

OUR  
SHARED  
**AMBITION**

**SOUTHEND**  
**2050**  
*it all starts here*

**Summary Corporate Risk Register**  
**June 2020**

## Southend BC Risk Matrix

Risk tolerance level – Risks above this level will need particular resources and focus

Catastrophic / exceptional opportunity	4	8	12	16
Severe / significant opportunity	3	6	9	12
Material	2	4	6	8
Negligible	1	2	3	4
	Unlikely <25%	Likely 25-50%	Very Likely 50-75%	Almost Certain >75%

Risk acceptance level (activity below which attracts minimum effort and resources)

# Risk Register Heat Map: Risk numbers

Risk	
1 – Financial sustainability	10 – Child welfare
2 – EU exit	11 – Housing
3 – Public services landscape	12 – Adult social care
4 - Workforce	13 – Waste Management
5 - ICT / cyber security / data protection	14 – House building programme
6 - Covid-19 pandemic	15 – Regeneration and major projects
7 – Safeguarding responsibilities	16 – Visitor destination
8 – Adapting to climate change	17 – Economic recovery and income inequalities
9 – Health inequalities	18 – Local Plan

# Risk Register Heat Map: Current risk score





credit: ActiveSouthend

CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
1	<b>Financial sustainability</b> Risk that failure to address the financial challenge by effectively managing the growing demand for services, managing the costs of the covid-19 response and enhancing local income streams as part of recovery will threaten the medium to long term financial sustainability of the Council, leading to a significant adverse impact on Council services and the ability to deliver the outcomes desired by the Council, to address the financial position.	<b>1. Budget setting process to identify required savings through: budget proposal reports to Departmental and Corporate Management Teams; member seminars; Cabinet; Scrutiny Committees; Council, with reports to and minutes of meetings.</b> <b>2. Medium Term Financial Strategy (MTFS), including budget pressures to regularly consider financial impact of Government policy reported to CMT, Cabinet and Council Assurance, with reports to and minutes of meetings.</b> <b>3. Getting to know your business workstream being developed to ensure that appropriate focus and optimum approach to the delivery of the Southend 2050 outcomes is being made by all services.</b> <b>4. Management oversight of budget setting process through: reports to CMT and Cabinet and reports to and minutes of meetings</b> <b>5. Senior member and Chief Executive challenge to departments on proposed savings with reports to and minutes of meetings.</b> <b>6. Director to Director challenge with minutes of Departmental Management Team meetings and emails.</b>	3	4	12	Joe Chesterton



credit: ActiveSouthend

CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
2	<b>EU exit</b> Risk that the impact of, or a failure to address, prepare for and take advantage of, the Government's agenda and the lead up to EU exit, will hamper the ability of the Council to deliver it's ambition and outcomes.	1. Cross organisation working group currently meets monthly (likely to be stepped up to weekly approaching exit date) to consider potential impacts of Brexit and put measures in place to mitigate risk for the Council and Borough as far as possible. 2. Links to the East of England lead and reporting to them as required via EELGA and horizon scanning through the LGA and MHCLG as the picture becomes clearer with cascading of any information shared with us. 3. Officers participate fully in the Essex Resilience Forum which is taking a lead in coordination of planning for Essex. 4. Some Brexit funding utilised on mitigations such as the fuel bunker at Tickfield and additional trading standards officer. Balance retained to be spent in accordance with the risks and opportunities presented. 5. Economic Development continue to work alongside businesses to prepare. 6. Corporate management team continue to monitor the opportunities and risks associated with EU Exit. 7. Cabinet consider the implications and reports on progress with preparation on a regular basis.	3	4	12	Alison Griffin



credit: ActiveSouthend

CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
3	<b>Public services landscape</b>  Risk that failure to address and engage with the different models and public service governance arrangements being discussed will result in the organisation and the borough being left behind and ultimately unable to deliver the Council's ambition and outcomes.	<p>1. Actively engaged in the Association of South Essex Local Authorities to manage the outcomes desired for the economic corridor and engage with the Government's devolution agenda to secure investment for infrastructure led growth.</p> <p>2. Mid and South Essex Health and Care Partnership (formerly STP) which includes local GP practices, hospitals, community care, social services and mental health teams, has evolved so it now spans more fully both health and local government. This reflects the desire to become a fully integrated care system by April 2021 as described in the national NHS Long Term Plan. The Council has a seat on the Board and will continue to champion population health and community-based approaches to health and wellbeing through this partnership.</p> <p>3. The South East Essex Locality Partnership Group has developed relationships across the SEE system, a shared Locality Strategy and MoU. The Council will play an active role as this now morphs into the place alliance for South East Essex.</p> <p>4. Partners have been engaged in the development of Southend 2050, including through a series of stakeholder events to develop a partners' timeline and roadmap. Partners have also taken Outcome lead roles for future delivery.</p>	2	4	8	Alison Griffin



## CROSS CUTTING



credit: ActiveSouthend

CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
4	<p><b>Workforce</b></p> <p>Risk that the Council will not have the appropriate staffing resources, with the right skills, doing the right things, working in the right places through collaborative teams.</p> <p>This is impacted by the significant changes to ways of working implemented in response to covid-19 and the risks that these do not operate effectively, as well as failing to effectively embed the arrangements with the new recruitment partner, leading to a lack of workforce capacity resulting in a failure to effectively address the challenges posed by covid-19 in the short term and achieve the Council's desired outcomes in the longer term.</p>	<p>1. The refresh of the Transforming Together work to ensure that this drives and leads to the establishment of the 7 agreed conditions for successful delivery of Southend 2050</p> <p>2. The refreshed TT work to include a People Plan detailing projects in progress / to be planned. These projects will follow the employee life cycle and will include the following 5 areas:</p> <ul style="list-style-type: none"> <li>a) values and behaviours required of staff in place to reinforce what is expected of Southend employees and how we go about working to deliver the Ambition and Outcomes</li> <li>b) leadership development programme in place to enhance the capacity and effectiveness of leaders</li> <li>c) the development of a new resourcing model based on learning from the redeployment of staff during the Covid-19 response</li> <li>d) working collaboratively with the Council's resourcing partner to identify current and future resourcing needs and to proactively plan for these with the market</li> <li>e) to align the Council's 'Managing organisational change policy' to the service redesign principles by the service and by HR</li> </ul> <p>3. Appropriate governance and oversight on all recruitment, redeployment, learning &amp; development and redundancies to ensure that the Council is making the best use of it's human resource and enabling all employees to reach their full potential in line with the Southend 2050 ambition</p>	3	3	9	Joanna Ruffle





credit: ActiveSouthend

CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
5	<b>ICT / cyber security / data protection</b>  Risk that a failure to ensure the Council has a coherent and comprehensive approach to cyber security, including data protection arrangements, and ensuring that staff have the necessary digital skills, that has been increased by the enforced remote working for most staff in response to covid-19, will result in a data breach or cyber-attack, leading to significant operational, financial and reputational damage to the Council.	<b>1. New ICT operating model introduced with a specific Head of Security focussed on enhancing the Council's cyber security arrangements and enhanced structure to deliver improved digital arrangements.</b>  <b>2. Changes to processing of personal data and new processing, including COVID-19 related matters, risk assured in line with the Data Protection by Design and Default Policy and Procedure.</b>  <b>3. Multi-factor authentication has been implemented to reduce the risk of cyber breaches.</b>  <b>4. Senior Information Risk Owner – produces an Annual SIRO report on data protection to Cabinet</b>  <b>5. Annual Information Governance Toolkit assessment – report prepared from independent assessment</b>  <b>6. Regular reports to Good Governance Group and Corporate Management Team with reports to and minutes of meetings.</b>	3	4	12	Joanna Ruffle

## CROSS CUTTING



credit: ActiveSouthend

CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
6	<b>Covid-19 pandemic</b> Risk that the Covid-19 pandemic causes an outbreak of ill-health in the Borough resulting in health and care services being unable to cope with the volume of cases, and significant disruption to the operational activities of the Council and other public service organisations in the Borough.	1. Civil contingency arrangements in place and ready to be utilised, including links into the Essex Resilience Forum and from there into central government. Testing of arrangements periodically undertaken and operated in action from March. 2. Gold - Strategic command / Silver - Tactical / Bronze - Operational management arrangements in place and operating. Minutes / Issues log / Actions log maintained to capture, record and track progress with addressing issues. 3. Business continuity plans in place for all service teams. BCPs reviewed annually and submitted to the Emergency Planning team and utilised in response to the covid-19 pandemic. 4. The actions and minutes of the Health Protection Board and Outbreak Control Oversight and Engagement Board set up to implement and monitor the Local Outbreak Control Plan. 5. Local contact tracing service is established in collaboration with Essex County Council. Under the guidance of Public Health England (PHE) regional team and supported by PHE's local health protection team, the Council will address complex cases utilising the Local Outbreak Control Plan that have been developed.	3	4	12	Alison Griffin

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CGI from Better Queensway transformation consultation

CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
7	<b>Safeguarding responsibilities</b> Risk that the Council will not be able to effectively deliver it's statutory safeguarding responsibilities as a result of a lack of understanding, resources and the additional challenges posed by lockdown as a result of covid-19, and that this causes a failure to deliver the outcomes anticipated for the vulnerable people that are in need of support.	1. Local Safeguarding Boards in place to complement and oversee the work of the Children's and Adult's services. 2. Principal Social Worker – lead role in assuring quality of policy and practice and ensuring adherence to key frameworks e.g. safeguarding 3. Review mechanisms in response to serious incidents – ensuring learning from Serious Case Reviews / Safeguarding Adults Reviews is embedded to minimise future risk. 4. Care Quality Arrangements – working alongside key partners e.g. NHS/CQC to ensure safe, good quality care provision 5. Getting to know your business to deliver a budget and performance review of services to assess levels of resourcing against the demand for services, and address the budget challenges.	3	3	9	Michael Marks & Tandra Forster

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			Likelihood	Impact		
8	<p><b>Adapting to climate change</b></p> <p>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.</p>	<p><b>1. Low Carbon Energy and Sustainability Strategy 2015-20; member seminars; Cabinet; Scrutiny Committees; Council with delivery of strategy reported to and minutes of meetings. Updated strategy for 2020-25 drafted and being reviewed.</b></p> <p><b>2. Council declaration of a climate emergency in October 2019, providing initiatives to be pursued. A clear action plan to be produced which is open to scrutiny and followed up with reports to and minutes of meetings.</b></p> <p><b>3. Management oversight of Green City Southend 2050 outcome that includes carbon reduction activity through: reports to Theme leads, CMT and Cabinet with challenge at and minutes of meetings.</b></p> <p><b>4. Member Environmental Working Party with reports to and minutes of meetings.</b></p>	3	4	12	Larissa Reed



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CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
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9	<b>Health inequalities</b> Risk that the implementation of the Mid and South Essex Health and Care 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.	1. Mid and South Essex Health and Care Partnership with reports to and minutes of meetings. 2. South East Essex Alliance who alongside the Council provide a leadership role in understanding need and providing oversight and challenge of arrangements and delivery. 3. Health and Wellbeing Board that receive the Joint Strategic Needs Assessment (JSNA) that provides the intelligence needed to determine targeted action required, with reports to and minutes of meetings 4. Locality Transformation Group with reports to and minutes of meetings. 5. Corporate Management Team with reports to and minutes of meetings.	4	3	12	Michael Marks

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CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
10	<b>Child welfare</b> Risk that failure to address the threats to children, particularly the vulnerable that face the greatest exposure to those threats, causes significant problems for those children, resulting in worsening outcomes for those in need of that support.	<b>1. Children's Safeguarding Board in place to complement and oversee the work of the Children's service.</b> <b>2. Principal Social Worker – lead role in assuring quality of policy and practice and ensuring adherence to key frameworks e.g. safeguarding</b> <b>3 . Review mechanisms in response to serious incidents – ensuring learning from Serious Case Reviews is embedded to minimise future risk.</b> <b>4. Care Quality Arrangements – working alongside key partners e.g. NHS/CQC to ensure safe, good quality care provision</b>	3	3	9	Michael Marks

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			Likelihood	Impact		
11	<b>Housing</b> 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, leading to worse outcomes for the residents and an inability to deliver the outcomes for the Borough desired by the Council.	1. Housing, Homelessness and Rough Sleeping strategy approved and being delivered. Progress reported to Cabinet, with reports to and minutes of meetings. 2. Core Strategy and Local Development Plan in place with reports to and minutes of meetings. 3. Cabinet and Scrutiny Panels review and challenge, with reports to and minutes of meetings. 4. Member Housing Working Party with reports to and minutes of meetings.	3	3	9	Tandra Forster





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CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
12	<b>Adult social care</b> Risk that difficulties being experienced in the adult social care market will cause provider failure and further difficulty in meeting increasing demand for support, resulting in worsening outcomes for those in need of that support.	<b>1. The Council influences the market for care by signalling the future expectation of requirements through:</b> <ul style="list-style-type: none"> <li>Market Position Statement</li> <li>Commissioning Strategies.</li> </ul> <b>2. The Care Governance Process provides quality assurance arrangements, oversight and support for the local market, including external assessment of services through the Care Quality Commission.</b> <b>3. Provider Failure Policy in place to direct action in the event of provider difficulty.</b>	2	3	6	Tandra Forster



An option for the Pier Train Replacement campaign's competition

CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
13	<b>Waste management</b> 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. Further risk that the enhanced arrangements being sought from the new contract to be let will not provide a solution that will deliver the outcomes in respect of adaptation to climate change and recycling that is being sought by the Council.	1. Regular contract management meetings with suppliers with reports to and minutes of meetings. 2. Data set monitored by DMT / performance board and senior managers with reports to and minutes of meetings. 3. Cabinet and Scrutiny overview with reports to and minutes of meetings. 4. Delivery of new contract arrangements in progress, with consultancy support in place to deliver an options appraisal during 2020, as part of the work to deliver new arrangements from October 2023.	3	3	9	Larissa Reed



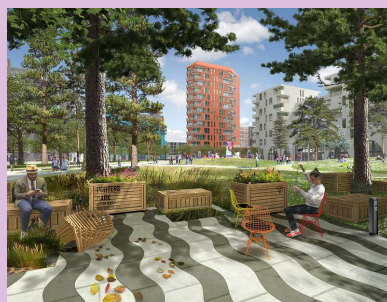
Proposed Roots Hall development

CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
14	House building programme Risk that not achieving the development and delivery of the house building pipeline through effective engagement and arrangements with the market and developers that have been impacted by Covid-19, will result in an inability to deliver the anticipated housing supply, causing additional pressure on the housing market and an impact on the delivery of the desired outcomes of the Council.	1. House building pipeline in place and being managed. 2. Methodology for working with developers in place, to ensure that the right considerations are made about potential developers. 3. New partnership arrangements with developers being brought forward to address the changed market circumstances, as a result of Covid-19. 4. Regular reporting to Corporate Management Team and Cabinet, with reports to and minutes of meetings.	3	4	12	Andy Lewis



Proposed Roots Hall development

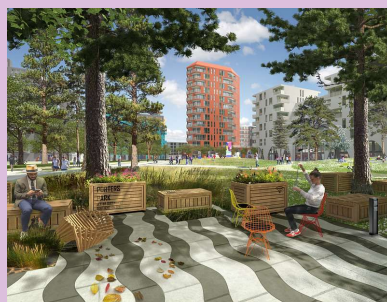
CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
15	<p><b>Regeneration and major projects</b></p> <p>Risk that failure of partners to progress major infrastructure developments (e.g. Queensway, Seaways, Fossett Farm and Airport Business Park) will result in not achieving delivery of the plans and necessary sequencing of developments, resulting in the dependencies for the chain of regeneration not being delivered and the opportunities for improvement of the borough and delivery of anticipated outcomes not being achieved, as well as significant financial and reputational damage to the Council.</p>	<p>1. Strategic planning for Borough in place and being managed.</p> <p>2. Methodology for working with developers in place, to ensure that the right considerations are made about potential developers.</p> <p>3. Project Board arrangements in place to govern progress with delivery, with reports to and minutes of meetings.</p> <p>4. Regular and formal monitoring / reporting arrangements in place with key funders, such as the Local Enterprise Partnership (SELEP) and Homes England (HE).</p> <p>5. Regular reporting to Corporate Management Team and Cabinet, with reports to and minutes of meetings.</p>	3	4	12	Andy Lewis



Proposed Better Queensway development

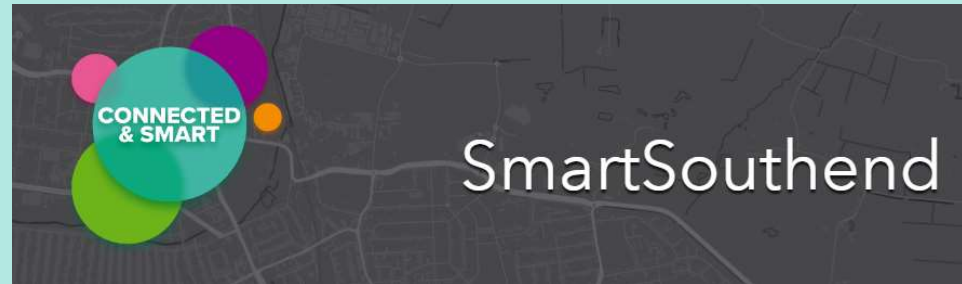
CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
16	<b>Visitor destination</b> Risk that the competing demands and needs of residents and visitors will impact in the Borough's ability to meet the needs of its residents or provide a suitable destination for visitors, and that covid-19 will impact on the ability of the borough to provide an attractive proposition for visitors, reducing visitor numbers with a resultant impact on the economic strength of the borough and employment opportunities for school leavers.	1. Tourism Strategy developed in partnership with key stakeholders on the Southend Tourism Partnership built on feedback from key stakeholders including residents and visitors 2. Cultural Strategy currently being refreshed built on feedback from key stakeholders including residents and visitors 3. Effective management of local attractions including engagement with key stakeholders 4. VisitSouthend website to promote events and attractions available to visitors. 5. Visit Southend Safely campaign to manage public expectations and behaviour to help ensure a safe, enjoyable visit, not that lockdown is being eased.	3	3	9	Tandra Forster





Proposed Better Queensway development

CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
17	<p><b>Economic recovery and income inequalities</b></p> <p>Risk that the impact of covid-19 lockdown reducing economic activity will cause a reduction in employment opportunities for 18-25 year olds and an increase in unemployment across the borough, particularly at the end of the furlough scheme. The impact is likely to be experienced unevenly across sectors with the retail, hospitality, leisure and tourism sector adversely affected causing further risk to traditional shopping centres and the town centre, as well as a further increase in income inequalities and disparity between different parts of the Borough.</p> <p>However, the phased reduction in lockdown provides the opportunity to attract new businesses and employers into the borough, providing new and additional employment that can contribute to the delivery of the ambition and outcomes for the borough.</p>	<ol style="list-style-type: none"> <li>1. Engagement with businesses, including but not limited to the Southend Business Partnership, to understand the impacts of the pandemic and potential interventions which may aid recovery</li> <li>2. Engagement with funders of employment and skills projects to refocus delivery on job and business retention with associated changes to how projects are delivered to suit a virtual environment (e.g. SEBB, SECTA, A Better Start Southend WorkSkills, 60 Minute Mentor)</li> <li>3. Development of potential funding bids with colleagues across the organisation and partners, to apply for external funding if and when it becomes available to support recovery</li> <li>4. Development of ASELA proposition for inward investment offer for South Essex which initially focuses on retention and support</li> <li>5. Engagement with the town centre 'Engineroom' partnership and the Business Improvement District (BID).</li> <li>6. Development of a 'jobs strategy' to explore the role of the Council in retaining and growing jobs across the borough.</li> </ol>	4	4	16	Andy Lewis



credit: Forward Motion

CRR ref	Risk / Opportunity	Management (key controls and action to mitigate the risk / deliver the opportunity)	Risk Assessment (current score)		Risk rating (LxI)	Lead
			Likelihood	Impact		
18	<b>Local plan</b> Risk that 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, causing an inability to deliver upon the Council's outcome priorities that are dependent on the Local Plan shaping and influencing the proposals for developments that are brought forward in the future.	1. Local Plan delivery project arrangements in place with appropriate milestones and timelines to deliver the Local Plan. 2. Local Plan being aligned with the development of the Joint Strategic Plan and other key Council strategies (including Corporate Plan, Southend 2050, Housing Strategy, Climate Change Emergency Declaration). 3. Member Local Development Framework Working Party with reports to and minutes of meetings. 4. Regular reports to Corporate Management Team with reports to and minutes of meetings. 5. Reports to Cabinet with reports to and minutes of meetings.	3	3	9	Andy Lewis