

Strategic Assurance Map – December 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 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"> 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>Ofsted inspection and report January 2018</p> <p>Statutory Direction- 6 October 2016</p> <p>Ofsted quarterly monitoring visits and letters</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>Internal audit review 2018/19 - A review of the commissioning, procurement and monitoring of social care contracts</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>Recruitment and Retention of Social Workers report to Children's services and Education Scrutiny Board September 2017</p> <p>Fostering services in Sandwell report to Children's services and Education Scrutiny Board April 2017</p> <p>Children's Services directorate risk register</p>	<p>Director's Assurance Statement</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>The council will be establishing a client function and is agreeing 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>
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 and Burges Salmon</p> <p>Draft Service Delivery Contract</p>	<p>Reports to the shadow Trust Board, Trust Project Board and Trust Implementation Board</p> <p>Project risk register</p> <p>Project Plan</p> <p>Update reports to Children's Services and Education Scrutiny Board 2017</p>	<p>Highlight reports 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>National, Regional and Local Emergency Preparedness</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"> Actual or anticipated failure to adequately protect the vulnerable Failure to support the emergency services Failure to continue to perform critical business activities 	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>Internal audit review 2018/19-</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>Assurance on the adequacy of the business continuity arrangements in place is at present only obtained via local incidences such as power outage and the Directors Assurance Statements. Detailed business continuity plans for critical services continue to be refined and ongoing testing will provide the key assurances in this respect.</p>

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	<ul style="list-style-type: none"> Loss of credibility and reputational damage to the council Failure to fulfil Civil Contingencies Act responsibilities Major financial loss to the council. 		Business Continuity		Directors' Assurance Statements Emergency plans including rest centre, town centre evacuation, flood, media crisis, school emergency, temporary mortuary) Exercises and post exercise reports Training events (including: duty director briefings, multi agency response)	
21a	Compliance with General Data Protection Regulations (GDPR) If the council does not ensure it has a robust framework in place to comply with 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, monetary penalties, loss of confidential data and potentially legislative action against the Chief Executive.	12 Red	Audit Committee risk review October 2017 Internal audit review – Corporate Information governance 2015/16 (limited assurance) Ongoing communications with the ICO re data breaches Internal audit review 2018/19 - Information Governance – Assurance over key controls, including those over Data Protection, Freedom of Information and compliance with security legislation	Information Governance Board updates to the Corporate Governance Board Senior Information Risk Officer Annual Report Performance reports on training completed by officers Project risk register	Directors' Assurance Statements Information incident log	Ongoing updates to the Corporate Governance Board in respect of GDPR and progress against the project plan provides the main source of assurance for this risk.
22a	CONTEST 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	Funding and Resource Allocation Failure to put in place appropriate processes and actions necessary to accommodate the significant reductions in public expenditure may result in the council being unable to discharge its statutory responsibilities.	9 Amber	KPMG report: Interim report to those charged with governance (ISA 260) August 2017 Corporate Peer Review- January 2018 Internal audit review - Budgetary Control 2016/17 (substantial assurance) West Midlands Pension Fund 2017 actuarial valuation	Report to Council- Budget 2017/18 – 2019/20 March 2017 Reports to Budget and Corporate Scrutiny Board 2017 Budget and business plans 2018/19 – 2020/21 Annual Statement of Accounts 2016/17 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.
38	Health and Social Care Reforms and the Transforming Adult Social Care (TASC) Programme 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.	8 amber	Internal audit review- Sandwell Safeguarding Adult's Board (Substantial assurance) Internal audit review- Health and social care reforms 2018/19	Better Care Plan risk register Reports to Health and Social Care Programme Board Reports to Health and Well Being Board Reports to the TASC Board Sustainability and Transformation	Director's Assurance Statement	The current sources of assurance should continue to provide the necessary assurances on the management of this risk.

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				Plan Reports to Cabinet 2017		
40	School Place Planning 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.	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 risk.
42	Cyber Security 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"> 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 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 once completed will identify any gaps in the sources of assurance.
44	Land Sales and Other Matters 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.	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. Internal audit review 2017/18 - 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	Apprenticeship Levy 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 Apprenticeship Levy project plan Report to Cabinet August 2017- Dynamic Purchasing System 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	Maximising opportunities from the West Midlands Combined Authority If the Council does not put in place effective arrangements to utilise the opportunities available from being part of West Midlands Combined Authority (WMCA) then it will be unable to maximise the benefits and opportunities available to 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.

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48	<p>Vision 2030</p> <p>If the council does not put in place arrangements to monitor and assure itself of the delivery against its 2030 vision, and in particular, the further development, management and delivery of the Town Plans by engaging partners, then this will result in the Sandwell's ambitions and Vision 2030 not being met.</p>	8 amber	Corporate Peer Review- January 2018	Budget and business plans 2018/19 – 2020/21 Joint Cabinet Summits Performance management framework	Directors' Assurance Statements	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	<p>Delayed Transfer of Care (DTC)</p> <p>If we do not reduce DTC to national level, then we risk government intervention leading to a reduction in grant and potential financial clawback.</p>	12 Red	Better Care Fund Partnership Board	DTC improvement project plan Performance indicators for DTC	Directors' Assurance Statements	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	<p>Commonwealth Games Aquatic Centre</p> <p>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.</p>	12 red	Commonwealth Games Project Board	Cabinet report 31 January 2018 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.