



2018-19 Corporate Risk Register

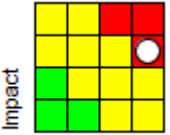
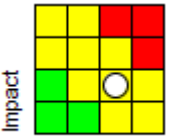

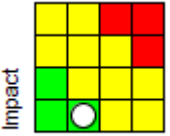


Appendix 2



Generated on: 24 May 2019



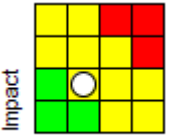


Risk Title	1. Council Budget/Financial Sustainability							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1819CRR01	Risk that failure to manage the short term budget gap and growing demand 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								
<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>					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	Likelihood
1819CRA01	Budget Timeline outlining key milestones to be agreed with the Administration and Senior Leadership Team.	Joe Chesterton	31-May-2018	Quarter 4 - Timeline in place with key deadlines, this action is now complete.		4		

1819CRA01 03	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	<p>Quarter 4 - Budget reductions approved for 2018/19 were continually monitored through monthly budget monitoring and were reported to each Cabinet throughout the year.</p> <p>The final position for the year is being prepared for the June Cabinet.</p> <p>Options for budget reductions and investments were approved as part of the budget setting process for 2019/20. The Medium Term Financial Plan was refreshed to extend to cover 5 years to 2023/24 and will continue to be updated.</p>				
1819CRA01 04	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	<p>Quarter 4 - Strategic Director (Finance and Resources) and finance team horizon scan all Government announcements, including the Autumn Budget Statement and Local Government Settlement for inclusion in the final budget and in preparation for future budgets.</p>				

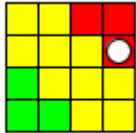
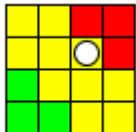

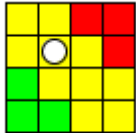

Risk Title	2. Recruiting and retaining staff							
Stage 1 - Risk without controls (Inherent risk)								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact	Likelihood	
1819CRR02	Risk that the Council will not have the appropriate staffing resources, with 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.	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	Quarter 4 - This work is now incorporated into the Transforming Together outcomes and delivery plan.		2		
1819CRA0202	Participate in regional Children's Social Care Workforce project	Joanna Ruffle	31-Mar-2019	Quarter 4 - Collaborative and focused work with HR and the service area continues.				
1819CRA0203	Participate in regional Planners Workforce project	Peter Geraghty	31-Mar-2019	Quarter 4 - 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 4 - The new recruitment partnership is now implemented and work continues to deliver on recruitment priorities.				
1819CRA0205	Role of Resourcing Manager agreed and funded to drive talent management initiatives across the organisation	Joanna Ruffle	31-Mar-2019	Quarter 4 - Strengthened the strategic capacity in HR. Strategic lead for resourcing has been established. The recruitment service has been reviewed and a new recruitment partner has been appointed.				


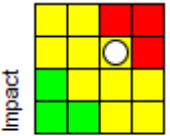
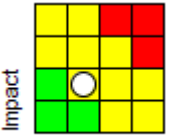
Risk Title	3. Key External Challenges						
Stage 1 - Risk without controls (Inherent risk)							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	Impact Likelihood	
1819CRR03	Risk that the impact of, or a failure to take advantage of, the Government's agenda and the lead up to Brexit, may hamper the ability of the Council to achieve key priorities	Alison Griffin	Strategic	Reputation	12		
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: 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</p> <p>2. Control: Corporate Management Team - oversight of Key Projects Assurance: Minutes/ Project Management Reports to CMT</p> <p>3. Control: Success For All Children Group Assurance: Children and Young People Plan/Reports/Minutes</p> <p>4. Control: Health and Wellbeing Board Assurance: Joint Health and Wellbeing Strategy/Report/Minutes</p> <p>5. Control: Association of South Essex Local Authority Assurance: Report/Minutes</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	
1819CRA0301	Maintaining, renewing and building relationships with key partners	Alison Griffin	31-Mar-2019	<p>Quarter 4 - Violence and Vulnerability partnership approach, campaign launched and action plan agreed at the four strategic partnerships boards. New Area Commander for Essex Police, and new CEO for SAVS both making positive impact and have a proactive approach to partnership working.</p> <p>The 'See the Signs' campaign with Essex Police has raised awareness of the implications of County Lines, been viewed more than 700,000 times electronically as well as the poster distribution, and recognised by the Home Office.</p> <p>Partners have been engaged in the development of Southend 2050, including through a series of stakeholder events to develop a partners timeline and roadmap.</p>		4	


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 4 - 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 considered the implications and preparation report in January.	✓			
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	<p>Quarter 4 - 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.</p> <p>The referral of the STP to the SoS for Health and Care remains unresponded to with no indication of a date when it will be responded to.</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 4 - Continuing liaison with Ministry of Housing Communities and Local Government (MHCLG) regarding forthcoming ERDF (European Regional Development Fund) calls which would offer the opportunity to apply to extend the SEBB programme. Likely to open summer 2019 and close Sept 2019. Preparation work has been underway since Christmas in readiness. UK Shared Prosperity Fund details and possible implications for Growth Hub funding are still unknown pending EU Exit.	✓			

1819CRA03 05	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 4 - the LGF3b process is still ongoing. We continue to play an active role in the discussion and process. Following EU Exit the UK Government plans to replace existing funding streams with the UK Shared Prosperity Fund (UKSPF). Given the ongoing uncertainties around Brexit there has been little detail on the new fund but we will continue to monitor the situation and work on developing the Southend pipeline.	✓			
1819CRA03 06	To continually review the risks and opportunities for the Council of Brexit, identifying and implementing required actions.	Alison Griffin	31-Mar-2019	Quarter 4 – Cabinet report outlining risks and opportunities was taken in January 2019. 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 been meeting to consider necessary action, particularly in the event of a 'no-deal'.	✓			


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	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 deman	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. 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	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	Glyn Halksworth	31-Mar-2019	Quarter 4 - Cabinet endorsed the Housing, Homelessness and Rough Sleeping Strategy on 6th November and Policy & Resources Scrutiny in Q3. Work is underway across the organisation to develop a strategy for increasing supply of all housing types locally, including acquisitions and development to address temporary accommodations pressures.		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	Glyn Halksworth	31-Mar-2019	Quarter 4 - Successful bids were made 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. A further bid for additional resources was submitted to MHCLG during Q4; the outcome is yet to be announced.				

1819CRA04 03	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; Glyn Halksworth	31-Mar-2019	Quarter 4 – 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. Collaborative work will continue beyond the Local Plan issues and options stage to ensure the documents are aligned and address anticipated housing demand.				
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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		
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		 Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
1. Control: Highway/Footpath Assets Management inventory in place Assurance: Reports 2. Control: Monthly progress reported to DMT and senior managers Assurance: Reports/Minutes 3. Control: Regular reporting to Corporate Management Team Assurance: Reports/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	
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 4 - Asset Management Plan and associated documents all complete. Documents all completed, Plan is being used to inform decision making on capital programme.	✓	4	 Likelihood
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 4 - Business case submitted for all schemes	✓		
1819CRA0503	Conduct detailed self-assessment to support Challenge Fund bid	Neil Hoskins	31-Mar-2019	Quarter 4 - Self Assessment Complete.	✓		
1819CRA0504	Complete Whole Government Account return (with Finance Dept)	Neil Hoskins	31-Mar-2019	Quarter 4 - complete	✓		

1819CRA05 05	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 4 – End of Year. All SELEP reporting requirements have been satisfied. Regular communication both formal and informal has established a real sense of trust and understanding. Where profiles do change SELEP fully aware of the reasons why and of the mitigations in place to correct the situation. No Southend projects have featured in SELEP exception reporting in 2018/19.				
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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		
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		 Impact Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working						Current risk score	
1. Control: 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						6	 Impact Likelihood
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
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 4 - 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	Quarter 4 - Escalation will continue in the same way when and if required.	✓		

1819CRA06 03	Develop a secondary school places strategy to cater for the increasing pupil numbers.	Brin Martin	31-Mar-2019	Quarter 4 - 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. Further update report to be presented in summer term 2019.				
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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	Simon Leftley	Strategic	Financial, Service Provision	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: 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
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 4 - 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, however, the STP have begun to engage with the 3 LAs more comprehensively to enable greater involvement in planning. 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</p>		4	


				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. Consideration / deliberation from the SoS Health and Social Care is still outstanding.				
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 4 - HWB hold regular discussions regarding the development of the STP proposals and the Southend Locality development. A South East Essex governance approach to developing Localities is now operational. This partnership is accountable to HWB and is responsible for the business plan being developed. The Locality Strategy 'Living Well In Thriving Communities' is agreed and is now being implemented through the Partnership. Primary Care Networks present a significant risk to the geography of the Southend Localities and the Partnership has now agreed approach to inclusion.	✓			
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 4 - Following sign off of the Locality Strategy 'Living Well In Thriving Communities' The Partnership has also agreed an MoU which will form the foundation of partnership working and represent the ambition for Localities in SEE. Plans to develop Locality Dashboards and implementation plans are now in progress.	✓			


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			
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: 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>								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
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 4 - The work of the corporate Information & Governance group is now part of the work programme of the Good Governance Board going forward. This Board will be chaired by the Senior Information Risk Owner (SIRO).		12		
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 4 - DP/GDPR continues to be embedded as BAU, referrals for advice remain high, indicating good awareness. The SPARK training module and previous Face to Face training is imminently to be replaced by e-learning, refreshing its profile across the organisation. During the training role out intelligence will be gathered about potential additional training requirements. The GDPR Group will be refocused to align with the new Governance architecture.				

1819CRA0803	Ensure information management is a key part of the Council's transformation agenda.	Joanna Ruffle	31-Mar-2019	Quarter 4 - Digital enablement is a key condition for Transformation. The new Insights team in the Corporate Strategy unit is now fully staffed.				
1819CRA0804	Ensure the Council's cyber security arrangements are up to date and robust enough to withstand attacks.	Sandeep Thakrar	31-Mar-2019	Quarter 4 - Risk assessed impact and likelihood of cyber-attack remains high. ICT Officer (Cyber Security) currently processing the IT Health Check (ITHC) and starting to mitigate risks raised within the report. Delivery of the Mobile Device End Point is due for completion on the 17.05.19. ICT and Data Governance Teams are evaluating the IT Security Action Plan (LGA Stocktake), setting goals and assigning responsibilities. Further Cyber Workshops completed during March 19 with very positive feedback. Training around Ransomware is being delivered through a service called Metacompliance. Progress at 80% SBC cannot guarantee we can withstand (all) attacks.				
1819CRA0805	Review the Council's approach to the use and sharing of, information and data	Joanna Ruffle	31-Mar-2019	Quarter 4 - This work continues and will now be overseen by the Good Governance Board, this work will also be picked up by the JSNA 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		 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	 Likelihood
<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>							
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	<p>Quarter 4 - We have recruited newly qualified social workers and team managers as outlined in the previous update. We continue to have challenges in relation to recruitment which reflects the national picture</p> <p>The Practice Unit recruitment has been completed and the post holders are now in place. We are recruiting for 0.5 Level 9 post which recently became vacant and this will be completed during Q1.</p>		6	 Likelihood

<p>1819CRA09 02</p>	<p>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.</p>	<p>John O'Loughlin</p>	<p>31-Mar-2019</p>	<p>Quarter 4 update for Edge of Care</p> <p>Requests for Emergency Visits prior to placement panel and allocation: - 43.</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: - 30.</p> <p>Emergency welfare visits to support social care, where case is not and does not open to us.</p> <p>Duty welfare visits completed to families already open to Edge of Care: - 356</p> <p>Crisis calls from allocated cases: - 158.</p> <p>Of the 22 reunifications that the team have had:</p> <ul style="list-style-type: none"> - 9 were negative assessments with recommendations – children to remain in current placement and reunification isn't recommended - 10 were positive assessments with recommendations and support plans - reunification recommended children to return to family care - Three are still being completed. <p>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.</p>	<p style="text-align: center;"></p>			
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				<p>In Quarter 4 Edge of Care have closed 16 cases.</p> <ul style="list-style-type: none"> 5 Remain in the family home. 5 Placed into Care. 3 Stabilised placements. 1 From Foster Care to Residential Care. 2 Welfare Visits only. <p>In quarter 4 Edge of Care have 55 open family cases. (Some children will have dual categories)</p> <ul style="list-style-type: none"> 19 CP plans only 2 CIN only 11 CP and PLO 8 LAC 5 Supervision Order and CIN plan 8 Reunification 0 Supervision Order and CP plan 0 Special Guardianship and CIN plan 3 Families requiring Welfare Visits 			
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 4 - Early Help Family Support held a Service Transformation Workshop on 12th December 2019. This was well attended and enabled the Transformation plan to be updated and submitted to the MHCLG</p> <p>We have met the TF attachment target of 1480, however 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</p>			

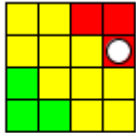
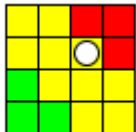
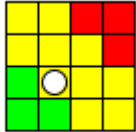
				<p>current conversion rate. Southend have currently claimed 42% of PbRs and a robust plan is in place to assist in ensuring we are able to optimise PbRs.</p> <p>The Family Researcher is now in place and starting to work with Social Care to ensure we capture successful CN closures with our PbR outcomes.</p> <p>The Family Support team are working closely with the Data Team to look at different data sources which evidence positive outcomes to enhance Pbr payments. This will be supported by the Family researcher.</p> <p>Adolescent Intervention and Prevention team are offering an Early Help response to all those that deemed to be at risk of exploitation / gangs / missing. All intelligence reports result in joint home visits between AIP Team and Police. A raft of Early Intervention programmes are being offered in schools.</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 4 - Service and practise improvement continues to be targeted through the work of the Children's Services improvement and transformation programme. The investment made off the back of the demand research has now been implemented, including the introduction and investment in a new practice unit which is part of the new corporate Workforce Development Team. We have seen an improvement in performance and this has been reflected in the recent annual conversation held with Ofsted in April 2019.</p>			

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		
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	9		 Impact Likelihood
Stage 2 - Risk with Controls and Assurances (current risk)							
List of controls and associated assurances to ensure controls are working					Current risk score		
1. Control: 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		 Impact Likelihood
Stage 3 - Further actions to reduce the risk (target risk)							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	
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 4 –New Deed of Variation agreed which took place 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	 Impact 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	Quarter 4 –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 5/10/23. The MBT facility may continue to be used past this date should it continue to demonstrate Value for Money to SBC beyond 2023.	✓		

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		
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		 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: 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		 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	
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 4 – Projects on-going. Work start dates being programmed.	✓	6	 Likelihood
1819CRA1102	Jointly investigate with Anglia Water Services, possible improvements to drainage system.	Neil Hoskins	30-Apr-2018	Quarter 4 – Works completed (Crosby Road Scheme) as part of tranche 2a Challenge Fund	✓		
1819CRA1103	Development of a Cliff Slip Strategy based on a risk minimisation approach	Neil Hoskins	31-Mar-2019	Quarter 4 – Contract award imminent.	✓		
1819CRA1104	Progression of Sea Defence Scheme at Shoebury Common - consultation options	Neil Hoskins	31-Jul-2018	Quarter 4 - Consultation complete. Updates to CMT being prepared.	✓		
1819CRA1105	Shoreline Management Strategy - consultation	Neil Hoskins	31-Mar-2019	Quarter 4 – Revised strategy resubmitted following comments process.	✓		

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		
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		
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		
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	
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 4 – Procurement process complete with successful appointment of Swan Housing Association as JV partner. Recommendation went to Full Council on 22nd February and contracts were signed on 24th April. Residents and Businesses have been informed and a press release was issued. Resident communication has started with Social life survey launching on 3rd May	✓	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 4 –Phase 1 infrastructure works completed. Phase 1 utility works to be completed by October 2019. WRFC clubhouse and pitch works completed – once utilities works completed clubhouse handed over to WRFC (expected Oct/Nov 2019). Pre-application discussions ongoing with Rochford over The Launchpad.	✓		

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 4 - The planning application was submitted in December 2018. Full report on scheme and extending agreement approved at January Cabinet.				
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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		 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: 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		 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	
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 4 – Local Plan progressed beyond the Issues and Opportunities stage.	✓	4	 Likelihood
1819CRA1302	Begin consultation with community and stakeholders on issues and options in line with 'Regulation 18'	Peter Geraghty	31-Mar-2019	Quarter 4 – Local Plan progressed and the Issues and Opportunities consultation stage has been completed.	✓		
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 4 – A joint South Essex policy team, including officers from Southend, has been established under an informal arrangement and work on key evidence documents and a Statement of Community Involvement is progressing. Officers working on the Local Plan continue to work with those involved in the Joint Strategic Plan and other Council strategies to ensure alignment as they progress.	✓		

