

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

CRR	Corporate Risks as at January 2022	Audit work providing assurance in 2022/23
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>Embedding risk management piece of work</p> <p>Contain Outbreak Management Funding grant work</p> <p>Local Authority Test and Trace Grant</p> <p>Protect and Vaccinate Grant (Department Levelling up and Communities)</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>Embedding risk management piece of work</p> <p>Adult Social Care Recovery Programme- implementation of recommendations</p> <p>Southend Travel Partnership Joint Venture company (trading as Vecteo) - follow up of implementation of recommendations</p> <p>Business World Enterprise Resource Planning Programme of Work</p> <p>Financial Sustainability (including Getting to Know your Business Initiatives)</p> <p>Clearing house Automated payments System (CHAPS) payments</p> <p>Accounts Payable</p> <p>Procurement Cards</p> <p>Community Investment Grant</p> <p>Staff Pay</p> <p>Direct Payments</p> <p>Corporate Plan</p>

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3	<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>Embedding risk management piece of work</p> <p>Association of South Essex Local Authorities (Risk Watch List)</p> <p>Community Investment Grant</p> <p>Corporate Plan</p>
4	<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>Cross-council specific pressures relating to attracting talent in a competitive market, or straining existing resources, due to significant staffing changes and operational pressures are impacted by the significant changes to ways of working implemented in response to covid-19, leading to reduced 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 desired outcomes.</p>	<p>Embedding risk management piece of work</p> <p>Letting of Recruitment Contract</p> <p>Staff Pay</p> <p>Corporate Plan</p> <p>Business World Enterprise Resource Planning Programme of Work – Corporate Establishment</p>
5a	<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>Embedding risk management piece of work</p> <p>Technology Modernisation Programme</p> <p>Device Issue and Return Review</p>

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	<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>	
5b	<p>Data Protection</p> <p>Risk that a failure to comply with responsibilities as a Data Controller (under DPA 2018 / UK GDPR) 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>Embedding risk management piece of work</p> <p>My Southend (new platform)</p> <p>Technology Modernisation Programme</p> <p>Device Issue and Return Review</p>
6	<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>Embedding risk management piece of work</p> <p>Highways Capitalised Maintenance Programme (Implementation of recommendations)</p> <p>Local Transport Capital Block Funding</p> <p>Local Transport Capital Block Funding – Pothole Fund</p> <p>Local Transport Capital Block Funding – Highways Maintenance Challenge Fund</p> <p>Corporate Asset Management</p> <p>Technology Modernisation Programme</p> <p>HRA Strategic Asset Management (Joint audit with South Essex Homes)</p>

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7	<p>Safeguarding Responsibilities and Child Welfare</p> <p>Risk that the council will not be able to effectively deliver its statutory safeguarding responsibilities as a result of a lack of understanding, resources and the additional challenges posed by covid-19 restrictions, and that this causes a failure to deliver the outcomes anticipated for vulnerable people that are in need of support.</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>Embedding risk management piece of work</p> <p>Supporting Families Programme</p> <p>Children's Quality Assurance Framework</p> <p>Southend Travel Partnership Joint Venture company (trading as Vecteo) - follow up of implementation of recommendations</p> <p>Independent Reviewing Officers</p> <p>Children not attending Education</p> <p>Adult Care Quality Assurance Framework (QAF)</p> <p>Homes for Ukraine</p>
8	<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>Embedding risk management piece of work</p> <p>Green City Action Plan</p> <p>Letting of new Waste Collection Contract</p> <p>Corporate Plan</p>
9	<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 response to the pandemic.</p> <p>In the longer term the changes resulting from the Health and Care Bill may result in an Integrated Care system for</p>	<p>Embedding risk management piece of work</p> <p>Supporting Families Programme</p> <p>Integrated Care System (Risk Watch List)</p> <p>Disabled Facilities grant</p> <p>Adult Care Quality Assurance Framework (QAF)</p>

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	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.	Rough Sleepers Direct Payments Children not attending Education
10	<p>LGA peer review of SEND and CWD</p> <p>Provides an opportunity for the council to deliver further improvements in its SEND and CWD service offer with a focus on:</p> <ul style="list-style-type: none"> • Clarifying and communicating better the 'graduated offer' available to CYP and their families • Better communication with parents / carers, including simplifying language • Reviewing the pathway into the CWD service via the MASH and Early Help Front Door. • Reducing the number (%) of EHC assessment requests that are rejected • Broaden the training offer to staff and councillors on SEND. 	Embedding risk management piece of work Children's Quality Assurance Framework Independent Reviewing Officers Children not attending Education Supporting Families Programme
11	<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>	Embedding risk management piece of work HRA Strategic Asset Management (Joint audit with South Essex Homes) Rough Sleepers Housing allocations Homes for Ukraine

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13	<p>Social Cohesion</p> <p>Risk that the impact of Covid-19 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>Opportunity for the celebration of City status to re-set and re-focus direction galvanising the community.</p>	<p>Embedding risk management piece of work</p>
14	<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>Embedding risk management piece of work</p> <p>Letting of new Waste Collection Contract</p>

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15	<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 CRR20).</p>	<p>Embedding risk management piece of work</p> <p>HRA Strategic Asset Management (Joint audit with South Essex Homes)</p> <p>Corporate Asset Management</p>
16	<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>Embedding risk management piece of work</p>

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17	<p>Visitor Destination</p> <p>Risk that the competing demands and needs of residents and visitors will impact on the borough's ability to meet the needs of its residents or provide a suitable destination for visitors, and that Covid-19 impacts 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>Opportunities arising from City Status and people holidaying in the UK, 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>Embedding risk management piece of work</p> <p>Highways Capitalised Maintenance Programme</p>
18	<p>Economic Recovery and Income Inequalities</p> <p>Risk that the impact of covid-19 reducing economic activity will cause a reduction in employment opportunities for 18-25-year-olds and an increase in unemployment across the borough. 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 reduction in restrictions and the move to City status 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>Embedding risk management piece of work</p>

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19	<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>Embedding risk management piece of work</p>