# Summary of Each Risk

Financially sustainable and value for money	Financial resources may not be available to support the Council' corporate planning processes, financial strategy and annual budgets.	16
People are supported and protected from harm	People of Stockton-on-Tees may not be safe, protected and cared for.	15
Strong leadership and governance	Failure to have in place strong leaderships supported by excellent governance and practices.	8
People live healthy lives	Failure to promote and protect health and wellbeing across the borough and to reduce inequalities.	12
Cohesive and safe communities	Failure to provide a safe Stockton-on-Tees, were all residents are able to live their lives in a borough free from crime, fear of crime and anti-social behaviour.	12
Education and skills development	Failure to provide facilities and opportunities to develop skills and promote education as means to improve life chances.	16
Great places to live and visit	Failure to provide attractive areas with housing needs being met and supported by an effective infrastructure.	6
Clean and green spaces	Failure to provide a clean, green and attractive environment throughout the borough.	4
Rich cultural experiences	People may not be provided with opportunities to experience and participate in cultural activities.	3
A growing economy	Failure to encourage regeneration, support enterprise and improve development opportunities for new and existing businesses across the borough.	8
Job creation and increased employment	Failure to ensure we have communities who are provided with skills and opportunities to achieve economic prosperity.	8
Dedicated and resourceful employees	The skills, expertise and level of human resources available may not be sufficient to support the overall aims of the organisation.	12

### **Current Position on Each Risk**

Financially sustainable and value for money

Financial resources may not be available to support the Council' corporate planning processes, financial strategy and annual budgets.

Causes	Status								
Reduction in government funding leading to the necessity to deliver savings and									
efficiencies.									
Lack of certainty in funding post 2020.									
Individual service pressures for example rising number of looked after children;	The Counc	il requires a str	ong approa	ach to finan	cial manag	ement and a lor	ng term		
increasing demands on Adults' services.	approach	to financial plar	nning to del	liver saving	s and wher	ever possible pr	otect		
External pressures e.g. adapting to the demands and opportunities created by climate	front-line services. However, savings are becoming more difficult. Changes to the								
change.	financial p	osition are extr	emely likel	y and the f	unding posi	tion post 2020	remains		
Retention of business rates.	uncertain, however we have a managed approach and plan over the medium to								
Low level of interest rates.	long term to dealing with and predicting these changes which should help manage								
COVID	the impact.								
Implications	Cu	irrent Assessme	ent		Desired Score				
Potentially a significant impact on reputation, service delivery, and achievement of	Impact	Likelihood	Total		Impact	Likelihood	Total		
Council objectives.	4	4	16		0	0	0		

#### Below is a summary of control statuses linked to the risk.

	Very Low			Low M		Medium High			Very High					
G	А	R	G	А	R	G	А	R	G	А	R	G	А	R
3	1	0	18	1	1	13	0	0	9	0	0	1	0	0

Below is a list of current actions identified during audit work.

	Before enforcement visit action is					
	undertaken the debtors					
	outstanding balance should be					
	checked for accuracy. In order to			A report (Fees Added previous day) has		
	calculate the enforcement fee any		There is an increased risk that	been created and the fees on balances		
	pending payments should be		debtors are being incorrectly	over £1500 are checked to ensure they		
	deducted from the outstanding		charged higher enforcement action	are correct and any waiting payments		
7492	balance figure.	Medium	fees.	are deducted from the client balance.	Nicola Ayre	31/03/2020

Causes	Status									
Unpredictable level of demand for services for LAC; high number and complexity of										
external residential placements.										
Failure to protect a child or young person from death or serious harm as a result of										
increased referral activity and workload pressures, leading to either a failing in policies	Demand p	ressures contir	nue to be hi	igh as a resi	ult of high r	eferral activity,	high			
/ procedures, personnel or partnerships.	number of child protection plans and a high number of looked after children.									
Changes in legislation.	A collaborative approach is in place with strong partnership links and preventative									
Ineffective response to concerns raised.	strategies to improve outcomes for adults at risk. Public awareness of safeguarding									
Lack of public and professional awareness of safeguarding issues and referral process.	issues has	increased. The	proportion	of people	who feel sa	fe and secure r	emains			
Ineffective commissioning of support services.	relatively high.									
Rising crime rate.	Recruitment and retention of experienced social workers continues to be a									
Ineffective partnership working.	challenge.									
Implications	Cu	rrent Assessm	ent			Desired Score				
Social impacts associated with poor educational attainment, and reduced health and	Impact	Likelihood	Total		Impact	Likelihood	Total			
well-being.	5	3	15		0	0	0			

	Very Low	ery Low Low				Medium			High			Very High		
G	А	R	G	А	R	G	А	R	G	А	R	G	А	R
0	0	0	5	0	0	14	1	0	11	0	0	4	0	0

F	Failure to have in place strong leaderships supported by excellent governance and
Strong leadership and governance p	practices.

Causes	Status										
Openness and transparency	A set of key campaigns is being delivered, in line with the Council vision, to be used										
Continous improvement	as the basis and framework for focussing communications. The SBC website and										
Effective communication	social media platforms continue to be developed as a way of keeping residents,										
Strong customer focus	businesses and visitors informed about the Council and the borough										
Strong assurance	Be a Councillor campaign launched to provide information to people interested in										
Implications	Current Assessment Desired Score										
Weakened leadership and ability to meet objectives.	Impact Likelihood Total Impact Likelihood Total										
weakened leadership and ability to meet objectives.	4 2 8 0 0 0										

	Very Low			Low			Medium			High			Very High		
G	А	R	G	А	R	G	А	R	G	А	R	G	А	R	
5	0	0	23	1	0	18	2	0	6	0	0	5	0	0	

	Failure to promote and protect health and wellbeing across the borough and to
People live healthy lives	reduce inequalities.

Causes	Status									
	Work continues to address the numerous issues affecting health and wellbeing									
Poor education.	issues in Stockton-on-Tees and, in particular, the health inequalities which exist									
Poor access to healthy diets.	between our more deprived and least deprived communities, for example smoking									
Smoking rates.	prevalence. The extent of these inequalities in health remain one of the biggest									
Lack of access to support services.	challenges to the health and wellbeing of our Borough as a whole. Groups such as									
Ineffective commissioning of services.	the elderly, very young and those with existing health issues will be more									
Failure to understand issues affecting health.	vulnerable to climate change, particularly to extreme heat.									
Implications	Current Assessment Desired Score									
Premature death.	Impact Likelihood Total Impact Likelihood Total									
Reduced quality of life.	4 3 12 0 0 0									

	Very Low			Low			Medium		High			Very High			
G	А	R	G	А	R	G	А	R	G	А	R	G	A	R	
0	0	0	0	0	0	0	1	0	1	0	0	0	0	0	

Failure to provide a safe Stockton-on-Tees, were all residents are able to live theirCohesive and safe communitieslives in a borough free from crime, fear of crime and anti-social behaviour.

Causes	Status										
Reduced detection.											
Ineffective partnership working.	Safer Stockton Partnership works together to improve community safety ac										
Terrorism	borough. (	Crime levels con	ntinue to in	crease.							
Implications	Cu	irrent Assessme	ent			Desired Score					
Antisocial behavior.	Impact		Impact	Likelihood	Total						
Physical harm.	3	3	12		0	0	0				

	Very Low			Low			Medium		High			Very High			
G	А	R	G	А	R	G	G A R		G	i A R		G	А	R	
0	1	0	0	1	0	1	0	0	0	0	0	0	0	0	

Failure to provide facilities and opportunities to develop skills and promoteEducation and skills developmenteducation as means to improve life chances.

Causes	Status								
Challenging economic climate with financial constraint.	Demand pressures continue to be experienced, particularly relating to the rising number and complexity of external residential placements. There are challenges to address around higher than average fostering and adoption timescales, and the number of care leavers in education, employment or training. There are issues to address relating to communication and information sharing between partners which may create barriers to effective support.								
Loss of education funding to the local authority as schools convert to academies.	which may	y create barrier	s to effectiv	ve support.					
Implications	Current Assessment Desired S								
Social impacts associated with poor educational attainment, and reduced health and	Impact	Likelihood	Total		Impact	Likelihood	Total		
well-being.	4	4	16		0	0	0		

	Ver	y Low			Low			Medium			High		Very High			
G		А	R	G	А	R	G	G A		G	G A R		G	A		
0		0	0	7	1	0	1	0	0	1	0	0	1	0	0	

Great places to live and visitFailure to provide attractive areas with housing needs being met and supported by

Causes	Status								
Sufficient housing									
Accessible and affordable housing									
Vibrant town centres	A strong partnership ethos is in place with developers, land owners and registered								
Thriving visitor attractions	social land	lords to deliver	housing st	rategies, re	generation	schemes, and i	mprove		
Year round programme of events	the quality	of existing hou	using. The l	_ocal Plan v	as adopted	d in January 201	L9.		
Implications	Cu	rrent Assessme	ent			Desired Score			
	Impact	Likelihood	Total		Impact	Likelihood	Total		
Unable to attract visitors and the subsequent investment	3	2	6		0	0	0		

	Very Low			Low		Medium				High		Very High			
G	А	R	G	А	R	G	G A R		G	A R		G	G A		
1	0	0	5	0	0	7	0	0	3	0	0	1	0	0	

	Failure to provide a clean, green and attractive environment throughout the
Clean and green spaces	borough.

Causes	Status						
Lack of financial resources. Vandalism and anti social behavior threaten viability of attractions and satisfaction of	green spac Despite re	ces and urban g duced investme	rey spaces, ent due to l	such as to imited fund	wn and nei ling, the Co	as smaller neigh ghbourhood ce puncil continues	ntres.
visitors.	maintain t	he required sta	ndard for d	our green sp	aces.		
Implications	Cu	irrent Assessme	ent			<b>Desired Score</b>	
Reputational impact.	Impact	Likelihood	Total		Impact	Likelihood	Total
Reduced leisure opportunities. Environmental impact.	2	2	4		0	0	0

	Very Low			Low			Medium		High			Very High			
G	А	R	G	А	R	G	G A		G	G A R		G	А	R	
0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	

	People may not be provided with opportunities to experience and participate in
Rich cultural experiences	cultural activities.

Causes	Status									
Lack of facilities.										
Poor range of provision.	The Council successfully delivers a diverse programme of festivals and events. A									
Poor promotion of events and services.	broad range of leisure and visitor attractions provide great experiences and drive									
Lack of affordability.	economic	activity in the b	orough.							
Implications	Cu	irrent Assessme	ent			Desired Score				
	Impact	Likelihood	Total		Impact	Likelihood	Total			
Negative impact on health and wellbeing										
Negative impact on social cohesion and mental wellbeing	3	1	3		0	0	0			
Failure to attract visitors to the area.										

	Very Low			Low			Medium		High			Very High			
G	А	R	G	А	R	G	А	R	G	G A R			А	R	
0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	

	Failure to encourage regeneration, support enterprise and improve development
A growing economy	opportunities for new and existing businesses across the borough.

Causes	Status						
Poor partnership working. Lack of awareness of support available. Ineffective support to new business start-ups. Barriers caused by poor infrastructure. Environmental challenges.	growth of o refurbishm successful Hampton b	existing busines ent of The Glo Business Impro	sses. The ex be Theatre ovement Dis is proposed	vening ecor continues a strict and H I to open in	nomy of Sto and the Cou ealthy High	ness startups an ockton is expan- incil has suppo Streets progra . The re-occup	ding, the rted a mme.
Implications	Cu	rrent Assessme	ent			Desired Score	
Lack of appropriate appleument apportunities	Impact	Likelihood	Total		Impact	Likelihood	Total
Lack of appropriate employment opportunities. Economic impact from lack of local investment. Financial impact.	4	2	8		0	0	0

	Very Low			Low			Medium			High		Very High			
G	А	R	G	А	R	G	А	R	G	А	R	G	А	R	
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

	Failure to ensure we have communities who are provided with skills and
Job creation and increased employment	opportunities to achieve economic prosperity.

Causes	Status									
Universal Credit.	Effective partnership working with other public sector organisations, private and									
Failure to effectively engage with the communities we serve.	voluntary sectors, influences economic growth locally. The Council has a strong									
Failure to manage expectations.	track reco	rd with TVCA. 1	The Council	continues	to support	the developme	nt of			
Environmental factors.	business startups and the growth of existing businesses									
Implications	Current Assessment Desired Score									
Social impact on outcomes and life chances as a result of financial difficulties and	Impact	Likelihood	Total		Impact	Likelihood	Total			
family poverty.										
Implications on health and wellbeing.	4	2	8		0	0	0			
Negative financial impact on the local economy.	4	2	0		0	0	0			
Alienation and disengagement of the community.										

	Very Low			Low		Medium				High		Very High			
G	А	R	G	А	R	G	А	R	G	А	R	G	А	R	
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

Dedicated and resourceful employees

The skills, expertise and level of human resources available may not be sufficient to support the overall aims of the organisation.

Causes	Status						
The necessity to deliver savings and efficiencies has resulted in a reduced workforce. Loss of experienced staff due to retirement, ill health or lack of opportunities. Recruitment and selection difficulties; attracting applicants to the public sector.	challenges to effectiv younger a financial p Future pro	, it is crucial that ely recruit to va nd more diverse osition are extr ogramme, the C	at the Coun acant posts e workforce remely likel council is bu	icil is able t where nec e remains c y, however iilding on tl	o maintain essary. The hallenging. through th ne capabilit	l manages its fir essential skills recruitment of Further chang re Shaping a Bri ies of the work ness levels have	and is able <sup>f</sup> a es to the ghter force,
Implications	Cu	irrent Assessme	ent			Desired Score	
Failure to maintain and develop staff capacity and capability impacts on the Council's	Impact	Likelihood	Total		Impact	Likelihood	Total
ability to deliver services.							
Increased workloads leading to further sickness.	4	3	12		0	0	0
Reputational damage.							

	Very Low			Low			Medium			High		Very High				
G	А	R	G	А	R	G	А	R	G	А	R	G	А	R		
3	0	0	12	0	0	2	0	0	1	0	0	0	0	0		

# Audit Completed Work - July - September

	,	Very Lov	/		Low			Medium	ı		High	I	V	ery Higl	ı
	G	А	R	G	А	R	G	А	R	G	А	R	G	А	R
Financially sustainable and value for money	0	0	0	2	0	0	0	0	0	1	0	0	0	0	0
People are supported and protected from harm	0	0	0	0	0	0	0	0	0	2	0	0	0	0	0
Strong leadership and governance	0	0	0	1	0	0	3	1	0	2	0	0	1	0	0
People live healthy lives	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0
Cohesive and safe communities	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Education and skills development	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Great places to live and visit	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Clean and green spaces	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Rich cultural experiences	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A growing economy	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Job creation and increased employment	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Dedicated and resourceful employees	1	0	0	0	0	0	1	0	0	1	0	0	0	0	0

### Audit Planned Work

	Very	/ Low	Lo	w	Me	dium	Н	igh	Very	/ High	Monitoring
	No	Time	No	Time	No	Time	No	Time	No	Time	Time
Financially sustainable and value for money	1	2	7	9.5	7	14.5	4	4.5	3	1.5	1.4
People are supported and protected from harm	0	0	4	4.5	8	9.5	9	11.75	2	1.5	1.2
Strong leadership and governance	0	0	6	4.75	9	12.25	4	5.5	1	1	1.5
People live healthy lives	0	0	0	0	0	0	1	2	0	0	0
Cohesive and safe communities	0	0	1	0.5	3	1.25	1	0.5	0	0	0.4
Education and skills development	0	0	2	3.25	4	4.5	0	0	0	0	0.6
Great places to live and visit	0	0	2	1.5	10	12	1	1	0	0	1.2
Clean and green spaces	0	0	2	0.5	0	0	0	0	0	0	0.2
Rich cultural experiences	0	0	1	0.5	3	2.5	0	0	0	0	0.4
A growing economy	0	0	0	0	0	0	0	0	0	0	0
Job creation and increased employment	0	0	0	0	0	0	0	0	0	0	0
Dedicated and resourceful employees	1	0.25	2	1	1	1	0	0	0	0	0.4
	2	2.25	27	26	45	57.5	20	25.25	6	4	7.3
DBC	2	2.25	26	25	42	51.75	19	25.75	5	3	7

Resources Required	237.05
Resources Available	249