

Overall Summary

Below is an overview of each risk, Providing a summary of the current status of the risk.

ID	Risk	Current	Desired	Assurance	Audit Findings (By Impact)					
						VL	L	M	H	VH
275	Financially sustainable and value for money	16	8	95%	R	0	1	0	0	0
					A	0	3	0	0	0
					G	1	23	10	4	2
279	Strong leadership and governance	8	0	98%	R	0	0	0	0	0
					A	0	1	2	0	0
					G	2	20	24	9	4
290	Dedicated and resourceful employees	12	0	100%	R	0	0	0	0	0
					A	0	0	0	0	0
					G	2	12	3	1	0
282	Education and skills development	16	12	97%	R	0	0	0	0	0
					A	0	1	0	0	0
					G	0	5	3	1	1
287	A growing economy	12	8	100%	R	0	0	0	0	0
					A	0	0	0	0	0
					G	0	0	0	0	0
288	Job creation and increased employment	16	12	100%	R	0	0	0	0	0
					A	0	0	0	0	0
					G	0	1	0	1	0
278	People are supported and protected from harm	15	0	92%	R	0	0	0	0	0
					A	0	0	1	1	2
					G	0	6	9	12	5
280	People live healthy lives	12	0	100%	R	0	0	0	0	0
					A	0	0	0	1	0
					G	0	0	0	1	0
281	Cohesive and safe communities	9	0	86%	R	0	0	0	0	0
					A	0	0	1	0	0
					G	0	0	1	0	0
284	Great places to live and visit	6	0	94%	R	0	0	0	0	0
					A	0	0	1	0	0
					G	1	5	9	1	0
285	Clean and green spaces	4	0	100%	R	0	0	0	0	0
					A	0	0	0	0	0
					G	0	1	3	0	0
286	Rich cultural experiences	3	0	100%	R	0	0	0	0	0
					A	0	1	0	0	0
					G	0	0	1	0	0

Detailed Analysis

This section of the report will present the detail of each risk and how the assessment is supported by the work of internal audit. Each risk is linked to the Council Plan and the priorities within that plan. Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes. The overall assurance and results of audit work are shown in the summary but this section will detail the results of audit work in the previous period and the planned work for the next period and how this supports the organisation in managing its risks and achieving its objectives.

Below are the details behind each risk including a commentary on the current status.

275	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		Implications	Current Status
Reduction in government funding over the previous 10 years leading to the necessity to deliver savings and efficiencies. Lack of long-term certainty in funding. Individual service pressures for example rising number of looked after children; increasing demands on Adults' services. External pressures Retention of business rates. COVID		Potentially a significant impact on reputation, service delivery, and achievement of Council objectives.	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 as outlined in the report to Full Council in July and the up-coming report to Cabinet in November.

Results of Audit Testing for the period:

September 2020

to

November 2020

Controls Tested:

6

Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	1	2	2	0	0	1	0	0	0	0	0	0	0	0

Planned Work December 2020 to February 2021

Very Low		Low		Medium		High		Very High	
No	Time	No	Time	No	Time	No	Time	No	Time
2	2.5	24	18.5	6	10	7	6.5	4	2.5

Monitoring
0.7

Below is a full list of controls to be examined in the next period.

	Frequency
Section 17 payments made in respect of children are appropriately managed.	3
Clear budget process and timetable is in place which could be followed by team members as and when required.	3
Focussed financial support to commercial ventures	3
Accurate and up to date MTFP projections	3
Ensure accurate monitoring of capital programme and schemes	6
Maintain formula and support for funding schools and high needs	6
Undertake forward planning and projections of external factors in respect of income and expenditure and feed into MTFP.	6
Appropriate financial monitoring is in place in respect of the Better Care Fund.	6
Accurate charges for contributions to care costs are made to service users.	6
The computer system calculates all payments correctly.	6
Accurate and timely returns are provided to support New Homes Bonus.	6
Allocation of school budgets in line with funding formula.	12
Deliver the efficiency programme in place with identified lead responsibilities	12
Financial appraisal completed as part of business case/options appraisal	12
Procurement of contracts in place for provision of employee therapy is undertaken in line with contract procedure rules and appropriate monitoring u	12
Invoice certification procedures should confirm that: goods and services have been received; prices have been checked; discounts have been taken an	12
A master record of periodical income records the amount and due dates of all sums which become due under the terms of leases, rents, licences, and	12
Headcount is being undertaken accurately and steps taken to verify figures for early years contracts.	24
Payments made to early years providers are accurate	24
Procurement of transport routes, goods and services ensures compliance with value for money principles and contract procedure rules.	24
Payments made to community transport staff are appropriate, accurate and authorised.	24
Invoices and recharges in relation to telecare services are raised promptly and accurately and income due is received.	24
Accurate charging is made in accordance with approved scale of land charges and fees.	24
Ticket sales and admission charges are recorded and income received in full.	24

All variable payments other than overtime (control covered elsewhere) are supported by appropriate paperwork and details are promptly and accurately	24
Financial information is updated in a timely manner and recorded accurately within Business World On!	24
Standard exception reports are produced for subsequent investigation and clearance.	24
Secure procedures operate for immediate payments.	24
Standing orders/financial regulations require the reasons for all sundry debtor write-offs exceeding £x to be reported to committee. Write-offs below	24
A record is kept of all accounts which are not dispatched at the time the accounts are raised. This record indicates why this action was taken, and when	24
Regular reconciliations are performed between the total credits in the debtor's system and the Main Accounting system.	24
Payments to transport providers are accurate.	24
Payments are made to waste contractors accurately.	24
Fees for building control applications have been set appropriately.	24
The correct fee is received for planning applications/requests.	24
Payment of disabled facilities/helping hand grants are accurate.	24
The disabled facilities/helping hand grant budget is appropriately monitored.	24
The correct fee is received for licenses.	24
Feedback on cases of identified fraud are acted upon appropriately.	24
Council Tax support/housing benefit overpayments are managed effectively.	24
Adequate procedures exist to deliver Council Tax/Benefits/Business Rate services.	24
Operate clear and robust insurance claim management and processing uninsured loss recovery.	48
An appropriate fee has been received for building control applications.	48

279	Strong leadership and governance	Failure to have in place strong leaderships supported by excellent governance and practices.
Causes		Implications
<p>Openness and transparency</p> <p>Continous improvement</p> <p>Effective communication</p> <p>Strong customer focus</p> <p>Strong assurance</p>		<p>Weakened leadership and ability to meet objectives.</p>
		<p>Current Status</p> <p>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</p> <p>Be a Councillor campaign launched to provide information to people interested in becoming a councillor.</p>

Results of Audit Testing for the period: September 2020 to November 2020 Controls Tested: 8

Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	1	5	2	0	0	0	0	0	0	0	0	0	0	0

Planned Work December 2020 to February 2021

Very Low		Low		Medium		High		Very High		Monitoring 1.7
No	Time	No	Time	No	Time	No	Time	No	Time	
0	0	15	12.75	21	26.5	5	6.25	6	7.75	

Below is a full list of controls to be examined in the next period.

	Frequency
An approved Council Plan is in place which sets out the priorities of the council.	3
Six monthly performance report to CMT	3
Six monthly performance reports to cabinet and executive scrutiny	3
Update and report the strategic corporate risk register.	3
There is a system of performance management in place for adult social care.	3
Council's Delivery Framework is working effectively.	3

Posts requiring a DBS check are identified and requirements are in line with legislation.	6
Appropriate disaster recovery plans and procedures are in place to support recovery from a partial or total loss of significant ICT systems/servers.	6
Appropriate formal documented ICT project management standards/policies have been established.	6
An appropriate infrastructure is in place to facilitate the organisation's firewalls.	6
Appropriate periodic IT Health checks (or other equivalent exercises) are undertaken in order to identify and categorise significant security issues/vuln	6
School governors receive an appropriate level of support and training	12
Agreements for early years provision are in place and being complied with and monitoring visits are being undertaken.	12
Development of an appropriate risk assessed H&S audit programme.	12
Preparation of responses to all external information requests	12
Prepare and submit financial returns by deadlines - RA/RO/Capital	12
Sensitive personal information in relation to clients is managed in line with GDPR.	12
Communication activities are aligned with corporate priorities and are delivered consistently and effectively.	12
Information security and sharing protocols in relation to occupational health and employee therapy provision is in line with data protection legislation	12
ICT equipment located in computer facilities is adequately and appropriately protected from significant environmental threats.	12
Where applicable, appropriate internal disaster recovery arrangements (including backup, replication and snapshot facilities) are in place to cover sign	12
Use of email facilities by users is adequately controlled.	12
Appropriate formal agreements are in place with any external parties involved in the management and operation of the networks.	12
Network infrastructure/equipment is appropriately managed and protected.	12
Adequate and appropriate arrangements are in place in respect of business continuity and disaster recovery for the network infrastructure (including l	12
Users of ICT facilities are appropriately controlled.	12
An appropriate inventory of all significant ICT equipment is maintained. Including servers, PCs, laptops, tablets, etc.	12
HMRC reporting requirements are being complied with.	12
The authority complies with HMRC CIS scheme.	12
There is a corporate arrangement in place for the secure destruction of paper records.	12
Information asset registers are in place for each service and are being complied with.	12
Plans are in place to continue to deliver housing/council tax support during an emergency.	12
Prepare and submit non-financial returns by deadlines	24
Support GIS, Adults and Children's business systems	24
Undertake health & safety investigations	24
Accurate and up to date records are maintained for all legal services provided.	24
Procurement by Legal Services is in line with contract procedure rules and value for money principles.	24
Procurement of events performers and suppliers is in line with contract procedure rules.	24
Remote access to facilities is adequately controlled.	24
Significant changes to the virtualised infrastructure are adequately managed. Allocation of resources in the virtualised environment is adequately and	24
The organisation's establishment is authorised by the managing body.	24

All fixed salary payments comply with policies and are supported by appropriate paperwork and details are promptly and accurately entered into the s	24
Amendments and credits can only occur with the authorisation of the responsible officer for the cost centre whose account was originally credited in €	24
Corporate privacy notices in place.	24
Crematorium operational controls are effective and comply with Cremation Regulations.	24
Employee hard copy files are adequately safeguarded.	24
H&S audit work is recorded appropriately	24

290	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		Implications		Current 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>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>		<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>

Results of Audit Testing for the period:	September 2020	to	November 2020	Controls Tested:	0
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Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Planned Work	December 2020	to	February 2021
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Very Low		Low		Medium		High		Very High	
No	Time	No	Time	No	Time	No	Time	No	Time
1	0.5	3	5.25	6	7.5	1	0.5	0	0

Monitoring
0.5

Below is a full list of controls to be examined in the next period.

	Frequency
Staff assessing children's cases have the relevant qualifications and clearances.	6
Appropriate business risk assessments are undertaken within the community transport service and measures are in place to ensure the health and safety of passengers.	12
Corporate initiatives are in place to help prevent sickness absence.	12
Smarter Working in Stockton objectives are achieved.	12
Information held in systems relating to HR are accurate and up to date.	12
Training, support and development is in place for foster carers/special guardians.	12
Training, support and development is in place for adoptive parents and families.	12
Sufficient and trained staff are available to support Elections held.	24
There are clearly defined guidelines and procedures for the recruitment process.	24
The appointment process is fair, robust and managed effectively.	24
Approved absence has been granted in-line with policy and promptly recorded and correctly authorised.	48

282	Education and skills development	Failure to provide facilities and opportunities to develop skills and promote education as means to improve life chances.
Causes		Implications
<p>Challenging economic climate with financial constraint.</p> <p>Loss of education funding to the local authority as schools convert to academies.</p> <p>Understanding of the offer</p> <p>Understanding of the skills required</p>		<p>Failure to provide every child with the best start in life.</p> <p>Social impacts associated with poor educational attainment, and reduced health and well-being.</p> <p>Reputational damage.</p> <p>Financial cost of external placements.</p>
		Current Status
		<p>Demand pressures continue to be experienced, particularly relating to the rising number and complexity of external residential placements.</p> <p>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. Working with the combined authority on the skills agenda for the Tees Valley. Agreed to develop an employment and skills hub</p>

Results of Audit Testing for the period: September 2020 to November 2020 Controls Tested: 2

Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	2	0	0	0	0	0	0	0	0	0	0	0	0	0

Planned Work December 2020 to February 2021

Very Low		Low		Medium		High		Very High		Monitoring 0.1
No	Time	No	Time	No	Time	No	Time	No	Time	
0	0	2	3.5	9	18.5	2	2.5	1	0.25	

Below is a full list of controls to be examined in the next period.

	Frequency
Sufficient school places are available to meet demand.	3
Attainment in schools is appropriately monitored.	6
School investment plan in place to ensure appropriate number and quality of places available.	6
A robust training and support regime is in place for new teachers	12

Plans are in place to manage the loss of a school	12
School places have been appropriately allocated.	12
Address patterns of absence and promote regular attendance at school.	12
Pathway plans support care leavers in managing the transition from school to higher education, training or employment.	12
School admissions appeals are appropriately managed.	12
Exclusions/Pupils at risk of exclusion are reviewed and action taken to address issues.	12
Pathway plans are monitored	12
Pathway plans are accurate and up to date on the system	12
Effective oversight of education provided to children in the home/hospital or other setting outside school.	24
School admission records are accurate and up-to-date.	24

287	A growing economy	Failure to encourage regeneration, support enterprise and improve development opportunities for new and existing businesses across the borough.	
	Causes	Implications	Current Status
	<p>Poor partnership working. Lack of awareness of support available. Ineffective support to new business start-ups. Barriers caused by poor infrastructure. Environmental challenges. Levels of In-Ward Investment Business & Housing Growth Awareness of start-up funding for new businesses</p>	<p>Lack of appropriate employment opportunities. Economic impact from lack of local investment. Financial impact.</p>	<p>The Council continues to support the development of business startups and the growth of existing businesses. The evening economy of Stockton is expanding, the refurbishment of The Globe Theatre continues and the Council has supported a successful Business Improvement District and Healthy High Streets programme. The re-occupation of vacant floor space remains a priority. Working closely with the combined authority on a number of schemes. Action included in Council Plan to promote inward investment. Intervened in Town Centre management across each of the towns within the borough.</p>

Results of Audit Testing for the period:	September 2020	to	November 2020	Controls Tested:	0
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Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Planned Work	December 2020	to	February 2021
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Very Low		Low		Medium		High		Very High	
No	Time	No	Time	No	Time	No	Time	No	Time
0	0	1	0.5	4	2.5	1	0.5	0	0

Monitoring
0.1

Below is a full list of controls to be examined in the next period.

	Frequency
Economic Growth Strategy and Economic Growth Plan is monitored and milestones achieved. Wording needs to change, monitoring is an internal control	6
Support is provided to new and existing businesses.	12
Tackling town centre property vacancies.	12
Promotion of the borough and town centres as a great place to invest, trade and visit.	12
Where financial assistance has been provided to businesses these are being monitored for compliance.	12
Financial assistance to businesses decisions are accurately recorded.	24

288	Job creation and increased employment	Failure to ensure we have communities who are provided with skills and opportunities to achieve economic prosperity.	
	Causes	Implications	Current Status
	Universal Credit. Failure to effectively engage with the communities we serve. Environmental factors. Levels of employment numbers Impact of COVID Matching of relevant skills to available jobs Encouraging ambition	Social impact on outcomes and life chances as a result of financial difficulties and family poverty. Implications on health and well-being. Negative financial impact on the local economy. Alienation and disengagement of the community. Understanding the skills mix	Effective partnership working with other public sector organisations, private and voluntary sectors, influences economic growth locally. The Council has a strong track record with TVCA. The Council continues to support the development of business startups and the growth of existing businesses. Agreement to develop an employment and skills hub.

Results of Audit Testing for the period: September 2020 to November 2020

Controls Tested: 1

Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	0	0	1	0	0	0	0	0	0	0	0	0	0	0

Planned Work December 2020 to February 2021

Very Low		Low		Medium		High		Very High	
No	Time	No	Time	No	Time	No	Time	No	Time
0	0	0	0	0	0	0	0	0	0

Monitoring
0

Below is a full list of controls to be examined in the next period.

Frequency

278	People are supported and protected from harm	People of Stockton-on-Tees may not be safe, protected and cared for.	
Causes		Implications	Current 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>Failure to provide every child with the best start in life.</p> <p>Social impacts associated with poor educational attainment, and reduced health and well-being.</p> <p>Reputational damage.</p> <p>Financial cost of external placements.</p> <p>Failure to meet legislative requirements.</p> <p>Neglect, Injury or death.</p> <p>Lack of choice and independence, impacting on quality of life.</p> <p>Financial loss.</p> <p>Emotional distress.</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>

Results of Audit Testing for the period: **September 2020** to **November 2020** **Controls Tested:** 8

Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	0	3	1	1	0	0	0	1	2	0	0	0	0	0

Planned Work **December 2020** to **February 2021**

Very Low		Low		Medium		High		Very High		Monitoring 0.6
No	Time	No	Time	No	Time	No	Time	No	Time	
0	0	12	8.25	23	23.25	24	31	16	21.25	

Below is a full list of controls to be examined in the next period.

Education, Health & Care Plans are completed appropriately and in a timely fashion	Frequency 3
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Children's placements are monitored appropriately and opportunities for family reunification examined.	3
Children's Assessment procedures are comprehensive and up to date	3
Children's cases are appropriately supervised with regular discussion and appropriate recording.	3
Systems are updated with the relevant referral information	3
Accurate and timely assessment of children's referrals is undertaken.	3
Process council tax support claims	3
Process housing benefit claims	3
Adult Services have a service strategy in place and delivery is being monitored.	3
An up to date strategic plan is in place for the Safeguarding Adults Board.	3
Adult Social Care cases are allocated appropriately considering caseloads and qualification requirements.	3
An appropriate ICT system(s) is in place to manage and safeguard adult social care information held.	3
Appropriate service provision has been identified to meet an Adult Social Care users individual needs, which is accurately charged for as required.	3
Where the Authority has Deputyship/Appointeeship, appropriate authorisation/legal documentation is in place	3
The Troubled Families Initiative programme is managed effectively.	3
An appropriate ICT system(s) is in place to manage and safeguard children's social care/education information held.	3
Children have been matched with appropriate adopters	3
Adequate and effective after school, day care and residential short breaks provision is available for children with a care plan.	6
Appointment of suitable of in-house foster carers.	6
Appropriate arrangements are in place to assess the suitability of adopters	6
In-House carers receive appropriate training.	6
Education, Health & Care Plans are appropriately monitored	6
Hard copy information held in Children's Residential Homes is appropriately safeguarded	6
Participate in appropriate safeguarding processes and provider serious concern protocol	6
Early help and support provided by welfare support service	6
Vehicles used in the provision of community transport services are suitable and meet requirements for servicing and road worthiness.	6
Client risk assessments are undertaken and appropriate arrangements are in place for provision of social care and education transport to clients.	6
Business continuity arrangements are in place in order to continue to receive adult referrals and undertake assessments.	6
Referral and Assessment Procedures are comprehensive and up to date.	6
Appropriate reporting mechanisms are in place in respect of safeguarding activities and outcomes.	6
Adult Social Care case files are updated accurately and in a timely manner.	6
Staff working in settings for adults are suitably qualified and receive appropriate training.	6
Appropriate monitoring of residential placements is in place.	6
Professionals are appropriately trained and qualified to undertake BIA/DoLS assessments.	6
Timely and accurate financial assessments are undertaken for service users wishing to take up a service.	6
Adequate health & safety measures/risk assessments are in place/undertaken at individual adults establishments.	6

Arrangements are in place to ensure Day Services, Residential and Supported Living service provision continues if there was a loss of staff or premises.	6
All care packages are receiving appropriate approval, and include all relevant information.	6
Appropriate arrangements are in place to continue managing clients finances in the event of disruption.	6
The adoption process is adequately documented to ensure a suitable, safe placement is found within an adequate time period in the absence of key people.	6
Breakdowns/transition arrangements and appeals are handled effectively.	6
A child in care's story is documented	12
Arrangements are in place to manage the breakdown of a placement	12
Health & safety of children's placements is monitored	12
Procedures for managing referrals (Adults) and undertaking assessments are comprehensive and up to date	12
Update and report the risk diagnostic tool (RAG) to assist in risk management in all adults, public health and children's contracts	12
Crisis and emergency/settlement support	12
Contractors & Sub-Contractors involved in the provision of community transport hold necessary clearances, licences, qualifications and insurance.	12
Staff involved in adult referrals and assessments appropriately qualified and have appropriate clearances.	12
Professionals employed to undertake DOLS assessments are procured and employed via correct processes.	12
Safeguarding training in schools is up to date and a safeguarding lead is in place.	12
Suitability of emergency unsupported placements.	12
Up to date and accessible procedures available to support the management of children's case files.	12
Effective recruitment and retention of foster carers, including ongoing campaigns promoting the role.	12
Advice, access to support and refuge accommodation for victims of domestic abuse.	12
Prioritised support and provision to tackle fuel poverty and deliver the Affordable Warmth Strategy.	12
Strategic plans and framework are in place to tackle poverty.	12
Appropriate and timely response to a homelessness Duty to Refer request.	12
Appropriate and up to date emergency plans are in place to guide a coordinated response to a major incident.	12
Provide effective short-term support to individuals following a discharge from hospital or to prevent hospital admission.	12
Changes in circumstances for council tax support and housing benefit claimants are processed appropriately.	12
Records relating to Council Tax Support and Housing Benefits are accurate and up to date.	12
Monitoring is undertaken of care packages for continued suitability.	12
Payments made for discretionary housing payments are accurate.	12
Manage the contract with SDAIS for advice	24
Transport provision is in line with client eligibility criteria.	24
Specialist housing facilities meet demand, provide good quality accommodation and meet the needs of vulnerable residents.	24
Procedures ensure that staff are aware of the process for making a referral to children's social care.	24
The outcome of the disabled facility/helping hand grant application has been appropriately recorded.	24
Monitoring of disabled facility/helping hand grant work is appropriate.	24
The decisions to allow a personal budget is appropriate.	24

Financial assessments are reviewed and updated for changes in circumstances.	24
Payment of personal budgets is accurate and timely.	24
There is an effective appeals process for transport eligibility decisions.	24
Community transport information is up to date and accurate.	24
Discretionary housing payments are made in accordance with the scheme.	24

280	People live healthy lives	Failure to promote and protect health and wellbeing across the borough and to reduce inequalities.
Causes		Implications
<p>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.</p>		<p>Increased costs associated with health care. Premature death. Reduced quality of life. Ineffective response to an outbreak of infectious disease or environmental hazard.</p>
		Current Status
		<p>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.</p>

Results of Audit Testing for the period: September 2020 to November 2020 Controls Tested: 0

Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Planned Work December 2020 to February 2021

Very Low		Low		Medium		High		Very High		Monitoring
No	Time	No	Time	No	Time	No	Time	No	Time	
0	0	4	2.25	1	0.5	9	10.25	0	0	

Below is a full list of controls to be examined in the next period.

	Frequency
Planning and provision of school meals promotes healthy, nutritious eating in compliance with the School Food Standards.	6
Free school meals are provided to eligible pupils.	6
Non-financial targets as set out in the Better Care Fund plan are being met.	6
Formal signed agreements in place between LA/CCG in accordance with relevant guidance	6
The council has a strategy in place to deliver public health services to the community.	6
Effective commissioning of public health services and programmes. Will we need a separate one for actual procurement?	6
Public health research and local needs assessment.	6
Delivery of the Joint Health and Wellbeing Strategy.	6
Continued eligibility for a free school meal is monitored and appeals are handled appropriately.	6
Leisure provision requirements are understood and effectively sourced.	12
Records relating to environmental health cases are appropriately recorded and managed.	24
Effective performance management systems are in place to monitor levels of take up of leisure and culture activities with remedial action taken as needed	24
Provide a broad selection of accessible leisure and outdoor activities, representing value for money to the public.	24
Information held about pupils in receipt of a free school meal is accurate and update and managed appropriately.	24

281	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.	
Causes		Implications	Current Status
Reduced detection. Ineffective partnership working. Terrorism		Increased crime and fear of crime. Antisocial behavior. Physical harm.	Safer Stockton Partnership works together to improve community safety across the borough. Crime levels continue to increase.

Results of Audit Testing for the period:	September 2020	to	November 2020	Controls Tested:	1
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Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	0	0	0	0	0	0	1	0	0	0	0	0	0	0

Planned Work	December 2020	to	February 2021
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Very Low		Low		Medium		High		Very High	
No	Time	No	Time	No	Time	No	Time	No	Time
1	1	6	3.25	7	5.5	2	3.5	0	0

Monitoring
0.1

Below is a full list of controls to be examined in the next period.

	Frequency
Management and oversight of youth offending cases improve outcomes for young people involved in criminal justice system or at risk of becoming involved	6
Monitor re-offending rates and target resources towards young people at risk of re-offending.	6
Arrangements are in place for inspection and maintenance of security and surveillance equipment.	12
Community engagement and communication to highlight and reduce environmental crime.	12
Street Lighting inspections and associated electrical testing are undertaken in accordance with an appropriate specified programme.	12
Delivery of Safer Stockton Partnership objectives and key priorities.	12
A programme of trading standards inspections and sample tests has been identified using a risk assessment process.	12
Trading standards investigations are recorded accurately either as a result of a programmed inspection or in response to a complaint and the results communicated	12
The programme of trading standards inspections and sample testing is being monitored for completion.	12
The Travellers Site is secure and maintained effectively	24
Monitor trends in crime and anti-social behaviour and respond to emerging issues.	24
Response to requests for the removal of needles and syringes within two hours.	24
Security and crime prevention measures are in place in relation to parks and green spaces.	24
Charges for security and surveillance have been set appropriately.	24
Appeals against civic enforcement actions are managed appropriately.	24
Prompt and effective response to reports of stray or abandoned animals.	48

284	Great places to live and visit	Failure to provide attractive areas with housing needs being met and supported by an effective infrastructure.
Causes		Implications
Sufficient housing Accessible and affordable housing Vibrant town centres Thriving visitor attractions Year round programme of events		Unable to attract visitors and the subsequent investment
		Current Status
		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.

Results of Audit Testing for the period: September 2020 to November 2020 Controls Tested: 2

Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	0	1	0	0	0	0	0	0	0	0	0	0	0	0

Planned Work December 2020 to February 2021

Very Low		Low		Medium		High		Very High		Monitoring 0.2
No	Time	No	Time	No	Time	No	Time	No	Time	
2	1	11	5	19	16.25	2	2	0	0	

Below is a full list of controls to be examined in the next period.

	Frequency
Bridge Inspections are undertaken in accordance with an appropriate specified programme.	6
Breaches of planning control are investigated and enforcement action initiated as necessary.	6
Civic enforcement decisions are consistent, fair, proportionate and necessary; in line with legislation.	12
Road closures are undertaken following appropriate consultation and required notification are undertaken within appropriate timescales.	12
The highways network resilience to extreme events such as weather has been fully established and plans are in place to manage this.	12
HMO properties are licensed.	12
Targeted Action Plans in place for Central Stockton and North Thornaby are appropriately controlled.	12
The authority has an adequate, appropriate and up-to-date Local Plan in place.	12
Appropriate controls are in place to identify, record and investigate significant flooding incidents.	12

The authority has an adequate, appropriate and up to date Highway Infrastructure Asset Management Strategy (HIAMS) in place.	12
Utility works are licensed, inspected and, where applicable, appropriate charges are issued and collected for overruns/fines.	12
Building control decisions are appropriately authorised and made in line with Building Regulations.	12
Residential delegated planning applications are considered and determined in line with the local development plan, national planning framework, give	12
Section 106 agreements utilised effectively and obligations are complied with.	12
Landlord Accreditation Scheme membership is subject to an effective review and renewal process.	12
Monitor delivery of Local Strategic Partnership objectives and key priorities.	12
Commitment to road safety and reducing road casualties.	12
Licence applications are subject to appropriate review and approval, evidence of background and eligibility.	12
Monitoring is undertaken to ensure compliance with planning decisions and appeals are handled appropriately.	12
Inspections of building work are undertaken to ensure compliance.	12
Building control decisions are accurately recorded.	12
Public Rights of Way Improvement Plan is in place and progress is being monitored.	24
The authority has undertaken appropriate consultation and produced an adequate, appropriate and up to date Local Transport Plan.	24
The authority has an adequate, appropriate and up to date Empty Homes Strategy in place.	24
Waste and recycling targets are achieved.	24
Registration of births, deaths, marriages and civil partnerships is in line with statutory timescales.	24
Provision and upkeep of outdoor public seating and street furniture.	24
Records relating to housing and housing related developments are accurate, up to date and appropriately safeguarded.	24
Allocation of Markets pitches is monitored and feedback sought.	24
Details about market traders are accurate and up to date.	24
Systems are in place to report/identify potential planning breaches.	24
There is an appropriate system in place to manage building control appeals.	24
Permits/Waivers and Blue Badges are monitored for continued eligibility and an appeal process is in place.	48
Information relating to car parking permits/waivers and Blue Badges is appropriately stored and kept up-to-date.	48

285	Clean and green spaces	Failure to provide a clean, green and attractive environment throughout the borough.
Causes		Implications
Lack of financial resources. Vandalism and anti social behavior threaten viability of attractions and satisfaction of visitors.		Reputational impact. Reduced leisure opportunities. Environmental impact.
		Current Status
		The borough has a number of large flagship parks as well as smaller neighbourhood green spaces and urban grey spaces, such as town and neighbourhood centres. Despite reduced investment due to limited funding, the Council continues to maintain the required standard for our green spaces. A new team has been established and a strategy being developed.

Results of Audit Testing for the period: September 2020 to November 2020 Controls Tested: 3

Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	0	3	0	0	0	0	0	0	0	0	0	0	0	0

Planned Work December 2020 to February 2021

Very Low		Low		Medium		High		Very High		Monitoring 0.4
No	Time	No	Time	No	Time	No	Time	No	Time	
1	0.5	3	1	0	0	0	0	0	0	

Below is a full list of controls to be examined in the next period.

Frequency

Maintain a schedule of cremator inspection and maintenance.	24
Parks and green spaces are identified, mapped and promoted.	24
Provision of green spaces is a consideration for new housing developments, regeneration schemes etc.	24
Prompt removal of graffiti from public land and street furniture.	48

286	Rich cultural experiences	People may not be provided with opportunities to experience and participate in cultural activities.
Causes		Implications
Lack of facilities. Poor range of provision. Poor promotion of events and services. Lack of affordability.		Negative impact on health and wellbeing Negative impact on social cohesion and mental wellbeing Failure to attract visitors to the area.
		Current Status
		The Council successfully delivers a diverse programme of festivals and events. A broad range of leisure and visitor attractions provide great experiences and drive economic activity in the borough.

Results of Audit Testing for the period: September 2020 to November 2020 Controls Tested: 0

Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High	Very Low	Low	Medium	High	Very High
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Planned Work December 2020 to February 2021

Very Low		Low		Medium		High		Very High		Monitoring 0
No	Time	No	Time	No	Time	No	Time	No	Time	
0	0	4	2	4	3.5	0	0	0	0	

Below is a full list of controls to be examined in the next period.

	Frequency
Arts Council funding is used appropriately and conditions complied with.	12
Venues for events are appropriate.	12
Library stock is adequately recorded, managed and its condition is 'fit for purpose'.	12
Arts and museum assets are adequately safeguarded and insured.	12
Successful delivery of a varied arts and events programme.	24
Payments to events performers and suppliers and performance are effectively managed	24
Library income is securely held and effectively managed.	24
Safeguarding of assets and equipment used in the delivery of arts and events.	24

Quality, Assurance & Improvement Process

Period	September 2020	to	November 2020
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Stewardship (Coverage)			Stakeholders		
Measure	Target	Performance	Measure	Target	Performance
Adequate Resources	15	51.2	Reports Issued	Qtrly	09/10/2020
Portfolio Coverage	79	31	Fraud Strategy Review	31/03/2021	
Presentation of Annual Report (Annual)	June		Client Satisfaction	TBC	
Presentation of Activity Report	Qtrly		Submission of NFI Information	31/10/2020	31/10/2020
			Recommendation Implementation	TBC	

Process			People		
Measure	Target	Performance	Measure	Target	Performance
Self assessment against standards (Annual)	March	15/03/2020	Productivity	75%	81.3%
External Assessment (Every 5 Years)	31/03/2023	05/06/2018	Training (Per Financial Year)	20	0.5
Staff Meetings Held	5	8	Code of Conduct (Annual)	100%	100%
Up to Date Audit Manual	31/03/2021		Appraisals (Annual)	100%	50%