

## Strategic Assurance Map – October 2018

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><b>Children's Social Care</b></p> <p>If the council does not put in place robust arrangements and receive appropriate assurances to ensure that the Sandwell Children's Trust addresses the areas of poor or inconsistent performance, as outlined by Ofsted, with rigour and pace, then the council will fail in its responsibilities to:</p> <ul style="list-style-type: none"> <li>Safeguard vulnerable children</li> <li>Promote and improve the outcomes of children in its care</li> <li>Manage any adverse financial consequences arising from the failure to create favourable outcomes for children within the resources available to it</li> <li>Improve the continued adverse affect on the council's reputation.</li> </ul>	12 Red	<p>Ofsted inspection and report January 2018</p> <p>Statutory Direction- 6 October 2016</p> <p>Ofsted quarterly monitoring visits and letters</p> <p>Final update report from the Children's Commissioner to the Secretary of State- July 2018</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><a href="#">Internal audit review 2018/19 - A review of the commissioning, procurement and monitoring of social care contracts</a></p>	<p>Improvement reports to the Improvement Board</p> <p>Performance Management framework between SMBC and the Trust</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>Reports to the Strategic Partnership Board</p> <p>Reports to the Operational Partnership 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>The main source of assurance for this risk currently continues to be the Ofsted monitoring visits and the Improvement Board alongside the Strategic Partnership Board. To date, despite areas of weakness still being identified, the overall direction of travel appears positive.</p> <p>The council has established a client function and has agreed a performance management framework to provide the necessary assurances on the Trust's ability to deliver the required improvements.</p> <p>Continual assurances from these sources will be required to ensure improvement measures are effective and sustained.</p>
4c	<p><b>Demand for Children's Social Care</b></p> <p>If the rate of demand and pressures on children's social care (experienced nationally and locally) continue to increase at the same or at a higher rate than that experienced during 2017/18, then without a national funding solution and improved children's social care services, this will have a detrimental impact on the financial resilience of Sandwell children's Trust.</p>	16 Red	<p>Ofsted inspection and report January 2018</p> <p>Ofsted quarterly monitoring visits and letters</p>	<p>Client function- Performance Management framework and monitoring of service delivery contract between SMBC and the Trust</p>	<p>Director's Assurance Statement</p> <p>Reports to the Strategic Partnership Board</p> <p>Reports to the Operational Partnership Board</p>	<p>The main source of assurance will be from the client function that has been established as part of the contractual arrangements between the council and the Trust. The performance management framework and the councils own monitoring arrangements of the service delivery contract with the Trust are the key elements of this arrangement.</p>
6a	<p><b>Emergency Planning</b></p> <p>If the council does not put in place effective arrangements to plan and mitigate against national, regional or local emergencies as defined by Part 1 of the Civil Contingencies Act 2004 (CCA) then this will result in:</p> <ul style="list-style-type: none"> <li>Actual or anticipated failure to adequately protect vulnerable persons</li> <li>Failure to support the emergency services</li> <li>Loss of public confidence in the council</li> <li>Failure to fulfil Civil Contingencies Act responsibilities</li> </ul>	8 Amber	<p>Local Resilience Forum</p> <p>Cabinet Office National Capability Survey</p> <p>Counter Terrorism Training event</p>	<p>Community risk register</p>	<p>Post incident reports</p> <p>Local incidences and emergencies such as flooding, highways, illegal encampments, etc.</p> <p>Directors' Assurance Statements</p> <p>Exercises and post exercise reports</p> <p>Training events (including multi agency response)</p>	<p>Assurances on the adequacy and effectiveness of the council's emergency planning procedures are obtained through debriefs from incidences, from the Resilience Manager and updates to the community risk register.</p>
6b	<p><b>Business Continuity Management (BCM)</b></p> <p>If the council does not develop, review, monitor and test plans and capabilities (including the resilience of its supply chains and the power supply arrangements for the data centre at the council house) that seek to maintain the continuity of key</p>	9 Amber	<p>Internal audit review - Business Continuity 2015/16 (<b>limited assurance</b>)</p> <p>School audits (confirming schools' emergency plans in</p>	<p>Test exercises:</p> <p>Neighbourhoods – October 2018</p> <p>Education- October 2018</p> <p><a href="#">Adult Services – December 2018</a></p>	<p>Post incident reports</p> <p>Training events (including: duty director briefings)</p>	<p>Assurance on the adequacy of the business continuity arrangements in place is at present only obtained via local incidences.</p> <p>Detailed business continuity plans for critical services continue to be refined and ongoing testing will provide the key assurances in this</p>

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)	
	functions in the event of an unplanned disruptive incident, then it will be unable to perform critical business functions which will impact the provision of council services and result in potential financial loss and loss of public confidence in the council.		place). <a href="#">Internal audit review 2018/19- Business Continuity</a>	<a href="#">Resources – Early 2019</a>		respect.
21a	<b>Compliance with the Data Protection Act 2018 (DPA 2018) and the General Data Protection Regulations (GDPR)</b> If the council does not ensure it has a robust framework in place to comply with the DPA 2018 and GDPR 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, significant monetary penalties, loss of confidential data and potentially legislative action against the Chief Executive.	8 Amber	Audit Committee risk review October 2017 Internal audit review – Corporate Information governance 2015/16 ( <b>limited assurance</b> )  Information Commissioner's Office <a href="#">Internal audit review 2018/19 - Information Governance – Assurance over key controls, including those over Data Protection, Freedom of Information and compliance with security legislation</a>	Information Governance Board updates to the Corporate Governance Board  Senior Information Risk Officer Annual Report  Project risk register	Directors' Assurance Statements  Information incident log	Ongoing updates to the Corporate Governance Board in respect of the progress against the GDPR project plan provides the main source of assurance for this risk.
22a	<b>CONTEST</b> Whilst the national threat level remains 'severe' there is no known significant specific or particular threat for Sandwell. 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	8 Amber	Feedback from West Midlands Counter Terrorism Unit  Counter Terrorism Local Profile	Reports to the Contest Board  Reports to Channel Panel	Directors' Assurance Statements	The current sources of assurance should continue to provide the necessary assurances on the management of this risk
27	<b>Funding and Resource Allocation</b> Local Government continues to operate in an uncertain financial environment arising from reducing central government funding, increasing demand for services and planned changes to the local government funding formula to be implemented in 2020. Failure to put in place the necessary processes and actions to manage these uncertainties may impact on our ability to deliver services to the people of Sandwell and our statutory responsibility to set a balanced budget.	9 Amber	KPMG report: Interim report to those charged with governance (ISA 260) July 2018  Corporate Peer Review- January 2018  Internal audit review - Budgetary Control 2017/18 ( <b>substantial assurance</b> )  West Midlands Pension Fund 2017 actuarial valuation	Report to Council- Budget 2018/19 – 2019/20 March 2018  Reports to Budget and Corporate Scrutiny Board  Budget and business plans 2018/19 – 2020/21  Annual Statement of Accounts 2017/18  Joint Cabinet Summits	Monthly management accounts  Directors' Assurance Statements	The current sources of assurance should continue to provide the necessary assurances on the management of this risk.
38a	<b>Health and Social Care Reforms</b> If appropriate arrangements are not made to effectively manage the implications and the impact of the health and social care reforms including the Social Care Green Paper 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.	8 Amber	Internal audit review- Sandwell Safeguarding Adult's Board ( <b>Substantial assurance</b> )  <a href="#">Internal audit review- Health and social care reforms 2018/19</a>	Better Care Plan risk register  Reports to Health and Social Care Programme Board  Reports to Health and Well Being Board  Reports to the Transforming Adult Social Care Board  Sustainability and Transformation Plan	Director's Assurance Statement	The current sources of assurance should continue to provide the necessary assurances on the management of this risk.

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)	
				Reports to Cabinet		
40	<b>School Place Planning</b> If the Department for Education is unable to provide sufficient funding and if the council is unable to identify suitable solutions to schools place planning and deliver these solutions on time and to scope then it will fail to discharge its statutory duties to provide sufficient school places.	12 Red	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	Directors' Assurance Statements	The current sources of assurance should provide the necessary assurances on the management of this risk.
42	<b>Cyber Security</b> 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: <ul style="list-style-type: none"> <li>The inability of the council to deliver services and in particular critical services for a significant period of time</li> <li>The loss of personal and other corporate data</li> <li>Enforcement action</li> <li>Significant financial loss and</li> <li>Reputational loss</li> </ul>	8 Amber	2017/18 Certifications of PSN, PCI, etc. Annual independent ICT health check LGA Cyber exercise August 2018 Internal Audit review 2018/19 - ICT - Assurance over the risk management process within ICT including the management of 'Cyber Security' risk.	Regular updates to the Senior Information Risk Officer Monitoring of threats logged by existing technical controls Self- assessment against cyber principles	Directors' Assurance Statements	The self- assessment and participation in the completion and sharing of the results from the LGA cyber survey in August 2018 will identify any gaps in the sources of assurance.
44	<b>Land Sales and Other Matters</b> If the council does not put in place a robust system of assurance around the new and/ or updated policies and procedures that have been put in place to address the findings from the land sales, legacy land matters and other matters investigated, then it will be unable to ensure compliance with these new arrangements and evidence robust and effective corporate governance arrangements are in place across the council.	6 Green	Reports to the Audit and Risk Assurance Committee. Ethical Standards Annual Report – April 2018 Report to Ethical Standards and Member Development Committee – September 2018. Internal audit review 2018/19 - Compliance with Land and Building Sales Protocol Internal audit review 2018/19 – Voluntary Sector Leases Internal audit review 2018/19 – Grants- follow up review	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	<b>Apprenticeship Levy</b> 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	9 Amber	Registration on digital apprenticeship portal	Reports to the Apprenticeship Board Report to EMT- May 2018 Performance data on apprenticeships	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.
47	<b>Maximising opportunities from the West Midlands Combined Authority</b> If the Council does not actively participate in the West Midlands Combined Authority (WMCA) then it	9 Amber	Corporate Peer Review- January 2018	Various reports to Cabinet for approval of projects	Directors' Assurance Statements	Once established, the internal WMCA working group will provide the key source of assurance for the management of this risk.

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)	
	will be unable to maximise the benefits and opportunities available to it.					
48	<b>Vision 2030</b> If the council does not put in place arrangements to monitor and assure itself of the delivery against its 2030 vision, then this will result in the Sandwell's ambitions and Vision 2030 not being met.	8 Amber	Corporate Peer Review- January 2018	Budget and business plans 2018/19 – 2020/21 Joint Cabinet Summits Performance management framework	Directors' Assurance Statements Budget monitoring reports	Once established, the performance management framework and governance arrangements to monitor and review performance will provide the key source of assurance for this risk.
49	<b>Delayed Transfer of Care (DTOC)</b> If we do not reduce DTOC to national level, then we risk government intervention leading to a reduction in grant and potential financial clawback and reputational impact.	12 Red	Better Care Fund Partnership Board	DTOC improvement project plan Performance indicators for DTOC	Directors' Assurance Statements Budget monitoring reports	This risk is a key deliverable and workstream of the Better Care Plan Programme. The risk is a national issue and assurances will be continue to be provided through the BCF partnership Board.
50	<b>Commonwealth Games Aquatic Centre</b> If the council does not put in place robust project arrangements for the successful delivery of the aquatic centre to project scope, timescales and cost, then this will result in significant reputational damage to the council.	12 Red	Commonwealth Games Project Board	Reports to Aquatic Centre Project Board Project risk register Scrutiny reviews	Directors' Assurance Statements	Given the scale of this project and the impact it has on Vision 2030 the project will require further sources of assurance to be considered and sought to ensure control measures are adequate and effective.
51	<b>Peer Review Recommendations</b> If the council does not accept, put arrangements in place and implement the recommendations made in the LGA Corporate Peer Review on a timely basis then this will not support the council's continuous improvement and have a significant negative reputational impact.	8 Amber	Update report to Cabinet Autumn 2018 Peer review Follow up 2019	Update/ progress reports to EMT	Directors' Assurance Statements	The report to Cabinet later in 2018 will provide the necessary assurances on the management of this risk.
52	<b>Better Care Fund (BCF) and Public Health Grant</b> If the government fails to confirm or extend grant funding for the Better Care Fund and for Public Health, then the council will be unable to discharge its key statutory functions in this respect.	12 Red	Green Paper on adult social Care- Autumn 2018	Discussions at Association of Directors of Adult Social Care Services	Directors' Assurance Statements	This is a risk that the council has no control over and therefore there are limited sources of assurance available to it.