

## Overall Summary

Risk	Current	Tolerance	Current Status	Audit Assurance
Financially sustainable and value for money	16	16	The Council has a strong track-record in managing its finance however there remains significant uncertainty in funding beyond 2021. Significant pressures are faced in Adults & Childrens' Services and the long term impact of COVID is uncertain. We continue to plan based on the most accurate and up to date information available with regular updates to members.	91%
Strong leadership and governance	8	8	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 becoming a councillor.	88%
Dedicated and resourceful employees	12	8	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.	95%
Education and skills development	16	12	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. Working with the combined authority on the skills agenda for the Tees Valley. Agreed to develop an employment and skills hub	83%

A growing economy	12	8	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.	100%
Job creation and increased employment	16	12	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.	100%
People are supported and protected from harm	15	10	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. 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. Recruitment and retention of experienced social workers continues to be a challenge.	89%
People live healthy lives	16	12	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. The current pandemic is obviously having a significant impact with long-term issues currently unknown and the risk increased in response.	84%
Cohesive and safe communities	3	3	Safer Stockton Partnership works together to improve community safety across the borough. Crime levels are now showing signs of reducing since the latter part of 2019 but remain higher than 2017 levels and have not decreased as sharply as similar areas during the pandemic.	91%

Great places to live and visit	6	6	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.	86%
Clean and green spaces	4	4	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.	91%
Rich cultural experiences	3	3	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.	100%

## Audit Testing Results

Results of Audit Testing for the period: September 2021 to October 2021

Overall Position

	Red	Amber	Green	Controls Tested:
Financially sustainable and value for money	0	1	6	7
Strong leadership and governance	1	2	22	25
Dedicated and resourceful employees	0	0	1	1
Education and skills development	0	2	2	4
A growing economy	0	0	1	1
Job creation and increased employment	0	0	0	0
People are supported and protected from harm	0	2	13	15
People live healthy lives	0	0	2	2
Cohesive and safe communities	1	0	1	2
Great places to live and visit	0	1	2	3
Clean and green spaces	0	0	0	0
Rich cultural experiences	0	0	0	0

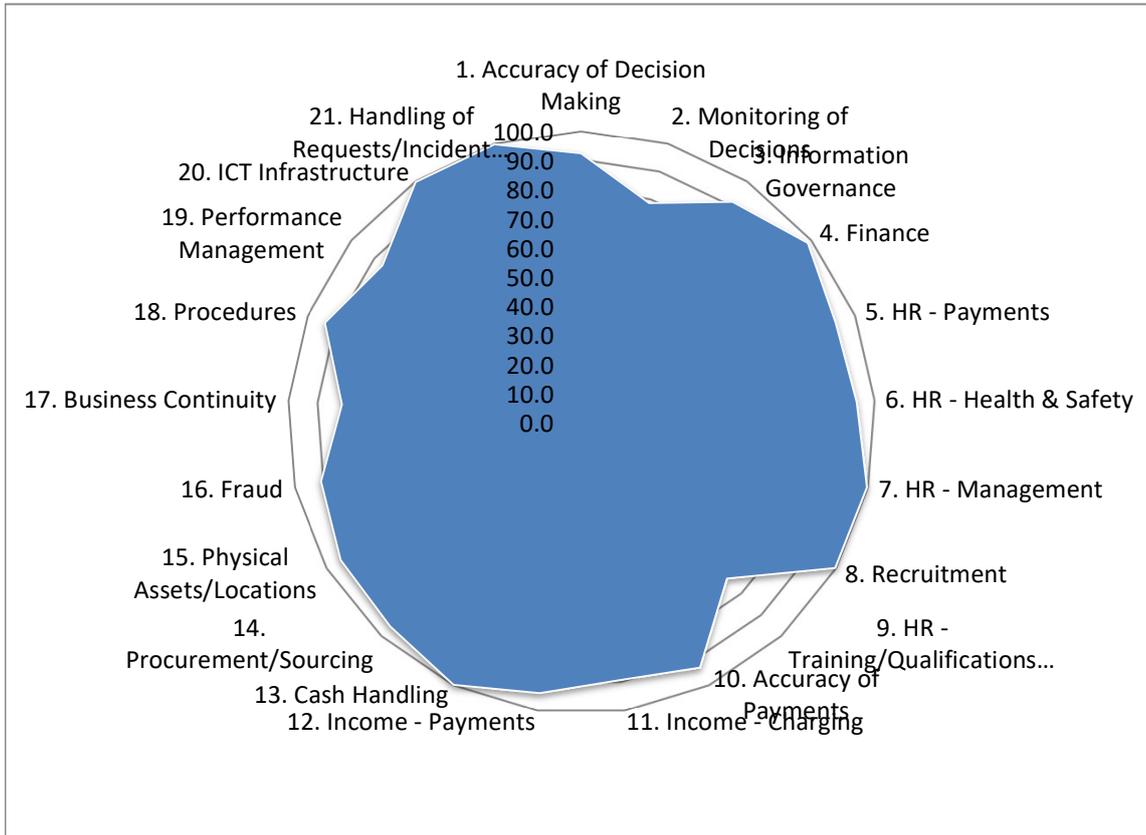
Red	Amber	Green
1	5	65
5	10	84
0	4	20
0	6	16
0	0	2
0	0	2
0	12	57
1	0	9
1	2	8
1	5	27
0	2	3
0	0	3

Commentary (Results in Period):

Community engagement and communication to highlight and reduce environmental crime.  
 Achievement of completion rate targets for mandatory on-line information governance training.

## Overall Results by Theme

Below is a summary of audit results by Governance Theme:



Commentary:

HR - Minor issue noted regarding data migration and DBS checks information, this is being rectified and any outstanding checks undertaken. This only affects renewals.

## Planning Summary

Planned Work	November 2021	to	January 2022
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Risk	Very Low	Low	Medium	High	Very High	Total Time Required
Financially sustainable and value for money	1	13	8	8	5	46.95
Strong leadership and governance	1	11	13	7	6	41.65
Dedicated and resourceful employees	0	7	2	1	0	7.35
Education and skills development	0	4	4	7	1	11.3
A growing economy	0	3	1	1	0	2.95
Job creation and increased employment	0	2	0	1	0	2.6
People are supported and protected from harm	0	6	18	21	11	63.9
People live healthy lives	0	3	0	5	0	10.25
Cohesive and safe communities	0	8	1	2	0	10.3
Great places to live and visit	0	3	11	1	0	15.55
Clean and green spaces	2	1	1	0	0	1.6
Rich cultural experiences	0	1	2	0	0	2.2

Quality, Assurance & Improvement Process

Period Covered	September 2021	to	October 2021
Planned Period	November 2021	to	January 2022

Stewardship (Coverage)		
Measure	Target	Performance
Adequate Resources (Planned Period)	15	14.45
Portfolio Coverage (Period)	56	60
Presentation of Annual Report (Annual)	June	*
Presentation of Activity Report	Qtrly	*

Stakeholders		
Measure	Target	Performance
Reports Issued	Qtrly	*
Fraud Strategy Review	31/03/2021	*
Client Satisfaction	TBC	*
Recommendation Implementation	TBC	*

Process		
Measure	Target	Performance
Self assessment against standards (Annual)	March	*
External Assessment (Every 5 Years)	31/03/2023	*
Staff Meetings Held (Period)	4	6
Up to Date Audit Manual	31/03/2021	*

People		
Measure	Target	Performance
Productivity (Period)	75%	79.3%
Training (Per Financial Year)	20	*
Code of Conduct (Annual)	100%	*
Appraisals (Annual)	100%	*

\* - Results to be reported in the annual report