

## 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

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; increasing demands on Adults' services.  
 External pressures e.g. adapting to the demands and opportunities created by climate change.  
 Retention of business rates.  
 Low level of interest rates.  
 COVID

### Status

The Council requires a strong approach to financial management and a long term approach to financial planning to deliver savings and wherever possible protect front-line services. However, savings are becoming more difficult. Changes to the financial position are extremely likely and the funding position post 2020 remains uncertain, however we have a managed approach and plan over the medium to long term to dealing with and predicting these changes which should help manage the impact.

### Implications

Potentially a significant impact on reputation, service delivery, and achievement of Council objectives.

Current Assessment			Desired Score		
Impact	Likelihood	Total	Impact	Likelihood	Total
4	4	16	0	0	0

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

Very Low			Low			Medium			High			Very High		
G	A	R	G	A	R	G	A	R	G	A	R	G	A	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.

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

People of Stockton-on-Tees may not be safe, protected and cared for.

Causes	Status																		
<p>Unpredictable level of demand for services for LAC; high number and complexity of external residential placements.</p> <p>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 / procedures, personnel or partnerships.</p> <p>Changes in legislation.</p> <p>Ineffective response to concerns raised.</p> <p>Lack of public and professional awareness of safeguarding issues and referral process.</p> <p>Ineffective commissioning of support services.</p> <p>Rising crime rate.</p> <p>Ineffective partnership working.</p>	<p>Demand pressures continue to be high as a result of high referral activity, high number of child protection plans and a high number of looked after children.</p> <p>A collaborative approach is in place with strong partnership links and preventative strategies to improve outcomes for adults at risk. Public awareness of safeguarding issues has increased. The proportion of people who feel safe and secure remains relatively high.</p> <p>Recruitment and retention of experienced social workers continues to be a challenge.</p>																		
Implications	<table border="1"> <thead> <tr> <th colspan="3" data-bbox="1097 813 1545 853">Current Assessment</th> <th colspan="3" data-bbox="1545 813 2125 853">Desired Score</th> </tr> <tr> <th data-bbox="1097 853 1232 893">Impact</th> <th data-bbox="1232 853 1411 893">Likelihood</th> <th data-bbox="1411 853 1545 893">Total</th> <th data-bbox="1545 853 1680 893">Impact</th> <th data-bbox="1680 853 1859 893">Likelihood</th> <th data-bbox="1859 853 2125 893">Total</th> </tr> </thead> <tbody> <tr> <td data-bbox="1097 893 1232 938">5</td> <td data-bbox="1232 893 1411 938">3</td> <td data-bbox="1411 893 1545 938">15</td> <td data-bbox="1545 893 1680 938">0</td> <td data-bbox="1680 893 1859 938">0</td> <td data-bbox="1859 893 2125 938">0</td> </tr> </tbody> </table>	Current Assessment			Desired Score			Impact	Likelihood	Total	Impact	Likelihood	Total	5	3	15	0	0	0
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Impact	Likelihood	Total	Impact	Likelihood	Total														
5	3	15	0	0	0														
<p>Social impacts associated with poor educational attainment, and reduced health and well-being.</p>																			

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

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

Strong leadership and governance	Failure to have in place strong leaderships supported by excellent governance and practices.
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Causes	Status																		
Openness and transparency Continous improvement Effective communication Strong customer focus Strong assurance	A set of key campaigns is being delivered, in line with the Council vision, to be used as the basis and framework for focussing communications. The SBC website and social media platforms continue to be developed as a way of keeping residents, businesses and visitors informed about the Council and the borough Be a Councillor campaign launched to provide information to people interested in																		
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Weakened leadership and ability to meet objectives.	<table border="1"> <thead> <tr> <th colspan="3">Current Assessment</th> <th colspan="3">Desired Score</th> </tr> <tr> <th>Impact</th> <th>Likelihood</th> <th>Total</th> <th>Impact</th> <th>Likelihood</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>4</td> <td>2</td> <td>8</td> <td>0</td> <td>0</td> <td>0</td> </tr> </tbody> </table>	Current Assessment			Desired Score			Impact	Likelihood	Total	Impact	Likelihood	Total	4	2	8	0	0	0
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Very Low			Low			Medium			High			Very High		
G	A	R	G	A	R	G	A	R	G	A	R	G	A	R
5	0	0	23	1	0	18	2	0	6	0	0	5	0	0

People live healthy lives

Failure to promote and protect health and wellbeing across the borough and to reduce inequalities.

Causes	Status																		
Poor education. Poor access to healthy diets. Smoking rates. Lack of access to support services. Ineffective commissioning of services. Failure to understand issues affecting health.	Work continues to address the numerous issues affecting health and wellbeing issues in Stockton-on-Tees and, in particular, the health inequalities which exist between our more deprived and least deprived communities, for example smoking prevalence. The extent of these inequalities in health remain one of the biggest challenges to the health and wellbeing of our Borough as a whole. Groups such as the elderly, very young and those with existing health issues will be more vulnerable to climate change, particularly to extreme heat.																		
Implications																			
Premature death. Reduced quality of life.	<table border="1"> <thead> <tr> <th colspan="3">Current Assessment</th> <th colspan="3">Desired Score</th> </tr> <tr> <th>Impact</th> <th>Likelihood</th> <th>Total</th> <th>Impact</th> <th>Likelihood</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>4</td> <td>3</td> <td>12</td> <td>0</td> <td>0</td> <td>0</td> </tr> </tbody> </table>	Current Assessment			Desired Score			Impact	Likelihood	Total	Impact	Likelihood	Total	4	3	12	0	0	0
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Very Low			Low			Medium			High			Very High		
G	A	R	G	A	R	G	A	R	G	A	R	G	A	R
0	0	0	0	0	0	0	1	0	1	0	0	0	0	0



Education and skills development	Failure to provide facilities and opportunities to develop skills and promote education as means to improve life chances.
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Causes	Status																		
Challenging economic climate with financial constraint. Loss of education funding to the local authority as schools convert to academies.	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.																		
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G	A	R	G	A	R	G	A	R	G	A	R	G	A	R
0	0	0	7	1	0	1	0	0	1	0	0	1	0	0



Great places to live and visit	Failure to provide attractive areas with housing needs being met and supported by an effective infrastructure.
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Causes	Status																		
Sufficient housing Accessible and affordable housing Vibrant town centres Thriving visitor attractions Year round programme of events	A strong partnership ethos is in place with developers, land owners and registered social landlords to deliver housing strategies, regeneration schemes, and improve the quality of existing housing. The Local Plan was adopted in January 2019.																		
Implications																			
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Impact	Likelihood	Total	Impact	Likelihood	Total														
3	2	6	0	0	0														
Unable to attract visitors and the subsequent investment																			

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

Very Low			Low			Medium			High			Very High		
G	A	R	G	A	R	G	A	R	G	A	R	G	A	R
1	0	0	5	0	0	7	0	0	3	0	0	1	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.
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Causes	Status																		
<p>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.</p>	<p>In order to deliver the best possible services as the Council manages its financial challenges, it is crucial that the Council is able to maintain essential skills and is able to effectively recruit to vacant posts where necessary. The recruitment of a younger and more diverse workforce remains challenging. Further changes to the financial position are extremely likely, however through the Shaping a Brighter Future programme, the Council is building on the capabilities of the workforce, increasing capacity, resilience and success. Employee sickness levels have fallen</p>																		
Implications																			
<p>Failure to maintain and develop staff capacity and capability impacts on the Council's ability to deliver services. Increased workloads leading to further sickness. Reputational damage.</p>	<table border="1"> <thead> <tr> <th colspan="3">Current Assessment</th> <th colspan="3">Desired Score</th> </tr> <tr> <th>Impact</th> <th>Likelihood</th> <th>Total</th> <th>Impact</th> <th>Likelihood</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>4</td> <td>3</td> <td>12</td> <td>0</td> <td>0</td> <td>0</td> </tr> </tbody> </table>	Current Assessment			Desired Score			Impact	Likelihood	Total	Impact	Likelihood	Total	4	3	12	0	0	0
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G	A	R	G	A	R	G	A	R	G	A	R	G	A	R
3	0	0	12	0	0	2	0	0	1	0	0	0	0	0

Audit Completed Work - July - September

	Very Low			Low			Medium			High			Very High		
	G	A	R	G	A	R	G	A	R	G	A	R	G	A	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		Low		Medium		High		Very High		Monitoring Time
	No	Time	No	Time	No	Time	No	Time	No	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
	<b>2</b>	<b>2.25</b>	<b>27</b>	<b>26</b>	<b>45</b>	<b>57.5</b>	<b>20</b>	<b>25.25</b>	<b>6</b>	<b>4</b>	<b>7.3</b>
DBC	<b>2</b>	<b>2.25</b>	<b>26</b>	<b>25</b>	<b>42</b>	<b>51.75</b>	<b>19</b>	<b>25.75</b>	<b>5</b>	<b>3</b>	<b>7</b>

Resources Required	<b>237.05</b>
Resources Available	<b>249</b>