

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

| CRR | Corporate Risks as at June 2021 | Audit work providing assurance in 2021/22 |
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| 1 | <p>Covid-19 pandemic</p> <p>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.</p> | <p>Financial Impact of Covid-19</p> <p>Adult Social Care Recovery Programme</p> <p>Troubled Families</p> <p>Covid-19 Volunteering</p> <p>Covid 19 Local Authority Grant Funding</p> <p>Additional Dedicated Home to School and College Transport Grant</p> <p>Human Resources – Advice & Support</p> <p>Hayes Agency Recruitment – new employee compliance checks – Advice & Support</p> |
| 2 | <p>Financial sustainability</p> <p>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.</p> | <p>Financial Impact of Covid-19</p> <p>Highways Capitalised Maintenance Programme</p> <p>Adult Social Care Recovery Programme</p> <p>Covid 19 Local Authority Grant Funding</p> <p>Adult Social Care Financial Assessments</p> <p>Management of the South Essex Homes Partnership Agreement</p> <p>Housing Pipeline</p> <p>Better Queensway Workstreams</p> <p>Transport Joint Venture Strategic Partnering Agreement</p> <p>Business World Enterprise Resource Planning Programme of Work</p> <p>Hayes Contract Management</p> <p>Critical Contracts Exit strategies</p> <p>ICT Disaster Recovery</p> <p>Income Receipting and Banking</p> |

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| | | <p>General Ledger</p> <p>Financial Sustainability (linked to Future Ways of Working and Getting to Know your Business Initiatives) – Advice & Support</p> <p>Reconciling Adult Social Care Finance Project – Advice & Support</p> <p>Business World Enterprise Resource Planning Programme of Work (Corporate Establishment workstream) – Advice & Support</p> <p>Contract Management – Advice & Support</p> <p>Human Resources – Advice & Support</p> |
| | | |
| 4 | <p>Public services landscape</p> <p>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> | <p>Alternative School Provision</p> <p>Management of the South Essex Homes Partnership Agreement</p> <p>Future Ways of Working Programme Management – Advice & Support</p> <p>Southend Adult Community College – Advice & Support</p> <p>Contract Management – Advice & Support</p> |
| | | |
| 5 | <p>Workforce</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 embed effectively, leading to a lack of workforce capacity causing 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>Further risk caused by the number of changes to CMT, that may impact on the capacity to progress with delivery of</p> | <p>Management of the South Essex Homes Partnership Agreement</p> <p>Business World Enterprise Resource Planning Programme of Work</p> <p>Hayes Contract Management</p> <p>Critical Contracts Exit strategies</p> <p>Future Ways of Working Programme Management – Advice & Support</p> <p>Business World Enterprise Resource Planning Programme of Work (Corporate Establishment workstream) – Advice & Support</p> <p>Human Resources – Advice & Support</p> <p>Hayes Agency Recruitment – new employee compliance checks –</p> |

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| | desired outcomes. | Advice & Support |
| | | |
| 6a | <p>Cyber security event</p> <p>Risk of a cyber security event causing significant operational, financial and reputational damage to the Council, caused by:</p> <p>a) failure to ensure the Council has a coherent and comprehensive approach to cyber security and data protection, including strategy, tools and processes</p> <p>b) a data breach</p> <p>c) remote working creating a wider footprint for attack.</p> <p>Opportunity to build resilience by ensuring that staff have the necessary digital skills.</p> | <p>Cyber Threat</p> <p>ICT Disaster Recovery</p> <p>Contract Management – Advice & Support</p> |
| | | |
| 6b | <p>Data Protection</p> <p>Risk that a failure to comply with responsibilities as a Data Controller (under DPA/GDPR or equivalent) leads to personal data being compromised, resulting in harm to individuals, loss of trust from residents, businesses and others, regulatory action, financial penalty and reputational damage.</p> | <p>Business World Enterprise Resource Planning Programme of Work</p> <p>Cyber Threat</p> <p>ICT Disaster Recovery</p> <p>Income Receipting and Banking</p> <p>Contract Management – Advice & Support</p> <p>Hayes Agency Recruitment – new employee compliance checks – Advice & Support</p> |

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| 7 | <p>Capital Investment Programme Delivery</p> <p>Risk that a failure to deliver the agreed Capital Investment Programme leads to a lack of progress on the intended improvements to infrastructure and facilities for the borough anticipated to support Southend 2050 and the recovery priorities, resulting in reduced inward investment from businesses, missed employment opportunities for residents and reputational damage for the Council.</p> | <p>Financial Impact of Covid-19</p> <p>Highways Capitalised Maintenance Programme</p> <p>Green City Action Plan</p> <p>Energy Projects Status Assurance</p> <p>Management of the South Essex Homes Partnership Agreement</p> <p>Housing Pipeline</p> <p>Better Queensway Workstreams</p> <p>Local Transport Capital Block Funding</p> <p>Business World Enterprise Resource Planning Programme of Work</p> <p>Better Queensway Highway Scheme – Advice & Support</p> <p>Business World Enterprise Resource Planning Programme of Work (Corporate Establishment workstream) – Advice & Support</p> <p>Better Queensway Housing Infrastructure Grant – Advice & Support</p> <p>Contract Management – Advice & Support</p> |
| 8 | <p>Safeguarding responsibilities</p> <p>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 and restrictions 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.</p> | <p>Alternative School Provision</p> <p>Adult Social Care Recovery Programme</p> <p>Disabled Facilities Grant</p> <p>Troubled Families</p> <p>Sexual Health Service</p> <p>Covid-19 Volunteering</p> <p>Adult Social Care Financial Assessments</p> <p>Barons Court Primary and Nursery School</p> |

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| | | <p>Transport Joint Venture Strategic Partnering Agreement Additional Dedicated Home to School and College Transport Grant Hayes Contract Management Critical Contracts Exit strategies Liquid Logic / ContrOCC – Advice & Support Children’s Quality Assurance Framework - Advice & Support Adult Care Quality Assurance Framework - Advice & Support Southend Adult Community College – Advice & Support Contract Management – Advice & Support Hayes Agency Recruitment – new employee compliance checks – Advice & Support</p> |
| | | |
| 9 | <p>Adapting to climate change</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>Green City Action Plan Energy Projects Status Assurance Contract Management – Advice & Support</p> |

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| 10 | <p>Health inequalities</p> <p>Risk that the health inequalities, particularly the physical and emotional health and wellbeing of residents, will increase due to the impact of Covid-19 and the associated restrictions that have needed to be implemented in response to the pandemic.</p> <p>In the longer term that the changes resulting from the Health and Care Bill may result in an Integrated Care system for Southend and Thurrock, impacting on the implementation of the Localities Model, that 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>Adult Social Care Recovery Programme</p> <p>Disabled Facilities Grant</p> <p>Troubled Families</p> <p>Sexual Health Service</p> <p>Covid-19 Volunteering</p> <p>Adult Social Care Financial Assessments</p> <p>Liquid Logic / ContrOCC – Advice & Support</p> <p>Children’s Quality Assurance Framework - Advice & Support</p> <p>Adult Care Quality Assurance Framework - Advice & Support</p> |
| 11 | <p>Child welfare</p> <p>Risk of failure to ensure that there are consistently good or better outcomes for children and families accessing children services, particularly the vulnerable that face the greatest exposure to those threats, resulting in worsening outcomes for those in need of that support.</p> | <p>Alternative School Provision</p> <p>Disabled Facilities Grant</p> <p>Troubled Families</p> <p>Sexual Health Service</p> <p>Covid-19 Volunteering</p> <p>Barons Court Primary and Nursery School</p> <p>Transport Joint Venture Strategic Partnering Agreement</p> <p>Additional Dedicated Home to School and College Transport Grant</p> <p>Liquid Logic / ContrOCC – Advice & Support</p> <p>Children’s Quality Assurance Framework - Advice & Support</p> <p>Contract Management – Advice & Support</p> <p>Hayes Agency Recruitment – new employee compliance checks – Advice & Support</p> |

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| 12 | <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, leading to worse outcomes for residents and an inability to deliver the outcomes for the Borough desired by the Council.</p> <p>Risk is increased by the impact of Covid-19 on those previously just about managing no longer being able to manage, causing an increase in homelessness.</p> | <p>Management of the South Essex Homes Partnership Agreement</p> <p>Housing Pipeline</p> <p>Better Queensway Workstreams</p> <p>Better Queensway Highway Scheme – Advice & Support</p> <p>Better Queensway Housing Infrastructure Grant – Advice & Support</p> <p>Contract Management – Advice & Support</p> |
| 13 | <p>Adult social care</p> <p>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. The impact of covid-19 has heightened these risks in the short term.</p> <p>Opportunity has been identified to reduce the number of people in residential care, using reablement and the community to support people to stay at home for longer.</p> | <p>Adult Social Care Recovery Programme</p> <p>Disabled Facilities Grant</p> <p>Sexual Health Service</p> <p>Covid-19 Volunteering</p> <p>Adult Social Care Financial Assessments</p> <p>Critical Contracts Exit strategies</p> <p>Liquid Logic / ContrOCC – Advice & Support</p> <p>Reconciling Adult Social Care Finance Project – Advice & Support</p> <p>Adult Care Quality Assurance Framework - Advice & Support</p> <p>Contract Management – Advice & Support</p> <p>Hayes Agency Recruitment – new employee compliance checks – Advice & Support</p> |

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| 14 | <p>Social cohesion</p> <p>Risk that the impact of covid-19 lockdown and restrictions on both young people and those living in challenging circumstances, cause them to be particularly worried about the future and experience mental health issues, isolation and fears, resulting in a reduction in social cohesion and an increase in undesirable behaviour as restrictions are lifted.</p> <p>Increased footfall to beach and public spaces with increased unmanaged drinking leading to anti-social behaviour and an increased need to manage the public spaces.</p> <p>These impact on the ability of the Borough to deliver the outcomes desired by Southend 2050 and damage the reputation of the Borough.</p> | <p>Alternative School Provision</p> <p>Disabled Facilities Grant</p> <p>Troubled Families</p> <p>Covid-19 Volunteering</p> <p>Covid 19 Local Authority Grant Funding</p> <p>Adult Social Care Financial Assessments</p> <p>Southend Adult Community College – Advice & Support</p> |
| 15 | <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>Additional risk that the council will not have suitable arrangements in place for October 2023 when the current contract ends.</p> <p>Further risk that the enhanced service being sought from the revised future arrangements 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.</p> | <p>Green City Action Plan</p> <p>Critical Contracts Exit strategies</p> <p>Contract Management – Advice & Support</p> |

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| 16 | <p>House building programme</p> <p>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, with an impact on Local Plan housing targets (see also CRR18).</p> | <p>Housing Pipeline</p> <p>Better Queensway Workstreams</p> <p>Critical Contracts Exit strategies</p> <p>Contract Management – Advice & Support</p> |
| 17 | <p>Regeneration and major projects</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>Financial Impact of Covid-19</p> <p>Highways Capitalised Maintenance Programme</p> <p>Energy Projects Status Assurance</p> <p>Housing Pipeline</p> <p>Better Queensway Workstreams</p> <p>Critical Contracts Exit strategies</p> <p>Better Queensway Highway Scheme – Advice & Support</p> <p>Better Queensway Housing Infrastructure Grant – Advice & Support</p> <p>Contract Management – Advice & Support</p> |

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| 18 | <p>Visitor destination</p> <p>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, with a resultant impact on the economic strength of the borough and employment opportunities for school leavers.</p> <p>Opportunity arising from people holidaying in the UK this summer, but with potential increase in visitor numbers needing to be enabled to be done safely and ensure the offer made by businesses is sustainable.</p> | <p>Highways Capitalised Maintenance Programme</p> <p>Green City Action Plan</p> <p>Local Transport Capital Block Funding</p> |
| 19 | <p>Economic recovery and income inequalities</p> <p>Risk that the impact of covid-19 restrictions 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 in September. 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 restrictions 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> | <p>Alternative School Provision</p> <p>Troubled Families</p> <p>Covid-19 Volunteering</p> <p>Covid 19 Local Authority Grant Funding</p> <p>Adult Social Care Financial Assessments</p> <p>Housing Pipeline</p> <p>Critical Contracts Exit strategies</p> <p>Southend Adult Community College – Advice & Support</p> |

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| 20 | <p>Local plan</p> <p>Risk that failure to meet Government requirements and 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 development and the loss of plan making powers, 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.</p> | <p>Green City Action Plan</p> <p>Energy Projects Status Assurance</p> <p>Housing Pipeline</p> <p>Better Queensway Workstreams</p> |