

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

	Corporate Risks as at January 2020	Audit work providing assurance in 2020/21
1	<p>Council Budget and Financial Sustainability</p> <p>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.</p>	<p>Social Care Payments to Individuals and Providers (follow up)</p> <p>Social Care Debt (follow up)</p> <p>Adults Social Care Financial Assessments (follow up)</p> <p>Adult Social Care Service delivery (follow up)</p> <p>Adult Community College Debt Collection</p> <p>Adult Community College Payroll</p> <p>Transport Joint Venture</p> <p>Waste Collection and Street Cleansing (Advice and Support)</p> <p>Order, delivery and Payment of Highways Works</p> <p>Getting to know your Business (Advice and Support)</p> <p>Simple and Effective Governance (Advice and Support)</p> <p>Fusion Contract Management</p> <p>(Note: a number of audits consider financial management and therefore contribute to the assurance provided that money is being spent / used properly)</p>
2	<p>Workforce</p> <p>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.</p>	<p>Hayes Contract Management</p> <p>Health and Safety</p>

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3	<p>Key External Challenges</p> <p>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.</p>	<p>Risk Management Strategy</p> <p>Covid 19</p> <p>Rough Sleepers</p>
4	<p>Housing</p> <p>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.</p>	<p>Homelessness (follow up)</p> <p>Rough Sleeping</p> <p>Private Sector Housing</p> <p>Disabled Facilities Grant</p> <p>Housing Pipeline</p> <p>Better Queensway</p> <p>Management of the South Essex Homes Partnership Agreement</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 (Grant)</p> <p>Pothole Action Fund (Grant)</p> <p>Homes for England Housing Infrastructure Grant</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 resulting in increased health inequalities, worsening health outcomes and significant cost increases.</p>	<p>Integrated Care System (Risk watch List)</p> <p>Adults Social Care Service Delivery</p> <p>Essex Partnership University Trust (EPUT) S75 Agreement</p> <p>Community Grants (Advice and Support)</p> <p>Direct Payment Support Service</p> <p>Southend Care</p>

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7	<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>Neighbourhoods and Environment Performance Board</p>
8	<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 a data breach or cyber-attack, leading to significant financial and reputational damage to the Council</p>	<p>IT Risk Assessment</p> <p>IT Audit – remote working and cyber security arrangements</p>
9	<p>Children Services</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 deliver the outcomes anticipated by the Council's roadmap for the children in need of support.</p>	<p>Data Quality – Children's Services (follow up)</p> <p>Troubled Families (Grant)</p> <p>Children's Services Quality Assurance Framework</p>
10	<p>Waste Management</p> <p>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.</p>	<p>Waste Collection and Street Cleansing (Advice and Support)</p>

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11	<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
12	<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
13	<p>Climate Change Emergency</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.</p> <p>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>	Climate Change