

Appendix 2b: Audits assurance linked to the Council's corporate risks

	Corporate Risk as at Jan 2017	Audit work providing assurance in 2017/18	
1	<p>Budget for 2017-20</p> <p>Risk that the scale of predicted funding reductions for 2017-20 budgets will result in significant adverse impact on Council services.</p> <p>Note: All audit work could identify financial issues.</p>	<p>Direct Payments Financial Monitoring Implementing the Action Plan</p> <p>Direct Payments, Mental Health</p> <p>Recycling Waste and Street Cleansing Service Contract Management</p> <p>Southend Energy (OVO)</p> <p>Car Park Management Contract, Contract Management</p> <p>Highways Contract Management</p> <p>Disabled Facilities Grant</p> <p>Highways Maintenance Challenge Fund</p> <p>Local Transport Plan Block Funding</p> <p>Pothole Action Fund</p>	<p>Corporate Procurement Team, Procure to Pay</p> <p>P Cards</p> <p>Debt Management</p> <p>Housing Benefit, Risk Assessment of New Claims</p> <p>Pre-payment Cards, Contract Letting</p> <p>Rechargeable Works</p> <p>Local Growth Fund</p> <p>BEST Growth Hub</p> <p>Coastal Communities</p> <p>Troubled Families Intervention</p>
2	<p>Recruiting and Retaining Staff</p> <p>Risk that failure to retain or recruit staff with the required skills and experience will result in an inability to deliver key projects or services to meet expectations of residents, members, businesses and partners.</p>	<p>Apprenticeship Levy</p>	

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3	<p>Partnership Arrangements</p> <p>Risk that failures in partnership working as a result of pressures on partner organisations reduces the ability of the Council to achieve its objectives and adversely affects service provision and Council finances.</p>	<p>Community Safety Partnership</p> <p>Drug and Alcohol Team, Contract Management</p> <p>Governance Arrangements between Commissioning Partners</p> <p>Integrated Commissioning</p> <p>Section 75 Partnership Agreement with South Essex Partnership University NHS Foundation for Mental Health Services</p> <p>The Forum Governance Arrangements, Implementing the Action Plan</p> <p>Section 75 Partnership Agreement, Integrated Equipment Service, Implementing the Action Plan</p> <p>Emergency Planning</p>
4	<p>Housing Policy</p> <p>Risk that changes to government housing policy (such as selling off high value council properties) and increasing levels of housing need (notably homelessness) results in further significant pressure on Council budgets.</p>	<p>Asset Register</p> <p>Housing Allocations, Implementing the Action Plan</p> <p>Right to Buy, Implementing the Action Plan</p>
5	<p>Local Infrastructure</p> <p>Risk that failure to maintain access to future rounds of the Regional Growth Fund and Department for Transport Challenge Fund will significantly restrict future infrastructure improvements.</p>	<p>Asset Register</p>

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6	<p>Alternative Service Delivery Models</p> <p>Risk that failure to effectively manage (staffing, relationships, contracts) the transition to alternative service delivery models results in the organisation not meeting its statutory responsibilities to residents/customers.</p>	<p>Social Care IT Case Management System, IT and respect supporting processes</p> <p>Adult Care Transformation Project</p> <p>Integrated Commissioning</p> <p>Local Authority Trading Company</p>
7	<p>Health and Social Care Integration</p> <p>Risk that failure to integrate health and social care effectively (inc Pioneer, Better Care Fund (BCF) and Care Act) will harm the ability of the health and care system to operate at optimal levels, adversely affecting service provision and council finances.</p>	<p>Governance Arrangements Between Commissioning Partners</p> <p>Integrated Commissioning</p> <p>Section 75 Agreement with South Essex Partnership University NHS Foundation for Mental Health Services</p>
8	<p>Contract Management</p> <p>Risk that failure to embed effective contract management, combined with contract price inflation, across the authority will result in a loss of value for money, saving opportunities and/or quality of service provision.</p>	<p>Departmental Project Assurance Arrangements for Place</p> <p>Car Park Management:</p> <ul style="list-style-type: none"> • Issuing and Collecting Parking Charge Notices (Lot 1) • Cash Collection (Lot 2) <p>Highways Contract Management:</p> <ul style="list-style-type: none"> • Use of Insights Symology System for procuring and confirming work has been done • Management of the Block Contract <p>Drug and Alcohol Contract Management</p>

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9	<p>Secondary Education and School Places</p> <p>Risk that failure to provide the required number of school places and to narrow the gap in results at secondary schools will lead to an undesirable level of young people NEET and significant reputational damage for the Council.</p>	Virtual School Report (2016/17 still to be issued)
10	<p>Surface Water Flooding</p> <p>Risk that surface water flooding, due to overwhelmed drainage infrastructure, will result in damage to property and infrastructure as well as significant disruption.</p>	Highways Contract Management Smart City Project
11	<p>Seafront Cliff Movement</p> <p>Risk that a seafront cliff movement will result in damage to property, transport dislocation and significant financial and reputational damage to the Council.</p>	No work planned
12	<p>Ofsted Joint Inspection</p> <p>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.</p>	Ofsted Improvement Plan (arrangements for embedding improvements into day to day working practices) Actions from Quality Assurance File Audits Children's Services Safeguarding Performance Indicators - Implementing Action Plan Early Help and Family Support Quality Assurance Tool Social Care IT Case Management System Project Implementation (LiquidLogic)

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13	<p>Waste Management</p> <p>Risk that failure to effectively manage waste contractual arrangements results in additional financial liability for the Council and loss of service quality.</p>	<p>Recycling Waste and Street Cleansing Service Contract Management</p>
14	<p>Health Lifestyles</p> <p>Risk that continued pressure on the health system including Public Health funding results in a failure to adequately address lifestyle behaviours and reduce health inequalities.</p>	<p>Drug and Alcohol Contract Management</p>
15	<p>Major Developments</p> <p>Risk that failure to progress major infrastructure developments (e.g. Seaways, Airport Business Park and Queensway) will result in significant financial and reputational damage to the Council.</p>	<p>Project Management Arrangements (including proper implementation of key milestones) for:</p> <ul style="list-style-type: none"> • Airport Business Park • Better Queensway • Smart City <p>Departmental Project Assurance Arrangements</p>