

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

	Corporate Risks as at January 2019	Audit work providing assurance in 2019/20
1	<p>Council Budget and Financial Sustainability</p> <p>Risk that failure to manage the short term budget gap and growing demand for services and failure to ensure the council is financially sustainable after 2020/21 will result in significant adverse impact on council services</p>	<p>Commissioning of a New Service</p> <p>Outcome Realisation of a Commissioned Service</p> <p>Council Tax</p> <p>Housing Benefit</p> <p>Income Management System</p> <p>Various grant claims</p> <p>Shareholder Board Revisited</p> <p>Better Queensway Joint Venture</p> <p>Social Care Debt Collection</p> <p>Adults Social Care Financial Assessments</p> <p>Parking Enforcement Income Collection</p> <p>Rechargeable Works</p> <p>Accounts Payable Batch Input Files (BIF)</p> <p>Hayes Contract Management</p> <p>Building Control Revisited</p> <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>Recruiting and Retaining Staff</p> <p>Risk that the Council will not have the appropriate staffing resources, with the right skills, resulting in part, from a failure to effectively manage the transition from our existing recruitment partner to the new partner, will lead to a failure to achieve the Councils ambitions.</p>	<p>Hayes Contract Management</p> <p>Corporate Establishment (Advice and Support)</p> <p>Transforming Together and Southend 2050 (Advice and Support)</p>

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3	<p>Key External Challenges</p> <p>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.</p>	<p>Risk Management Strategy</p> <p>Building a Safer Future</p> <p>Fire Safety (Advice and Support)</p>
4	<p>Housing</p> <p>Risk that a failure to implement plans to address rising homelessness and failure to develop a robust housing strategy will lead to further street and other homelessness, increased use of temporary accommodation & an inability to meet rising housing demand over the next 20 years.</p>	<p>Homelessness and Rough Sleeping</p> <p>Private Sector Housing</p> <p>Disabled Facilities Grant</p>
5	<p>Local Infrastructure</p> <p>Risk that failure to maintain levels of access to regeneration funding opportunities will significantly restrict future infrastructure improvements in the borough.</p>	<p>National Productivity Investment Fund (Grant)</p> <p>Local Transport Capital Block Funding - Highways Maintenance (Grant)</p> <p>Pothole Action Fund (Grant)</p> <p>South Essex Active Travel Governance Arrangements</p>
6	<p>Health and Social Care</p> <p>Risk that the implementation of Sustainability and Transformation Partnership (STP) proposals and implementation of the Localities Model does not result in effective health and social care outcomes for residents and also leads to significant cost increases in meeting service demand.</p>	<p>Commissioning of a New Service</p> <p>Outcome Realisation of a Commissioned Service</p> <p>Delivery of the Localities Model in Adult Social Care is on the Risk Watch List for 2019/20</p>

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7	<p>Secondary School Places</p> <p>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.</p>	<p>Use of the Basic Need Capital Grant for Schools (Advice and Support)</p>
8	<p>Flooding / Cliff Slip</p> <p>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.</p>	<p>Local Transport Capital Block Funding - Flood Resilience (Grant)</p> <p>Emergency Planning Revisited</p>
9	<p>Information Management and Cyber Security</p> <p>Risk that a failure to ensure the Council has a coherent and comprehensive approach to data protection, including its cyber security arrangements, will result in significant financial and reputational damage to the Council.</p>	<p>Cyber Security Action Plan (Advice and Support)</p> <p>Information Governance, General Data Protection Regulations Revisited</p> <p>Information Asset Register Group (Advice and Support)</p> <p>IT Audits x 2 TBD</p> <p>IT Risk Assessment</p> <p>Business Continuity Revisited</p>
10	<p>Children Services Improvement Plan</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>	<p>Early Help and Family Support Quality Assurance Framework</p> <p>In House Foster Carers</p> <p>Data Quality – Children's Services</p> <p>Independent Reviewing Officers</p> <p>Troubled Families (Grant)</p>

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11	<p>Waste Management</p> <p>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.</p>	No work planned
12	<p>Major Developments</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>	Better Queensway Joint Venture
13	<p>Local Plan</p> <p>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.</p>	No work planned