

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

	Corporate Risks as at January 2018	Audit work providing assurance in 2018/19
1	<p><b>Budget for 2018-21</b></p> <p>Risk that the scale of predicted funding reductions for 2018-21 budgets will result in significant adverse impact on Council services.</p>	<ul style="list-style-type: none"> <li>• Southend 2050</li> <li>• Children Centres Contract Management</li> <li>• Social Care Payments to Individuals and Providers (Children's and Adults)</li> <li>• Vibrance Contract Management</li> <li>• Recycling, Waste and Street Cleansing Services</li> <li>• Commissioned services Contract Letting</li> <li>• Commissioned Services Contract Management</li> <li>• Payroll</li> <li>• Various grant claims</li> <li>• Early Years Finding - Nursery School Settings</li> <li>• Adults Pre-payment Cards</li> </ul> <p>(Note: a number of audits consider financial management and therefore contribute to the assurance provided that money is being spent properly)</p>
2	<p><b>Recruiting and Retaining Staff</b></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>	<ul style="list-style-type: none"> <li>• No work planned</li> </ul>

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3	<b>Key External Challenges</b> Risk that the impact of, or a failure to take advantage of, a new Government agenda, changes to senior personnel and the lead up to Brexit may hamper the ability of the Council to achieve key priorities.	<ul style="list-style-type: none"> <li>No work planned but Community Safety Partnership revisited is on the Risk Watch List for 2018/19</li> </ul>
4	<b>Housing Policy</b> 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.	<ul style="list-style-type: none"> <li>No work planned but Allocations revisited is on the Risk Watch List for 2018/19</li> </ul>
5	<b>Local Infrastructure</b> Risk that failure to maintain levels of access to regeneration funding opportunities will significantly restrict future infrastructure improvements in the borough.	<ul style="list-style-type: none"> <li>Better Queensway ongoing support and challenge of the procurement phase of the project</li> <li>Better Queensway revisited</li> <li>Airport Business Park revisited</li> <li>Airport Business Park Advice and Support – ongoing support and challenge to ensure Council remain compliant with Essex County Council's Accountability Framework for SELEP funding</li> <li>South Essex Active Travel Project</li> </ul>
6	<b>Alternative Service Delivery Models</b> 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.	<ul style="list-style-type: none"> <li>Shareholder Board</li> </ul>

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7	<b>Health and Social Care Integration</b> 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.	<ul style="list-style-type: none"> <li>Commissioned services Contract Letting</li> <li>Commissioned Services Contract Management</li> <li>Social Care Hospital Discharge Process</li> </ul>
8	<b>Contract Management</b> 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.	<ul style="list-style-type: none"> <li>Children Centres Contract Management</li> <li>Commissioned services Contract Letting</li> <li>Commissioned Services Contract Management</li> <li>Recycling, Waste and Street Cleansing Services</li> <li>Vibrance Contract Management</li> </ul>
9	<b>Secondary School Places</b> 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.	<ul style="list-style-type: none"> <li>No work Planned</li> </ul>
10	<b>Flooding / Cliff Slip</b> 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.	<ul style="list-style-type: none"> <li>No work Planned</li> </ul>

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11	<b>Information Management</b> Risk that a failure to ensure the Council has a coherent and comprehensive approach to Information Management, and is sufficiently prepared for the General Data Protection Regulation (GDPR), will result in significant financial and reputational damage to the Council.	<ul style="list-style-type: none"> <li>• Agresso System Access Controls</li> <li>• Cyber Security</li> <li>• Information Governance, General Data Protection Regulations</li> </ul>
12	<b>Ofsted Joint Inspection</b> 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.	<ul style="list-style-type: none"> <li>• Assessment and Intervention of Families</li> </ul>
13	<b>Waste Management</b> 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.	<ul style="list-style-type: none"> <li>• Recycling, Waste and Street Cleansing Services Contract Management</li> </ul>
14	<b>Health Lifestyles</b> 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.	<ul style="list-style-type: none"> <li>• No work planned</li> </ul>

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15	<p><b>Major Developments</b></p> <p>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.</p>	<ul style="list-style-type: none"> <li>• Better Queensway ongoing support and challenge of the procurement phase of the project</li> <li>• Better Queensway revisited</li> <li>• Airport Business Park revisited</li> <li>• Airport Business Park Advice and Support – ongoing support and challenge to ensure the Council remains compliant with Essex County Council's Accountability Framework for SELEP funding.</li> </ul>