2019-20 Corporate Risk Register - Appendix 2

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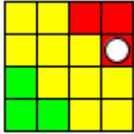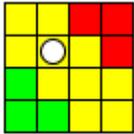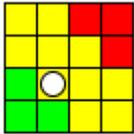
Risk Title	1. Council Budget/Financial Sustainability

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	16	
1920CRR 01	Risk that failure to address the financial challenge by effectively managing the growing demand for services and enhancing local income streams will threaten the medium to long term financial sustainability of the Council, leading to a significant adverse impact on Council services.	Joe Chesterton	Strategic	Financial / Reputational	Inherent risk score	16	

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working	Current risk score	6	
1. Control: Budget setting process to identify required resource position through: budget proposal reports to Service and Corporate Management Teams; member seminars; Cabinet; Scrutiny Committees; Council **Assurance:** Reports to and minutes of meetings. **2. Control:** Move to outcome based budgeting to re-align resources and management oversight of a longer terms budget setting process through: reports to CMT and Cabinet **Assurance:** Reports to and minutes of meetings. **3. Control:** Senior member and management challenge to services on realignment of budgets **Assurance:** Reports to and minutes of meetings. **4. Control:** Budget challenge through Getting to Know our Business process **Assurance:** Minutes of meetings / emails. **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 to and minutes of meetings. **6. Control:** Regular budget monitoring outlining causes for variances and proposed actions to address reported to CMT, Cabinet and Council **Assurance:** Reports to and minutes of meetings.	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	4	
1920CRA01 01	Budget Timeline outlining key milestones to be agreed with the Administration and Senior Leadership	Joe Chesterton	31-May-2019	Quarter 2 - Timeline in place with key deadlines.	✅	Target risk score	4	

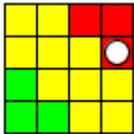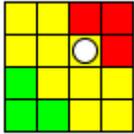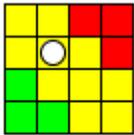|								
	Team.							
1920CRA0103	Continual monitoring, risk assessment and reporting of progress on options to meet the budget reductions required to set balanced budgets for 2020/21 to 2025/26.	Joe Chesterton	30-Jun-2020	Quarter 2 - Budget reductions approved for 2019/20 are continually monitored through monthly budget monitoring and are being reported to each Cabinet throughout the year. The final position for the year will be prepared for the June Cabinet. Options for budget reductions and investments are being approved as part of the budget setting process for 2020/21 to 2024/25. The Medium Term Financial Plan will be refreshed to extend to cover 5 years to 2025/26 and will continue to be updated.	✅			
1920CRA0104	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-2020	Quarter 2 - Executive Director (Finance and Resources) and finance team horizon scan all Government announcements, including the Spending Round announcement and Local Government Settlement for inclusion in the final budget and in preparation for future budgets. Preparing for financial self-sustainability by identifying additional income sources in readiness for significant funding changes being anticipated from 2021/22.	✅			

Risk Title	2. Workforce

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	12	
1920CRR02	Risk that the Council will not have the appropriate staffing resources, with the right skills working in the right places within collaborative teams, resulting, in part, from a failure to effectively embed the arrangements with the new recruitment partner, leading to a lack of workforce capacity resulting in a failure to achieve the Council's ambitions.	Joanna Ruffle	Strategic	Service Provision			

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working	Current risk score	6	
1. Control: Managing Organisational Change Policy; Redeployment Policy & Procedure; Redundancy Policy & Procedure **Assurance:** Policy documents available to all staff via intranet. **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 via Business World **Assurance:** Reports to and Minutes of meetings. **3. Control:** All staff vacancies, redeployments and redundancies are assessed by HR and Finance in partnership with managers and signed off by Directors via Business World **Assurance:** HR and Finance reporting. **4. Control:** Recruitment provider to identify recruitment hotspots and plan effective recruitment campaigns **Assurance:** Service Level Agreement, Contract management. **5. Control:** Updated Values and Behaviours framework being used to drive recruitment through Behaviour based recruiting **Assurance:** Training being provided to all recruiting managers who will not be allowed to recruit without having the training.			

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	2	
1920CRA0201	Continue to embed Talent Management Strategy (including apprenticeships, graduate traineeships, graduate sponsorships and career progression)	Joanna Ruffle	31-Mar-2020	Quarter 2 - This work is now incorporated into the Transforming Together outcomes and delivery plan.	✅			
1920CRA0202	Participate in regional Children's Social Care Workforce project	Joanna Ruffle	31-Mar-2020	Quarter 2 - Collaborative and focused work with HR and the service area continues.	✅			
1920CRA0204	Develop a framework to deliver professional recruitment resources, including a robust implementation plan which is jointly owned by SBC	Joanna Ruffle	31-Mar-2020	Quarter 2 – The new recruitment partnership is now implemented and work continues to deliver on recruitment priorities.	✅			

	and Hays and which is appropriately managed							
1920CRA02 05	Resourcing Manager to drive talent management initiatives across the organisation	Joanna Ruffle	31-Mar-2020	Quarter 2 - Strengthened the strategic capacity in HR. Strategic lead for resourcing has been established. The recruitment service has been reviewed and the new recruitment partner is in place and operational.	✅			
1920CRA02 06	Deliver behaviour based recruiting training to all recruiting managers	Joanna Ruffle	31-Mar-2020	Quarter 2 – behaviour based recruiting training being delivered to all recruiting managers through November.				

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	12	
1920CRR 03	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	Inherent risk score	12	Impact / Likelihood

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working	Current risk score	6	
1. **Control:** Southend Borough Council active member of South East Enterprise Partnership (SELEP) Board and officers aligned to relevant working groups to engage and influence activity and decisions, **Assurance:** Minutes/Reports 2. **Control:** Corporate Management Team - oversight of Key Projects **Assurance**: Minutes/ Project Management Reports to CMT 3. **Control:** Success For All Children Group **Assurance**: Children and Young People Plan/Reports/Minutes 4. **Control:** Health and Wellbeing Board **Assurance:** Joint Health and Wellbeing Strategy/Report/Minutes 5. **Control:** Association of South Essex Local Authority **Assurance:** Report/Minutes	Current risk score	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	4	
1920CRA03 01	Maintaining, renewing and building relationships with key partners	Alison Griffin	31-Mar-2020	Quarter 2 - The South East Essex Locality Partnership Group has developed relationships across the SEE system, a shared Locality Strategy and MoU. The Town Centre Action Group has developed an action plan to lead on enforcement action to deal with the most prolific individuals plus support and outreach work under the Rough Sleeper Initiative. Violence and Vulnerability partnership approach, campaign launched and action plan agreed at the four strategic partnerships boards. 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	✓	Target risk score	4	Impact / Likelihood

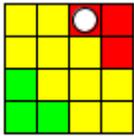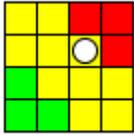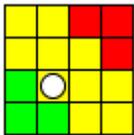|									
				Office. Partners have been engaged in the development of Southend 2050, including through a series of stakeholder events to develop a partners timeline and roadmap.					
1920CRA0302	Continue to undertake horizon scanning of key developments in relation to new government legislation, policy and Brexit negotiations	Alison Griffin	31-Mar-2020	Quarter 2 - 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 and was further updated in September 2019.	✅				
1920CRA0303	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-2020	Quarter 2 - Southend Council (via operational staff, SEE Partnership Group, formal committees and HWB) 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. The referral of the STP to the SoS was responded to during this quarter and the SoS has rejected the council's referral.	✅				
1920CRA0304	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-2020	Quarter 2: Submission made in regards to extension of the SEBB programme, to be first considered by the ESIF committee in November. Indications are that the fund is oversubscribed thus presenting an increased risk of not being successful or a reduced amount of funding being made available. Additional funding has been secured by BEST to deliver Brexit support. This is a combination of different funding sources. No further information about the shared prosperity fund, indications are that this is not likely to be published until closer to end of the current EU funding round (March '21)	✅				

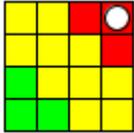| 1920CRA03 05	Continue to make the case for Growth Fund Investment in Southend by working with the South Essex Growth Partnership and SELEP.	Andrew Lewis	31-Mar-2020	Quarter 2 - Continued close working with SELEP reporting on existing schemes and managing delivery of live projects. New business case submitted to LGF 3b round for the town centre, to be considered by the board in November. Also currently exploring the Growing Places Fund (revolving loan fund) which will be looking for bids by early 2020	✅			
1920CRA03 06	To continually review the risks and opportunities for the Council of Brexit, identifying and implementing required actions.	Alison Griffin	31-Mar-2020	Quarter 2 – Cabinet report outlining actions taken by the Council to date in its preparations for Brexit agreed by Cabinet Sept 2019. This reflected the Secretary of State request for Councils to have a Brexit lead officer and the sort of activities they should be undertaking. Internal working group meeting on a weekly basis with weekly organisation-wide reporting in place. Information then used to inform ERF and EELGA weekly reports. Awareness raising through BEST Growth Hub, schools, care providers network, main suppliers and partners. ERF Brexit specific plans in place and SCG is stood up.	✅			

Risk Title	4. Housing

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category			
1920CRR04	Risk that a failure to implement plans to address rising homelessness and failure to implement the Housing, Homelessness and Rough Sleeping 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	Inherent risk score	12	

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working			
1. **Control:** Core Strategy and Local Development Plan **Assurance:** Strategy documents to provide direction 2. **Control:** Cabinet/Scrutiny **Assurance:** Reports to and minutes of meetings 3. **Control:** Housing, Homelessness and Rough Sleeping Strategy **Assurance:** Strategy document to provide direction 4. **Control:** Housing Working Party: **Assurance:** Reports to and minutes of meetings	Current risk score	9	

Stage 3 - Further actions to reduce the risk (target risk)

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status			
1920CRA0401	Progress delivery of plans contained in the new Housing, Homelessness and Rough Sleeping 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-2020	Quarter 2: work is underway on several aspects of the Housing, Homelessness and Rough Sleeping Strategy to deliver on its objectives and ambitions. Reporting of progress around allocations policy, South Essex Homes agreement and the housing and regeneration pipeline has been regularly provided since the strategy was adopted. The housing pipeline work is reporting to each Cabinet and a number of sites are currently progessing that will form the first phase of the pipeline. HRA land review project has identified two sites that will potentially lead to 56 affordable homes. The acquisitions programme for council housing has continued and a number of	✓	Target risk score	6	

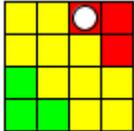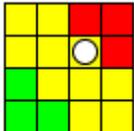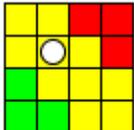|								
				properties have been purchased from the open market.				
1920CRA04 02	Progress the Council's bid for additional resources from the Government's new street homelessness fund to tackle the issue in the borough	Glyn Halksworth	31-Mar-2020	Quarter 2 – Work continues across Southend Council and with partner services (HARP, STARS, Peabody, Love Southend) to offer support and accommodation to rough sleepers. Work is now underway in preparation for Winter 19-20. Additional resources were successfully bid for to augment this scheme and staff have been recruited to new roles such that an even broader and more sustainable offer will be in place during Q3.	✅			
1920CRA04 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-2020	Quarter 2 - Collaborative work is on-going as the local plan and its supporting evidence base continues to move forward. 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.	✅			

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	12	
1920CRR05	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			

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working	Current risk score	9	
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			

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	4	
1920CRA0502	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-2020	Quarter 2 - Business case submitted for Cliff stabilisation works at Leigh and Expression of Interest submitted for Bridge Structure upgrade.	✓			
1920CRA0503	Conduct detailed self-assessment to support Challenge Fund bid	Neil Hoskins	31-Mar-2020	Quarter 2 – This is submitted annually and will be done in Quarter 4.	✓			
1920CRA0505	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-2020	Quarter 2 – SELEP monitoring and reporting is up to date. Year to date Airport Business Park spend is ahead of profile demonstrating good progress on site.	✓			

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	12	
1920CRR 07	Risk that the implementation of the Mid and South Essex Sustainability and Transformation Partnership (STP) proposals and implementation of the Localities Model does not result in effective health and social care outcomes for residents resulting in increased health inequalities, worsening health outcomes and significant cost increases.	Simon Leftley	Strategic	Financial, Service Provision			

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working	Current risk score	9	
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 (being replaced with sub-groups). **Assurance:** Reports/Meeting Minutes. 4. **Control:** Corporate Management Team. **Assurance:** Reports/Meeting Minutes. 5. **Control:** Joint SBC CMT and CCG CMT meetings. **Assurance:** Reports/Meeting Minutes.			

Stage 3 - Further actions to reduce the risk (target risk)

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	4	
1920CRA07 01	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-2020	Quarter 2 - Southend Council (via the SEE Partnership Group, formal committees and HWB) 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 and Primary Care Networks (PCNs) which we are taking a lead on within the Southend system.	✅			
1920CRA07 02	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-2020	Quarter 2 - 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 operational	✅			

				and leads the delivery. This partnership is accountable to HWB and is responsible for the activity of the STPs strategic plans through its local business plan. 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.				
1920CRA0703	Reshaping the mandate 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-2020	Quarter 2 - The SEELP continues to operate monthly and is a partnership formed across Essex CC, SBC and the two CCGs. The partnership also includes providers, the voluntary sector, public health and patient representative. A revised MoU is in development to support the partnership and the relationships being built and work being progressed through the partnership is widely considered to be the foundation to the integrated care systems being developed.	✅			
1920CRA0704	Production of annual Joint Strategic Needs Assessment to provide a clarified understanding of the issues to be focussed upon and addressed using the JSNA to provide evidence-based priorities for commissioning.	Krishna Ramkhelawon	31-Jan-2020	Work in progress to prepare the JSNA and the summary report for the Health & Wellbeing Board.	✅			
1920CRA0705	Production of the Annual Public Health Report 2019/20 that provides an opportunity to focus attention on particular issues that impact on the health and wellbeing of the local population, highlight any concerns and make recommendations for further action.	Krishna Ramkhelawon	30-Jun-2020	The Annual Public Health Report 2019/20 will be prepared by the interim Director of Public Health and presented to the Health & Wellbeing Board.	✅			

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	16	
1920CRR08	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 a data breach or cyber-attack, leading to significant financial and reputational damage to the Council	John Williams	Strategic	Reputational, Financial			

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working	Current risk score	9	
1. Control: Mandatory Data Protection and Cyber Security Training for all staff - **Assurance:** Completion of training by all staff **2. Control:** Senior Leadership Team participating annually in Cyber Security Exercise - **Assurance:** Successful completion of exercise **3. Control:** Senior Information Risk Owner - **Assurance:** Annual SIRO report to Cabinet **4. Control:** Annual IG Toolkit assessment – **Assurance:** Report from independent assessment **5. Control:** Regular reports to Good Governance Group. **Assurance:** Reports/Minutes			

Stage 3 - Further actions to reduce the risk (target risk)

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	9	
1920CRA0801	Ensure the Good Governance Group continues to oversee the Council's approach to information management, including compliance with data protection legislation.	John Williams	31-Mar-2020	Quarter 2 – The Good Governance Group reviews this as a standing item on its agenda. The group is chaired by the Senior Information Risk Owner (SIRO).	✅			
1920CRA0802	Ensure the Council's project plan, and associated officer group, for embedding of the General Data Protection Regulations (GDPR) is fit for purpose to deliver continued compliance with data protection legislation.	Lysanne Eddy	31-Mar-2020	Quarter 2 - DP/GDPR continues to be embedded as BAU, referrals for advice remain high, indicating good awareness. New e-learning has been made mandatory for all staff and rolled out across the organisation. During the training roll out intelligence has been gathered about potential additional training requirements. The GDPR Group has been realigned into the Good Governance Group.	✅			
1920CRA0803	Ensure information management is a key part of the Council's transformation agenda.	Joanna Ruffle	31-Mar-2020	Quarter 2 - Digital enablement is a key condition for Transformation. The Insights team in the Corporate Strategy unit is fully staffed and now operating as BAU.	✅			

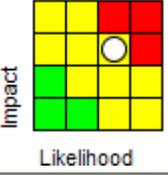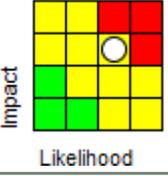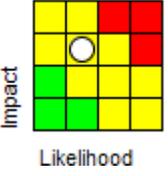|									
1920CRA08 04	Ensure the Council's cyber security arrangements are up to date and robust enough to withstand attacks.	Sandeep Thakrar	31-Mar-2020	Quarter 2 – Risk assessed and impact and likelihood of cyber-attack remains high. A Head of IT Security and Compliance role has been created and is currently being recruited to, as part of the restructure of ICT. They will be focussed on the cyber security challenge. The current team have created a Cyber Security Baseline assessment that will inform next steps, as will the National Cyber Security Centre top 10 steps.		✅			
1920CRA08 05	Review the Council's approach to the use and sharing of, information and data	Joanna Ruffle	31-Mar-2020	Quarter 2 - This work continues and is overseen by the Good Governance Group, this work is also picked up by the JSNA group.		✅			

Risk Title	9. Children's Services						

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score	12	
1920CRR 09	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 deliver the outcomes anticipated by the Council's roadmap for the children in need of support.	Simon Leftley	Strategic	Reputational			

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working	Current risk score	9	
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. **2. Control:** Monitoring and updating of the Leadership Narrative Document for Children's services. **Assurance:** Report/Minutes of Children's Services Improvement Board meetings. **3. Control:** Children's Service Improvement Board bi-monthly meetings **Assurance:** Report/Minutes. **4. Control:** Children's Departmental Management Team. **Assurance:** Monthly Performance reports/ minutes of meetings. **5. Control:** People Extended DMT **Assurance:** Reports to/notes from meetings. **6. Control:** Local Safeguarding Children's Board (LSCB) to complement the children's service improvement plans **Assurance:** Reports/minutes. **7. Control:** Improvement Board Independent Expert, advice and support. **Assurance:** Reports to John O'Loughlin, Simon Leftley and the Improvement Board			

Stage 3 - Further actions to reduce the risk (target risk)

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	6	
1920CRA09 01	Develop and enhance the resourcing available to the Council's Children's Service, with the recruitment of additional social workers; embedding the work of the recently appointed 'Practise Lead' to promote good practice and 'Participation Lead' to enhance participation.	John O'Loughlin	31-Mar-2020	Quarter 2 - Following the ILACS inspection the improvement plan is being revised to take account of their findings. We have a commitment to continuing the control measures and the introduction of the performance board during Q4 is supporting the improvement actions and outcomes being driven forward.	✅			
1920CRA09 02	Embed the 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	John O'Loughlin	31-Mar-2020	Quarter 2 update for Edge of Care **Requests for Emergency Visits prior to placement panel and allocation: - 34.** Family/Fostering visits of cases coming to us in	✅			

	placements.			crisis before being presented at panel. **Requests for Welfare Visits without allocation: -52.** 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: - 134** **Crisis calls from allocated cases: - 150.** Of the 26 reunifications that the team have had: - 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 - 7 are still being completed. 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 35 cases**. 12 Remain in the family home 2 Alternative Family arrangements 4 Placed into Care 2 Stabilised placements 2 Foster placements broken down 1 Successful reunification 1 Negative reunification 0 From Foster Care to Residential Care 8 Welfare Visits only 3 Cases found no service required from Edge of Care				

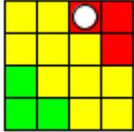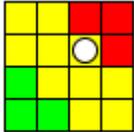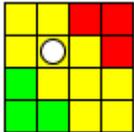|									
				In quarter 2 Edge of Care have had 32 cases referred. 6 CP plans only 3 CP plan and PLO 5 CIN only 6 LAC 5 Reunification 7 Families requiring Welfare Visits					
1920CRA0903	Implement and embed the Early Help Phase 2 programme, which, working in partnership with other care professionals will aim to improve the first contact service for vulnerable children.	John O'Loughlin	31-Mar-2020	Quarter 2 - Early Help Family Support has recently introduced a new parenting programme that has just successfully finished working with its second cohort of families. Early Help Family Support is working closely with Social Care to ensure a smooth transition for families who step down from Social Care intervention. Families are now contacted within 5 days of referral by a new duty team within the service. 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 current conversion rate. Southend have currently claimed 48% of PBR's and a robust plan is in place to assist in ensuring we are able to optimise PBR's. The Family Researcher is continuing to work with Social Care to ensure we capture successful CN closures with our PBR outcomes. 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. 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.	✅			

| 1920CRA09 04 | Undertake a full budget and performance review of Children's Services to assess levels of resourcing against the demand for services, to address the forecast budget overspend currently being experienced. | Simon Leftley | 31-Mar-2020 | Quarter 2 - Early Help Family Support has recently introduced a new parenting programme that has just successfully finished working with its second cohort of families. Early Help Family Support is working closely with Social Care to ensure a smooth transition for families who step down from Social Care intervention. Families are now contacted within 5 days of referral by a new duty team within the service.

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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.

The service continue to plan to manage the increase in placement demand, by building our local in-house foster care capacity and sourcing local residential care provision.
From a staffing perspective the medium to long term strategy is to increase the use of Newly Qualified Social Workers and permanently | ✅ | | |

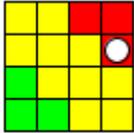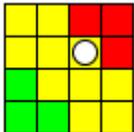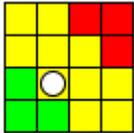|								
				employed Social Workers, which should result in less reliance on agency staff and the removal of the current range of temporary posts. Mitigation actions of £0.8m have been identified and additional work is being undertaken to try to reduce the forecast overspend further whilst still meeting the needs of children and families.				
1920CRA09 05	Review the use of Children's Centres to deliver an improved Children's wellbeing pathway	Brin Martin	31-Mar-20	Birth, attendance and footfall data is being used to assess the effectiveness of the provision to support young families. This includes close working with stakeholders and partners including A Better Start Southend, SAVS and schools and settings so that relevant and high quality services operate from the Children's Centres.	✅			

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	9	
1920CRR 10	Risk of contractor failing to meet contractual requirements to effectively manage waste arrangements results in a loss of service quality and additional financial liability for the Council.	Larissa Reed	Strategic	Reputational, Financial	Inherent risk score	9	

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working	Current risk score	9	
1. Control: Regular contract management meetings with suppliers **Assurance:** Reports to and minutes of meetings **2. Control:** Data set monitored by DMT and senior managers **Assurance:** Reports to and minutes of meetings **3. Control:** Reporting to and challenge by Cabinet / Scrutiny **Assurance:** Reports to and minutes of meetings **4. Control:** Procurement plan in place for delivery of the next waste management contract **Assurance:** Procurement supporting the delivery of the next contract	Current risk score	9	

Stage 3 - Further actions to reduce the risk (target risk)

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	6	
1920CRA10 01	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	Imran Kazalbash	31-Mar-2020	Quarter 2 - Contractor continues to be performance managed and steered through regular contract meetings. Financial remedies can be applied through performance deduction mechanism in accordance with the contract.	✅	Target risk score	6	
1920CRA10 02	Ensure SBC have access to waste disposal and treatment facilities that deliver value for money for the Council.	Imran Kazalbash	31-Mar-2020	Quarter 2 - SBC continues to deliver residual waste to Essex Facility under Joint Working Agreement, (JWA) which is in place until 5/10/23. The JWA variation allows for negotiation to continue to use the site past this end date. Contingency arrangements are in place to send residual waste to landfill (Under partnership Framework with Essex CC) if Essex plant is not available.	✅			
1920CAR10 03	Ensure SBC have an effective plan in place for the procurement of the next	Imran Kazalbash	31-Mar-2020	Quarter 2 – The service is working with procurement to identify and prepare a range of				

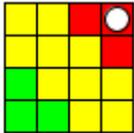|						
waste management contract that is due to commence on 5 October 2023.			options for consideration. This has included visiting other Councils that are utilising alternative arrangements. Consultancy support is planned to be identified to work up business case models for different service delivery models, that should lead to a preferred option by the second quarter of 2020 being presented for consideration.			

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	12	
1920CRR 11	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			

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working	Current risk score	9	
1. **Control:** Flooding Reports considered by Cabinet **Assurance:** Reports to and minutes of meetings 2. **Control:** Gully cleaning programme in place **Assurance:** Programme documents. 3. **Control:** Regular monitoring of Met Office weather alerts **Assurance:** Alerts/Reports 4. **Contro**l: Cabinet/Scrutiny **Assurance:** Reports to and minutes of meetings			

Stage 3 - Further actions to reduce the risk (target risk)

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	6
1920CRA11 01	Ensure compliance with the requirements of the Floods and water Management Act 2010 with regard to Sustainable Drainage Systems (SuDS).	Neil Hoskins	31-Mar-2020	Quarter 2 - Current projects with SuDS elements programmed to start December 2019 – January 2020	✅		
1920CRA11 02	Jointly investigate with Anglia Water Services, possible improvements to drainage system.	Neil Hoskins	31-Mar-2020	Quarter 2 - Anglian Water, Environment Agency and SBC discussions regularly scheduled to investigate joint working and potential future projects and funding allocation.	✅		
1920CRA11 03	Development of a Cliff Slip Strategy based on a risk minimisation approach	Neil Hoskins	31-Mar-2020	Quarter 2 - Contract awarded to Campbell Reith	✅		
1920CRA11 04	Progression of Sea Defence Scheme at Shoebury Common - consultation options leading to business case	Neil Hoskins	31-Mar-2020	Quarter 2 - Outlined business case being progressed following consultation	✅		
1920CRA11 05	Shoreline Management Strategy - adoption	Neil Hoskins	31-Mar-2020	Quarter 2 - Shoreline Management Strategy now adopted by Environment Agency	✅		

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	12	
1920CRR12	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			Impact / Likelihood grid

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working	Current risk score	9	
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			Impact / Likelihood grid

Stage 3 - Further actions to reduce the risk (target risk)

Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due date	Comments / update on progress	RAG Status	Target risk score	6	
1920CRA1201	Delivery of Better Queensway through Porters Place LLP (joint venture) 2019/20 actions: - Approval of updated business plan - Consultation - Council approval of final proposals - Submission of planning application	Emma Cooney	31-Mar-2020	Quarter 2 - Porters Place Southend-on-Sea LLP is now the delivery vehicle for Better Queensway following approval of the JV. Revised business plan considered at the Council's October Shareholder Board meeting following approval by the JV Board. Resident event to introduce the new JV held 26th September. Project Director appointed from November, Community Officer appointed and in post. Housing and highways highlighted as matters to be worked through.	✅			Impact / Likelihood grid
1920CRA1202	Airport Business Park 19/20 actions: - Launchpad planning consent - Launchpad construction procurement - Commence procurement of Launchpad operator - Relocation of Westcliff Rugby	Andrew Lewis	31-Mar-2020	Quarter 2 - Phase 1 utility works moving towards completion. Phases 2 and 3 underway with Ipeco structure now out the ground. Launchpad planning application was due to be determined at the end of September but Rochford DC meeting cancelled.	✅			

	Club - Construction of Ipeco premises - Phase 1 completion							
1920CRA12 03	Seaway Car Park 19/20 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-2020	Quarter 2 - Turnstone Planning Application submitted, but is currently on hold pending the Secretary of State decision on the challenge in respect of the EIA.	✅			

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	12
1920CRR 13	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		

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working	Current risk score	9
1. Control: Project plan and timetable for the delivery of the updated Local Plan **Assurance:** Project monitoring and reporting of progress **2. Control:** Reports to Cabinet **Assurance:** Reports to and minutes of meetings **3. Control:** Regular reports to Corporate Management Team **Assurance:** Reports to and minutes of meetings **4. Control:** Member Environment and Planning Working Party **Assurance:** Reports to and minutes of meetings.		

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	4
1920CRA13 02	Undertake consultation with community and stakeholders on issues and options in line with 'Regulation 18'	Peter Geraghty	31-Mar-2020	Quarter 2 - Update Local Plan Issues and Options consultation stage completed. The results of the consultation have been analysed and reported.	✓		
1920CRA13 03	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, Climate Change Emergency).	Peter Geraghty	31-Mar-2020	Quarter 2 - 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.	✓		

Risk Title	14. Climate Change Emergency

Stage 1 - Risk without controls (Inherent risk)

Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category		
1920CRR 14	Risk that failing to implement changes needed to reduce the Borough's carbon footprint will cause an inadequate contribution to the reduction in carbon emissions required. This will result in significant adverse impact on the Borough, and if the climate adaptation measures being implemented are also inadequate, there will be further implications for the Council in needing to respond to climate events in the Borough.	Andy Lewis	Strategic	Environmental / Financial / Business Continuity / Reputational	Inherent risk score	16

Stage 2 - Risk with Controls and Assurances (current risk)

List of controls and associated assurances to ensure controls are working		
1. Control: Low Carbon Energy and Sustainability Strategy 2015-20; member seminars; Cabinet; Scrutiny Committees; Council **Assurance:** delivery of strategy, reports to and minutes of meetings. **2. Control:** Management oversight of Green City Southend 2050 outcome that includes carbon reduction activity through: reports to CMT and Administration **Assurance:** Reports to and minutes of meetings. **3. Control:** Member Environmental Working Party **Assurance:** Reports to and minutes of meetings. **4. Control:** Council declaration of a climate emergency **Assurance:** Reports to and minutes of meetings.	Current risk score	12

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		
1920CRA14 01	Update the Low Carbon Energy and Sustainability Strategy to reflect the plan of action that needs to be taken over the next 10 year period.	Carl Robinson	31-Mar-2020	Quarter 2 - Timeline in place with key deadlines. The updated strategy is due to be approved in advance of the 2020/21 year.	✅	Target risk score	9
1920CRA14 02	Delivery of the agreed actions outlined in the Green City outcome delivery plan.	Elizabeth Georgeou / Andrew Barnes	31-Mar-2020	Quarter 2 - The Green City outcome has 5 key elements of delivery: - Carbon neutral buildings - Green streets - Green transport - Recycling - Southend BC leading by example Specific actions to improve these issues are	✅		

				being delivered through the Green City outcome delivery plan.				
1920CRA14 03	Continue the work of the Energy and Sustainability Team (which includes engagement with key stakeholders) to identify and manage the implementation of projects and actions that will reduce carbon emissions and adapt to climate change.	Carl Robinson	31-Mar-2020	Quarter 2 – The Energy and Sustainability Manager has reported to Cabinet in November outlining all of the projects and actions that are currently underway. Cabinet to maintain a watching brief over the delivery of these projects and actions to ensure that they are delivered and achieve the anticipated impact.	✅			