

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

CRR	Corporate Risks as at January 2023	Audit work providing assurance in 2023/24
1	<p>Covid-19 Pandemic</p> <p>Risk that the Covid-19 pandemic causes an outbreak of ill-health in the City 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 City.</p>	<p>Embedding risk management</p>
2	<p>Financial Sustainability</p> <p>Risk that failure to address the financial challenges by effectively managing the growing demand for services, managing the costs of the impact of energy, inflation and the cost of living, while 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</p> <p>Financial Sustainability</p> <p>Transformation Programme</p> <p>Contract Management system</p> <p>Council governance arrangements for Council companies</p> <p>Southend Care Ltd</p> <p>Foster Carers</p> <p>Better Queensway</p> <p>My Southend</p> <p>Treasury Management</p> <p>Waste Collection Contract Procurement</p> <p>HRA Business Plan</p> <p>Business World Enterprise Resource Planning</p>

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3	<p>Inflation and cost of living pressures</p> <p>Risk that failure to address the pressures caused by energy prices, inflation and the cost of living cause budgetary control difficulties and growing demand for services, that the Council is unable to address, threatening the financial sustainability of the Council.</p> <p>Risk that impact on the supply chain (causing labour shortages, cost increases in materials, labour and fuel and difficulty in sourcing plant and vehicles) and finance to deliver the increased costs of the capital programme, lead to a significant adverse impact on Council services and the ability to deliver the outcomes desired by the Council.</p>	<p>Embedding risk management</p> <p>Financial sustainability</p> <p>Contract Management system</p> <p>Anti-Poverty Strategy</p> <p>Waste Collection Contract Procurement</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 City being left behind and ultimately unable to deliver the Council's ambition and outcomes.</p>	<p>Embedding risk management</p> <p>LGA Peer Review</p> <p>Council governance arrangements for Council companies</p>

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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>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 the pandemic, inflation and financial pressures 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</p> <p>Workforce Planning</p> <p>Transformation Programme</p> <p>Foster Carers</p> <p>Business World Enterprise Resource Planning</p>
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> <ul style="list-style-type: none"> a) failure to ensure the Council has a coherent and comprehensive approach to cyber security and data protection, including strategy, tools and processes b) a data breach (see CRR 6b) c) remote working creating a wider footprint for attack d) clicking on an attachment by a colleague e) Single point of connectivity failure. <p>Opportunity to build resilience by ensuring that staff have the necessary digital skills.</p>	<p>Embedding risk management</p> <p>Cyber Security – awareness and training</p> <p>IT Asset Management</p> <p>Business World Enterprise Resource Planning</p>

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6b	<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</p> <p>Data Strategy</p> <p>Cyber Security – awareness and training</p> <p>IT Asset Management</p> <p>Business World Enterprise Resource Planning</p>
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 City anticipated to support the Corporate Plan, 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>Risk that impact on the supply chain (causing labour shortages, cost increases in materials, labour and fuel and difficulty in sourcing plant and vehicles) and finance to deliver the increased costs of the capital programme, lead to a significant adverse impact on the ability to deliver the outcomes desired by the Council.</p>	<p>Embedding risk management</p> <p>Contract Management system</p> <p>Better Queensway</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>

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8	<p>Mitigating for and adapting to climate change</p> <p>Risk that failing to implement changes needed to reduce the City's carbon footprint will cause an inadequate contribution to the reduction in carbon emissions required. This will result in significant adverse impact on the City, and if the climate adaptation measures being implemented are also inadequate, including sea defences, there will be further implications for the Council in needing to respond to climate events in the City.</p>	<p>Embedding risk management</p> <p>Green City Action Plan</p> <p>Parking implementation plan</p> <p>Better Queensway</p> <p>Waste Collection Contract Procurement</p> <p>Transformation Programme</p> <p>Biodiversity Net Gain Grant</p>
9	<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</p> <p>Waste Collection Contract Procurement</p> <p>Contract Management system</p> <p>Transformation Programme</p>

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10	<p>Safeguarding responsibilities and child welfare</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 the response to covid-19, inflation and the cost of living through food and fuel, 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</p> <p>Supporting Families Programme</p> <p>Disabled Facilities grant</p> <p>Anti-Poverty Strategy</p> <p>Southend Care Ltd</p> <p>Adult Social Care Living Well Strategy Action Plan</p> <p>Children's Quality Assurance Framework (QAF)</p> <p>Foster Carers</p> <p>Southend Travel Partnership (Vecteo) governance arrangements</p>
11	<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, inflation and the cost of living pressures.</p> <p>In the longer term the changes resulting from the Health and Care Bill creating an Integrated Care System for Mid and South Essex, impacts 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>Embedding risk management</p> <p>Supporting Families Programme</p> <p>Disabled Facilities Grant</p> <p>Universal Drug Treatment Grant</p> <p>Anti-Poverty Strategy</p> <p>Adult Social Care Living Well Strategy Action Plan</p> <p>Children's Quality Assurance Framework (QAF)</p>

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12	<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. 	<p>Embedding risk management</p> <p>Children's Quality Assurance Framework (QAF)</p> <p>Foster Carers</p> <p>Southend Travel Partnership (Vecteo) governance arrangements</p> <p>Disabled Facilities Grant</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 and response to covid-19, energy and food inflation has heightened these risks in the short term, causing providers to demand higher fees, increasing the pressure on capacity in the market.</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>Embedding risk management</p> <p>Contract Management system</p> <p>Anti-Poverty Strategy</p> <p>Southend Care Ltd</p> <p>Adult Social Care Living Well Strategy Action Plan</p> <p>Disabled Facilities Grant</p>

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14	<p>Social Cohesion</p> <p>Risk that the impact of the cost of living pressures 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.</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>Refugees perceived as utilising resources causing additional tensions.</p> <p>These impact on the ability of the City to deliver the outcomes desired by Southend 2050 and damage the reputation of the City.</p> <p>Opportunity for the celebration of City status to re-set and re-focus direction galvanising the community.</p>	<p>Embedding risk management</p> <p>Supporting Families Programme</p> <p>Universal Drug Treatment Grant</p> <p>Anti-Poverty Strategy</p> <p>Foster Carers</p> <p>Empty Homes Strategy</p> <p>Better Queensway</p> <p>HRA Business Plan</p>

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15	<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 (TA) & 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 City desired by the Council.</p> <p>Risk is increased by the impact of the cost of living pressures on those just about managing no longer being able to manage, causing an increase in homelessness.</p> <p>Risk is increased by pressure to accommodate refugees causing additional demand on the local housing market, especially the availability of affordable housing.</p>	<p>Embedding risk management</p> <p>Council governance arrangements for Council companies</p> <p>Anti-Poverty Strategy</p> <p>Empty Homes Strategy</p> <p>Better Queensway</p> <p>HRA Business Plan</p>
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, inflation and supply chain issues, 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 CRR17).</p>	<p>Embedding risk management</p> <p>Better Queensway</p> <p>HRA Business Plan</p>

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17	<p>Local plan</p> <p>Risk that failure to meet Government requirements and make sufficient progress will lead to reputational damage to the Council and the potential imposition of unwanted development and the loss of plan making powers, causing an inability to manage development effectively and deliver upon the Council's outcome priorities.</p> <p>(Nationally the Government is currently considering changes to national policy, which could have significant impacts on the Local Plan process. However, until we are clearer on what the detail of these changes are and when they will come forward it is difficult to establish what impact they may have on timescales.)</p>	<p>Embedding risk management</p> <p>Empty Homes Strategy</p> <p>Better Queensway</p>

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18	<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 City and delivery of anticipated outcomes not being achieved (jobs & skills, housing, linked spend, economic growth, housing delivery etc), as well as significant financial and reputational damage to the Council.</p>	<p>Embedding risk management</p> <p>Better Queensway</p> <p>Financial sustainability</p> <p>Contract Management system</p> <p>Council governance arrangements for Council companies</p>
19	<p>Visitor destination and major events</p> <p>Risk that the competing demands and needs of residents and visitors will impact on the City's ability to meet the needs of residents or provide a suitable destination for visitors, and that cost of living pressures impact on the ability of the City to provide an attractive proposition for visitors, with a resultant impact on the economic strength of the City 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>Risk of major events hosted in the City not being adequately managed to secure participant safety resulting in adverse outcomes for participants and reputational and financial damage for the Council.</p>	<p>Embedding risk management</p> <p>Pier and Foreshore</p> <p>Parking implementation plan</p>

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20	<p>Economic recovery and income inequalities</p> <p>Risk that the impact of covid-19, inflation and cost of living pressures result in reducing economic activity causing a reduction in employment opportunities for 18-25 year olds and an increase in unemployment across the City. The impact is likely to be experienced unevenly across sectors with the retail, hospitality, leisure and tourism sectors 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 City.</p> <p>However, the reduction in restrictions and the move to City status provides the opportunity to attract new businesses and employers into the City, providing new and additional employment that can contribute to the delivery of the ambition and outcomes for the City led by the major regeneration schemes driven by the Council.</p>	<p>Embedding risk management</p> <p>Anti-Poverty Strategy</p>