

Strategic Assurance Map – July 2017

Risk Ref	Risk Title & Description	Current Score	Types of Assurance			Gaps in Assurance / Risk Exposure
			External/ Independent (Third Line of Defence)	Risk and Compliance (Second Line of Defence)	Operational and Management (First Line of Defence)	
4	<p>Children's Social Care</p> <p>If the council does not continue to build on the progress it has made in the delivery of children's social care and to address the areas of poor or inconsistent performance, as outlined by Ofsted and the children's services commissioner, with rigour and pace, then the council will fail in its responsibilities to:</p> <ul style="list-style-type: none"> Safeguard vulnerable children Promote and improve the outcomes of children in its care Manage any adverse financial consequences arising from the failure to create favourable outcomes for children within the resources available to it Improve the continued adverse affect on the council's reputation. 	12 red	<p>Statutory Direction- 6 October 2016</p> <p>Ofsted monitoring visits and letters (July 2016, September 2016, April 2017)</p> <p>Quarterly update reports from the Children's Commissioner to the Secretary of State</p> <p>LGA Peer Review Sandwell Children's Local Safeguarding Board June 2016</p> <p>Review of front door thresholds by INGSON 2016/17</p>	<p>Improvement reports to the Commissioner's Monitoring Board</p> <p>Independent Reviewing Officer function</p> <p>Rolling programme of audits of case files as part of the quality assurance framework</p> <p>National and Sandwell performance indicators and local measures in relation to social care</p> <p>Sandwell Local Safeguarding Children's Board Annual Report</p>	<p>Director's Assurance Statement</p> <p>Lean review of front door</p> <p>Demand and resource analysis</p>	<p>The main source of assurance for this risk continues to be the Children's Commissioner and Ofsted.</p> <p>Continual assurances from these sources will be required to ensure improvement measures are effective and sustained.</p>
4b	<p>Children's Trust</p> <p>If the council does not put appropriate and effective arrangements in place to set up the Children's Trust (to include agreement of the budget, staff and services to be transferred, accommodation, etc.) then it will delay the establishment of the Trust in line with the Statutory Direction and impede the improvements required in the delivery of children's social care in Sandwell.</p>	8 amber	<p>Memorandum of Understanding agreed between council and the Secretary of State</p> <p>Quarterly update reports from the Children's Commissioner to Secretary of State</p> <p>Due diligence work undertaken by Mutual Ventures</p>	<p>Reports to the Trust Project Board and Trust Implementation Board</p> <p>Project risk register</p> <p>Project Plan</p>	<p>Updates from work stream leads to Project Team</p> <p>Director's Assurance Statement</p>	<p>The main source of assurance for this risk is the ongoing communication with the Children's Commissioner.</p> <p>The project plan sets out the key milestones that need to be achieved in order to comply with the Statutory Direction and this is monitored by the project team and project director.</p>
6a	<p>Emergency Preparedness</p> <p>Failure of the Authority to prevent or mitigate emergencies including any resulting from failures in its supply chain, warn & inform the public, co-ordinate with partners, continue to perform its critical functions during an emergency and to recover from disruptive challenge through the development of effective and timely business continuity management arrangements.</p> <p>IMPACTS:</p> <ul style="list-style-type: none"> Actual or anticipated failure to adequately protect the vulnerable; Failure to support the emergency services Failure to continue to perform critical business activities. Loss of credibility and reputation damage to the Authority. Failure to fulfil CCA responsibilities Major financial loss to the council. 	6 green	<p>Internal audit review - Business Continuity 2015/16 (limited assurance)</p> <p>Local Resilience Forum</p> <p>School audits (confirming schools' emergency plans in place).</p> <p>Cabinet Office National Capability Survey</p> <p>Counter Terrorism Training event</p>	<p>Community risk register</p>	<p>Post incident reports (including: Power Outage report January 2015, flooding incidences 2016, alcohols limited fire 2013, Tipton bomb, school bomb threats, suspicious package 2014)</p> <p>Local incidences and emergencies such as flooding, highways, school closures, illegal encampments, etc. provide assurances over the effectiveness of resilience arrangements</p> <p>Directors' Assurance Statements</p> <p>Emergency plans including rest centre, town centre evacuation, flood, media crisis, school emergency, temporary mortuary)</p> <p>Exercises and post exercise reports</p> <p>Training events (including: duty director briefings, multi agency</p>	<p>Assurance on the adequacy of the business continuity arrangements in place is at present only obtained via local incidences such as the recent power outage and the Directors Assurance Statements. Detailed business continuity plans for critical services continue to be refined and testing will provide additional assurance in this respect.</p> <p>Further assurances are required on the effectiveness of the council's arrangements for unplanned emergency incidences for non major events</p>

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					response	
21a	<p>Compliance with General Data Protection Regulations (GDPR) and Freedom of Information Act (FOIA)</p> <p>If the council does not ensure it has a robust framework in place to comply with GDPR and FOIA then it faces significant external action from the Information Commissioner's Office for failing to undertake its statutory duty. Further, failing to comply will result in negative public reaction and reputational damage, monetary penalties, loss of confidential data and potentially legislative action against the Chief Executive.</p>	8 amber	<p>Ongoing communications with the ICO re data breaches</p> <p>Audit Committee risk review March 2015</p> <p>Internal audit review - Information Governance, Housing July 2015 (satisfactory assurance)</p> <p>Internal audit review – Corporate Information governance 2015/16 (limited assurance)</p> <p>Internal audit review - Information Governance, Neighbourhood Services August 2014 (limited assurance)</p> <p>Internal audit review – Security controls over financial systems 2014/15 (limited assurance)</p> <p>Internal audit review – Personnel Records Management September 2014</p>	<p>Senior Information Risk Officer Annual Report</p> <p>Performance reports on Freedom of Information requests</p> <p>Performance reports on training completed by officers</p> <p>GDPR project plan and updates to Governance Board</p>	<p>Directors' Assurance Statements</p> <p>Information incident log</p>	<p>Further assurances will be required by the Governance Board that the GDPR project plan is effectively delivered and that the new system for FOIs is embedded and complied with.</p>
22a	<p>CONTEST</p> <p>If the council does not work with partners to put in place suitable arrangements with the aim of preventing terrorism and radicalisation in Sandwell then it will be unable to effectively discharge its statutory duties.</p>	8 amber	<p>Feedback from West Midlands Counter Terrorism Unit</p> <p>Counter Terrorism Local Profile</p>	<p>Reports to the Contest Board</p> <p>Reports to Channel Panel</p>	<p>Directors' Assurance Statements</p>	<p>Further assurances from the CONTEST Board and key partners, will be required to ensure that the new responsibilities placed on local authorities in relation to the CONTEST strategy are being implemented.</p>
27	<p>Funding and Resource Allocation</p> <p>Failure to put in place appropriate processes and actions necessary to accommodate the significant reductions in public expenditure (both specific and general funding) over the medium term may result in potential budgetary shortfalls, inappropriate or ineffective efficiencies, deterioration in priority services and incorrect alignment of scarce resources and the priorities set within the Sandwell scorecard.</p>	9 amber	<p>KPMG report: Interim report to those charged with governance (ISA 260) August 2017</p> <p>Internal audit review - Budgetary Control 2016/17 (substantial assurance)</p> <p>West Midlands Pension Fund 2017 actuarial valuation</p>	<p>Report to Council- Budget 2017/18 – 2019/20 March 2017</p> <p>Reports to Budget and Corporate Scrutiny Board</p> <p>Budget and business plans 2017/18 – 2019/20 to Cabinet- February 2017</p> <p>Annual Statement of Accounts 2016/17</p> <p>Joint Cabinet Summits</p>	<p>Monthly management accounts</p> <p>Directors' Assurance Statements</p>	<p>The current sources of assurance should continue to provide the necessary assurances on the management of this risk.</p>
38	<p>Health and Social Care Reforms and the Transforming Adult Social Care (TASC) Programme</p> <p>If appropriate arrangements are not made to effectively manage the impact of the health and social care reforms including the Care and Support Act and the change in delivery from acute / primary care to social care led intervention, then the outcomes for adult social care users will be adversely affected.</p>	8 amber	<p>Internal audit review- Sandwell Safeguarding Adult's Board (Substantial assurance)</p> <p>Internal audit review – Personal budgets and direct payments 2014/15 (Limited assurance)</p> <p>Internal audit review- Health and social care reforms 2016/17</p>	<p>Better Care Plan risk register</p> <p>Reports to Health and Social Care Programme Board</p> <p>Reports to Health and Well Being Board</p> <p>Reports to the TASC Board</p> <p>Sustainability and Transformation Plan</p> <p>Reports to Cabinet 2017</p>	<p>Director's Assurance Statement</p>	<p>In terms of the Better Care Fund, assurance on the management of the programme is provided by the Health and Well Being Board, and the measure of key outcome based performance indicators.</p> <p>The reports to the TASC Bard also provide assurances in the management of this risk.</p>

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40	<p>School Place Planning</p> <p>If the council is unable to identify deliverable solutions to schools place planning then it will fail to discharge its statutory duties to provide sufficient school places.</p>	8 amber	Complaints and appeals data Local Government Ombudsman Annual Report	Place planning data Reports to the Schools Organisation Programme Board Reports to Children's Services and Education Scrutiny Board December 2016	Directors' Assurance Statements	The current sources of assurance should provide the necessary assurances on the management of this future risk.
42	<p>Cyber Security</p> <p>If the council does not have a co-ordinated approach and understanding of its existing cyber security controls or those available to it, together with an analysis of identifiable gaps, then this could expose the council to cyber-attack resulting in:</p> <ul style="list-style-type: none"> The inability of the council to deliver services and in particular critical services for a significant period of time The loss of personal and other corporate data Enforcement action Significant financial loss and Reputational loss 	12 red	2016/17 Certifications of PSN, PCI, etc. Annual independent ICT health check	Regular updates to the Senior Information Risk Officer Self- assessment against cyber principles Monitoring of threats logged by existing technical controls	Directors' Assurance Statements	The self- assessment once completed will identify any gaps in the sources of assurance.
44	<p>Land Sales and Other Matters</p> <p>If the council does not put in place a plan and implement timely actions to address the findings of the independent investigation into Land Sales and other matters, then this may result in reputational damage to the council.</p>	6 green	Gowling WLG report Approved Judgement 29 June 2017 Reports to the Audit Committee June, August, September and December 2016, January 2017, March 2017 and August 2017. Internal audit and counter fraud investigation work. Compliance with Land and Building Sales Protocol	Regular updates to the Leader Standards Committee consideration of reports Reports to Land and Asset Management Committee	Directors' Assurance Statements	Ongoing work by Internal audit, HR and the Standards Committee and updates to the Audit Committee continue to provide the necessary assurances in this respect.
45	<p>Apprenticeship Levy</p> <p>If the council (including schools) does not put in place effective arrangements to use the resources it will have available from the introduction of the apprenticeship levy, then it will be unable to maximise benefits and its use of resources and will miss out on the opportunities available through the fund</p>	9 amber	Registration on digital apprenticeship portal	Report to Cabinet February 2017 Report to Cabinet August 2017- Dynamic Purchasing System Apprenticeship Levy project plan	Directors' Assurance Statements	The performance against the target number of apprenticeships that need to be in place each year will provide the necessary assurances on the management of this risk.