team - oversight of Key Projects <b>Assurance:</b> Minutes/ Project Management Reports to CMT</p> <p>3. <b>Control:</b> Success For All Children Group <b>Assurance:</b> Children and Young People Plan/Reports/Minutes</p> <p>4. <b>Control:</b> Health and Wellbeing Board <b>Assurance:</b> Joint Health and Wellbeing Strategy/Report/Minutes</p> <p>5. <b>Control:</b> Association of South Essex Local Authority <b>Assurance:</b> Report/Minutes</p>						
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>						
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score Impact Likelihood
1819CRA0301	Maintaining, renewing and building relationships with key partners	Alison Griffin	31-Mar-2019	Quarter 3 - Violence and Vulnerability partnership approach, campaign launched and action plan agreed at the four strategic partnerships boards. New Area Commander for Essex police confirmed and active. new CEO for SAVS arrived. Both making positive impact already and have a proactive approach to partnership working. Partners have been engaged in the development of Southend 2050. Next quarter will see a series of stakeholder events to develop a partner's timeline and roadmap.		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	Quarter 3 - Corporate management team continue to monitor the opportunities and risks associated with EU Exit. Continue to participate fully in the Essex Resilience Forum which is taking a lead in coordination of planning for Great Essex. Economic Development continue to work alongside businesses to prepare. Horizon scanning through the LGA and MHCLG as the picture becomes clearer. Cabinet will now consider the preparation report in early Q4.		
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	Quarter 3 - Southend Council (via operational staff, formal committees, HWB and the Joint Scrutiny Committee) continues to engage with the STP. Influence with this regard is limited.		

				<p>SBCs influence on the direction for the STP rests mainly in the development of Localities which we are taking a lead on within the Southend system. Simon Leftley has recently been asked to lead the STP response to Locality development.</p> <p>As a result of CCG Joint Committee decisions regarding the STP Southend Council's people scrutiny committee formally considered a referral to the Secretary of State on 9th October 2018. The committee unanimously agreed to refer the STP in its' entirety to the Secretary of State on the basis of inadequate consultation and not in the interests of the local health economy. A letter was sent to the Secretary of State on 23rd November 2018.</p>				
1819CRA0304	Ensure the on-going sustainability of the BEST (Business Essex Southend & Thurrock) Growth Hub within the LEP umbrella through delivery of South East Business Boost and planning for longer term funding and operation.	Emma Cooney	31-Mar-2019	Quarter 3 – BEST Growth Hub funding in place to March 2020 from BEIS. Preparation underway for a potential GRDF funding call which could extend the South East Business Boost (SEBB) project and therefore continue to provide expanded Growth Hub activity.				
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	Quarter 3 - Four outline business cases submitted to SELEP as part of the LGF3b bidding process. Decision due 7 December 2018. As part of the Place Capital Board a pipeline of projects is to be developed as investment propositions should further funding become available through LGF or UKSPF. Continued representation at all OSE and SELEP meetings.				
1819CRA0306	To continually review the risks and opportunities for the Council of Brexit, identifying and implementing required actions.	Alison Griffin	31-Mar-2019	Report outlining risks and opportunities considered by 19.9.18 CMT prior to a report for Cabinet. Actions include: liaison with core suppliers to assess potential impact, notably re: care providers and the labour supply; on-going liaison with neighbouring councils/partners/schools; reviewing emergency planning and business continuity arrangements; participating in the Essex Resilience Forum Brexit working group and other preparations. A local Brexit business group, facilitated by the Council, has started to meet to consider necessary action, particularly in the event of a 'no-deal'.				

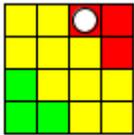
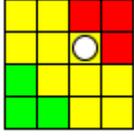
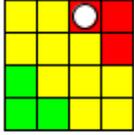
Risk Title	<b>4. Housing</b>					
Stage 1 - Risk without controls (Inherent risk)						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood
1819CRR04	Risk that a failure to implement plans to address rising homelessness and failure to develop a robust 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	Impact Likelihood
1. <b>Control:</b> Core Strategy and Local Development Plan in place <b>Assurance:</b> Strategy documents 2. <b>Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes 3. <b>Control:</b> Housing Strategy <b>Assurance:</b> Documents 4. <b>Control:</b> Housing Working Party: <b>Assurance:</b> 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 Impact Likelihood
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	Quarter 3 - Cabinet endorsed the Housing, Homelessness and Rough Sleeping Strategy on 6th November and Policy & Resources Scrutiny on 29th November. Work is underway to develop our approaches to implementation, and projects are already being taken forward.		 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	Quarter 3 - Successful bids have been submitted to the Ministry of Housing Communities and Local Government resulting in an additional £425k inward investment for 2018-19, and a further £513k for 2019-20. The programme is underway and additional resources are being deployed and providing services for rough sleepers.		
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	Quarter 3 - a draft housing topic paper has been prepared to ensure a consistent baseline to feed into preparation of the Local Plan. Strategic planning team have also contributed to the preparation of Council's Housing Strategy which has not yet been adopted.		

Risk Title	<b>5. Local Infrastructure</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
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	
1. <b>Control:</b> Highway/Footpath Assets Management inventory in place <b>Assurance:</b> Reports 2. <b>Control:</b> Monthly progress reported to DMT and senior managers <b>Assurance:</b> Reports/Minutes 3. <b>Control:</b> Regular reporting to Corporate Management Team <b>Assurance:</b> Reports/Minutes 4. <b>Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes						9	
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	
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	Quarter 3 - Documents all completed, Plan is being used to inform decision making on capital programme.	✓	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	Quarter 3 - Business cases submitted for A127 schemes. S-CATS to be submitted.	✓		
1819CRA0503	Conduct detailed self-assessment to support Challenge Fund bid	Neil Hoskins	31-Mar-2019	Quarter 3 - Self Assessment Complete.	✓		
1819CRA0504	Complete Whole Government Account return (with Finance Dept)	Neil Hoskins	31-Mar-2019	Quarter 3 - This action is now complete.	✓		
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	Quarter 3 - Capital Programme Manager in post since start of year ensuring reporting and compliance with LGF. Additional ongoing involvement of Council's Procurement Team for assurance regarding procurement compliance. Some budget re-profiling necessary for ABP in the new year once there is greater certainty regarding costs on conclusion of procurement exercises.	✓		

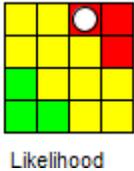
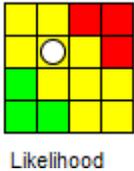
Risk Title	<b>6. Secondary School Places</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
1819CRR06	Risk that failure to provide the required number of school places at secondary schools for 2018 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		
<b>1. Control:</b> School Places working party <b>Assurance:</b> minutes <b>2. Control:</b> Archive of cabinet and Council decisions <b>Assurance:</b> minutes <b>3. Control:</b> Correspondence between stakeholders, schools, Academy trusts, Local MPs, Ministers <b>Assurance:</b> correspondence <b>4. Control:</b> Weekly report on progress from Learning to Executive Councillor <b>Assurance:</b> note of actions					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	
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	Quarter 3 - 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	 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	Quarter 3 - Escalation will continue in the same way when and if required.	✓		
1819CRA0603	Develop a secondary school places strategy to cater for the increasing pupil numbers.	Brin Martin	31-Mar-2019	Quarter 3 - The strategy is currently being run as an expansion model following agreement of current schools to expand. School places working party have agreed this in essence for the medium term and have been presented with a report on a longer term projection of need that links into the planning department strategy that will cover planned housing developments across the borough once approved.	✓		

Risk Title	<b>7. Health and Social Care</b>							
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	12			
Stage 2 - Risk with Controls and Assurances (current risk)								
List of controls and associated assurances to ensure controls are working					Current risk score	Impact	Likelihood	
<b>1. Control:</b> South East Essex Locality Partnership. <b>Assurance:</b> Reports/Meeting Minutes. <b>2. Control:</b> Health and Wellbeing Board. <b>Assurance:</b> Reports/Meeting Minutes. <b>3. Control:</b> Locality Transformation Group. <b>Assurance:</b> Reports/Meeting Minutes. <b>4. Control:</b> Corporate Management Team. <b>Assurance:</b> Reports/Meeting Minutes.					9			
Stage 3 - Further actions to reduce the risk (target risk)								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	Impact	Likelihood
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	<p>Quarter 3 - Southend Council (via operational staff, formal committees, HWB and the Joint Scrutiny Committee) continues to engage with the STP. Influence with this regard is limited. SBCs influence on the direction for the STP rests mainly in the development of Localities which we are taking a lead on within the Southend system. Simon Leftley has recently been asked to lead the STP response to Locality development.</p> <p>As a result of CCG Joint Committee decisions regarding the STP Southend Council's people scrutiny committee formally considered a referral to the Secretary of State on 9th October 2018. The committee unanimously agreed to refer the STP in its' entirety to the Secretary of State on the basis of inadequate consultation and not in the interests of the local health economy. A letter was sent to the Secretary of State on 23rd November 2018.</p>		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	Quarter 3 - 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 is responsible for the business plan being developed. At HWB on 5th Dec the Locality Strategy 'Living Well In Thriving Communities' was signed off alongside the 1 page plans for each of the Southend Localities.				
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	Quarter 3 - Following recommendation from the Partnership the Locality Strategy 'Living Well In Thriving Communities' was signed off at the HWB on 5th Dec alongside the 1 page plans for each of the Southend Localities. The Partnership has also agreed to sign an MoU which will form the foundation of partnership working and represent the ambition for Localities in SEE. The partnership continues to focus on developing the integrated health and care model, maintaining a strong relationship with Southend 2050 and specific plans for each Locality.				

Risk Title	8. Information Management & Cyber Security							
<b>Stage 1 - Risk without controls (Inherent risk)</b>								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	12	 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				
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>								
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>	9	 Impact Likelihood	
<b>1. Control:</b> Senior Information Risk Owner - <b>Assurance:</b> Annual SIRO report to Cabinet <b>2. Control:</b> Annual IG Toolkit assessment – <b>Assurance:</b> Report from independent assessment. <b>3. Control:</b> Regular reports to Corporate Management Team. <b>Assurance:</b> Reports/Minutes <b>4. Control:</b> Corporate Information Governance Group: <b>Assurance:</b> Reports/Minutes								
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	<b>Target risk score</b>	12	 Impact Likelihood
1819CRA0801	Ensure the Corporate Information Governance group continues to oversee the Council's approach to information management, including compliance with new data protection legislation.	Joanna Ruffle	31-Mar-2019	Quarter 3 – The work on the corporate Information & Governance group continues to embed GDPR and to provide strategic oversight in respect of information requirements and legislation.	✓			
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	Quarter 3 - GDPR continues to be embedded as BAU. Face to face training continues to be provided and alternative complimentary provision discussed with the Workforce Development Team is currently being costed. Referrals for data protection advice remain high, indicating heightened awareness levels are being maintained.	✓			
1819CRA0803	Ensure information management is a key part of the Council's transformation agenda.	Joanna Ruffle	31-Mar-2019	Quarter 3 - Digital enablement is a key condition for Transformation. 4 out of the 5 posts in the new Insights team in the corporate Strategy unit has been appointed.	✓			
1819CRA0804	Ensure the Council's cyber security arrangements are up to date and robust enough to withstand attacks.	Nick Corrigan	31-Mar-2019	Quarter 3 - Impact/Likelihood risk-score increased to underline increased UK and therefore SBC threat to cyber-attack. In part this is in reference to the National Cyber Security Centre cyber threat to UK business 2017-2018 report. <a href="https://www.ncsc.gov.uk/cyberthreat">https://www.ncsc.gov.uk/cyberthreat</a>	✓			

				<ul style="list-style-type: none"> <li>. LGA cyber security stocktake report (Oct 18) has highlighted security areas in need of attention.</li> <li>. External audit of SBC has taken place and remedial action plan is being developed.</li> <li>. Capital Project (C10768) Mobile Device End Point Protection purchased and testing has started before organisation-wide deployment during Q3-Q4.</li> <li>. Commissioned Cyber Essentials Plus PEN test has been delayed whilst prep-work is being undertaken.</li> <li>. Members and Social-worker cohort cyber security training completed during Nov 18.</li> <li>. Training provision (cyber / GDPR security videos) is being added to the Council's learning platform with go-live expected during Dec.</li> <li>. ICT Officer (Cyber Security) post offered to Mark Crawshaw as a 12 month secondment starting 01.12.18 ICT continue to work with the Emergency Planning (Resilience) Team.</li> </ul>			
1819CRA0805	Review the Council's approach to the use and sharing of, information and data	Joanna Ruffle	31-Mar-2019	Quarter 3 - This work continues and is overseen by the Corporate Information Governance Group, this work will also be picked up by the JSNA group.			

Risk Title	9. Children's Services Improvement Plan						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood
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		
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					Current risk score	9	Impact Likelihood
<p><b>1. Control:</b> Monitoring and updating of the Children Service's Improvement Plan by the CS Improvement Board. <b>Assurance:</b> Reports/minutes of CS Improvement Board meetings.</p> <p><b>2. Control:</b> Monitoring and updating of the Leadership Narrative Document for Children's services. <b>Assurance:</b> Report/Minutes of Children's Services Improvement Board meetings.</p> <p><b>3. Control:</b> Children's Service Improvement Board bi-monthly meetings <b>Assurance:</b> Report/Minutes.</p> <p><b>4. Control:</b> Children's Departmental Management Team. <b>Assurance:</b> Monthly Performance reports/ minutes of meetings.</p> <p><b>5. Control:</b> People Extended DMT <b>Assurance:</b> Reports to/notes from meetings.</p> <p><b>6. Control:</b> Local Safeguarding Children's Board (LSCB) to complement the children's service improvement plans <b>Assurance:</b> Reports/minutes.</p> <p><b>7. Control:</b> Improvement Board Independent Expert, advice and support. <b>Assurance:</b> Reports to John O'Loughlin, Simon Leftley and the Improvement Board</p>							
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	Impact Likelihood
1819CRA0901	Develop and enhance the resourcing available to the Council's Children's Service, with the recruitment of additional social workers; the embedding of the work of the recently appointed 'Practise Lead' to promote good practice and 'Participation Lead' to	John O'Loughlin	31-Mar-2019	<p>Quarter 3: We have recruited newly qualified social workers as outlined in the previous update. The vacancy rate has reduced and stood at 9 projected vacancies on 29th November.</p> <p>The Practice Unit recruitment has been completed and the post holders will be in post during Q4. The outline plan for the practice unit has been completed and the activity will support both recruitment and retention. The date of the formal launch is 15th January 2019</p>		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	<p><b>In quarter 2 Edge of Care current figures are:-</b></p> <p>Requests for Emergency Visits prior to placement panel and allocation: - <b>12</b>.</p> <p>Family/Fostering visits of cases coming to us in crisis before being presented at panel.</p> <p>Requests for Welfare Visits without allocation:</p>			

- **28.**

Emergency welfare visits to support social care, where case is not and does not open to us.

Duty welfare visits completed to families already open to Edge of Care: - **285**

Crisis calls from allocated cases: - **69.**

Of the 20 reunification that the team have completed:

- **9** were negative assessments with recommendations – children to remain in current placement and reunification isn't recommended

- **11** were positive assessments with recommendations and support plans - reunification recommended children to return to family care

- There is a delay in progressing one case, outstanding from April 2017.

The above have been a combination of unplanned and planned reunification; with children either being returned to the family before a reunification assessment has been undertaken or returning to the family once reunification assessment has been completed.

**In Quarter 2 Edge of Care have closed 20 cases.**

10        Remain in the family home.

1         Placed into Care.

5         Stabilised placements.

1         From Foster Care to Residential Care.

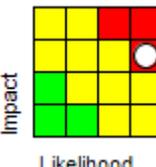
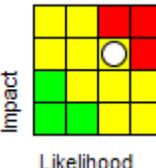
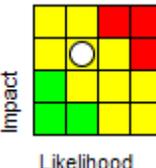
2         De-escalated from CP to Early Help or CIN.

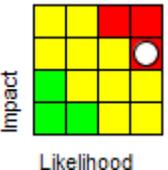
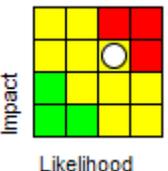
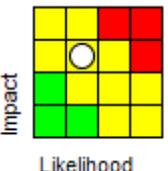
1         Welfare Visits only.

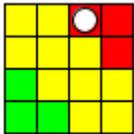
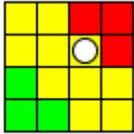
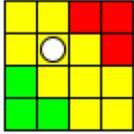
**In quarter 2 Edge of Care have 42 open family cases. (Some children will have dual categories)**

				<p>16 CP plans only.</p> <p>10 CIN only.</p> <p>2 CP and PLO.</p> <p>5 LAC.</p> <p>3 Supervision Order and CIN plan.</p> <p>5 Reunification.</p> <p>2 Supervision Order and CP plan.</p> <p>1 Special Guardianship and CIN plan.</p> <p>12 Families requiring Welfare Visits.</p>			
1819CRA0903	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	<p>Quarter 3 - Early Help Family Support is holding a Service Transformation Workshop on 12th January 2018, building with Southend Service Transformation to produce a robust maturity model action plan to take Troubled Families programme to its end at March 2020. Using the Service Transformation Maturity Model and Data Maturity Model Toolkits we will establish Southend position and produce robust action plans with partner agencies.</p> <p>We have met the TF attachment target of 1480, however Ministry Housing Communities Local Government (MHCLG) has now published a trajectory which shows an increased projected target of 2,600 to allow Payment by Results (PbR's) target to be met by 2020 at our current conversion rate. MHCLG have produced a National LA Performance Table which shows we are 54th position out of 144 Local Authorities with a claim submission of 31% (June 2018).</p> <p>As at end of September we had attached 1756 families and achieved 36%. This 36% has been achieved over 3 years; therefore measures need to be in place to meet the remaining 64% by 2020. This equates to over 53 claims per month. The latest claim window closes on 31st December 2018 when we can update these figures. MHCLG nationally are highly monitoring PbR performance and expecting LA's in last 18 months to meet their claim target. To address this issue a Family Researcher post was agreed to work with Social Care/Commissioned services to ensure</p>			

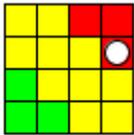
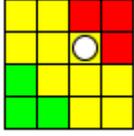
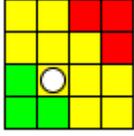
				<p>that outcomes are being aligned to CIN/CP cases. Unfortunately, recruitment of Family Researcher has been difficult and we are hoping to fill this post as soon as possible</p> <p>Adolescent Intervention and Prevention team is now fully functioning and very busy working closely with the police to provide an intense preventative service to address Criminal Exploitation/Child sexual Exploitation/Missing/Gang activity.</p>			
1819CRA0904	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	<p>Quarter 3 - Continuing financial pressures for Children Services linked to PVI costs. Service and practise improvement continues to be targeted through the work of the Children's Services improvement and transformation programme. Following demand management strategy going to CMT in summer significant investment has been agreed and is now being implemented to meet the demand on services, including the introduction and investment in a new practice unit. This additional investment brings us nearer to our CIPFA comparators. Alongside this investment the expectation that we will see quality and performance continue to improve whilst seeing a reduction in placement costs and LAC.</p>			

Risk Title	<b>10. Waste Management</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
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		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
<b>1. Control:</b> Regular contract management meetings with suppliers <b>Assurance:</b> Meeting Minutes/Reports <b>2. Control:</b> Data set monitored by DMT and senior managers <b>Assurance:</b> Reports/Minutes <b>3. Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes					9		
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
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	Quarter 3 - New Deed of Variation agreed to take effect from 1/4/18. This will ensure contract compliance is adhered to in future contract years to ensure specification standards are met and Veolia fully comply with their contractual obligations. Appropriate performance deductions will be applied as and where necessary in accordance with the contract.	✓	6	
1819CRA1002	Ensure SBC have access to waste disposal and treatment facilities that deliver value for money for the Council.	Carl Robinson	31-Mar-2019	Quarter 3 - SBC have agreed a Deed of Variation to the current terms and conditional within the Joint Working Agreement (JWA). SBC will continue to deliver its residual waste to the MBT facility until 31/12/19 and then determine its options going forward. The MBT facility may continue to be used past this date should it demonstrate Value for Money to SBC. Further negotiations will be undertaken in the autumn with ECC.	✓		

Risk Title	<b>11. Flooding / Cliff Slip</b>					
Stage 1 - Risk without controls (Inherent risk)						
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	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
<b>1. Control:</b> Flooding Reports considered by Cabinet <b>Assurance:</b> Reports/Meeting minutes. <b>2. Control:</b> Gully cleaning programme in place <b>Assurance:</b> Programme documents. <b>3. Control:</b> Regular monitoring of Met Office weather alerts <b>Assurance:</b> Alerts/Reports <b>4. Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes					9	
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).	Neil Hoskins	31-Mar-2019	Quarter 3 - Scheme delivery progressing. Arranging start on site dates.	✓	
1819CRA1102	Jointly investigate with Anglia Water Services, possible improvements to drainage system.	Neil Hoskins	30-Apr-2018	Quarter 3 - Detailed design nearing completion. Start on site in new year.	✓	
1819CRA1103	Development of a Cliff Slip Strategy based on a risk minimisation approach	Neil Hoskins	31-Mar-2019	Quarter 3 - Contract out to tender.	✓	
1819CRA1104	Progression of Sea Defence Scheme at Shoebury Common - consultation options	Neil Hoskins	31-Jul-2018	Quarter 3 - Consultation in December 2018.	✓	
1819CRA1105	Shoreline Management Strategy - consultation	Neil Hoskins	31-Mar-2019	Quarter 3 - Additional comments received. Preparing response.	✓	

Risk Title	<b>12. Major Developments</b>						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		Impact Likelihood
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		
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working						Current risk score	Impact Likelihood
<b>1. Control:</b> Corporate Management Team <b>Assurance:</b> Reports/Minutes. <b>2. Control:</b> Corporate Management Team <b>Assurance:</b> Reports/Meeting Minutes <b>3. Control:</b> Project Boards <b>Assurance:</b> Reports/Meeting Minutes <b>4. Control:</b> Cabinet/Scrutiny <b>Assurance:</b> Reports/Meeting minutes						9	
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	Impact Likelihood
1819CRA1201	Queensway Area Regeneration Project, 18/19 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	Quarter 3 - Procurement process progressing well with additional Competitive Dialogue sessions arranged as needed throughout the summer. Deadline for ISDS (Invitation to Submit Detailed Solutions) was September 14th, followed by marking and moderating with feedback going to bidders on Monday 8th October. Additional stage to the process (Refined Solutions) has been added to ensure maximum detail is included within the bid before Final Tender. All documentation up to this stage has been submitted to Audit and signed off as compliant.		6	
1819CRA1202	Airport Business Park 2018/19 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	Quarter 3 - Phase 1 infrastructure works commenced and 75% complete. WRFC relocation strategy agreed and works commenced 75% complete. Innovation Centre (Launchpad) planning application rescheduled to 2019			
1819CRA1203	Seaway Car Park 2018/19 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 3 - The planning application is programmed to be submitted in December 2018. The Coach Park Relocation Condition has been satisfied.			

				<p>Good progress has been made in securing tenants, particularly for the leisure uses.</p> <p>Report on scheme to go to January Cabinet.</p>				
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<b>Risk Title</b>	<b>13. Local Plan</b>						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
<b>Code</b>	<b>Risk - CAUSE, EVENT, EFFECT</b>	<b>Risk Owner</b>	<b>Risk type</b>	<b>Risk category</b>	<b>Inherent risk score</b>		
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		Likelihood
<b>Stage 2 - Risk with Controls and Assurances (current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>		
<b>1. Control:</b> Reports to Cabinet <b>Assurance:</b> Council minute system <b>2. Control:</b> Regular reports to Corporate Management Team <b>Assurance:</b> Reports/Minutes <b>3. Control:</b> Member Local Development Framework Working Party <b>Assurance:</b> Reports/Minutes					9		Likelihood
<b>Stage 3 - Further actions to reduce the risk (target risk)</b>							
<b>Code</b>	<b>Actions to further mitigate risk / maximise opportunities</b>	<b>Action Owner</b>	<b>Due date</b>	<b>Comments / update on progress</b>	<b>RAG Status</b>	<b>Target risk score</b>	
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	Quarter 3 – The Local Plan is progressing.	✓	4	Likelihood
1819CRA1302	Begin consultation with community and stakeholders on issues and options in line with 'Regulation 18'	Peter Geraghty	31-Mar-2019	Quarter 3 - A draft version of the local plan has been prepared. An integrated assessment, comprising sustainability appraisal, is being carried out prior to consultation commencing in the new year.	✓		
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	Quarter 3 - A joint South Essex policy team has been established under an informal arrangement and work on key evidence documents is progressing. Consultation on a joint Statement of Community Involvement is anticipated to commence early in the new year.	✓		