

Strategic Assurance Map – February 2015

Risk Ref	Risk Title and Description	Current Score	Types of Assurance			Comments/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)	
1	<p>Looked After Children (LAC) If the number of LAC is not reduced this may result in an increase in costs, budget overspends and an increased demand on children's services.</p>	20 Red	<p>Performance indicator- number of LAC per 10,000 population</p> <p>Audit by Dartington Research Unit into LAC 2013</p> <p>Internal audit review 2015/16 - Placements and LAC</p>	<p>Update to Children's Trust Board- September 2014</p> <p>Care panel reviews of placement costs</p> <p>Report to Cabinet (Performance Management Panel) September 2014</p> <p>Scrutiny review of LAC February 2014</p> <p>Monthly programme reports to Corporate Programme Office</p>	<p>Reports to LAC Budget Monitoring Group (every two months)</p> <p>Controls Assurance Statement</p>	<p>Present sources and will continue to provide assurance regarding the changes in number of LAC and progress made against the Families r First programme. However, assurances regarding the cost of LAC need to be continually provided to ensure effective management of the budgetary pressures associated with this risk.</p>
2	<p>Skills for Work If the city residents do not have the appropriate skills that employers require then they will be unable to access the jobs and opportunities available resulting in high rates of unemployment and increased demand on council services.</p>	20 Red	<p>Wolverhampton Skills Commission Review – November 2014 to April 2015</p> <p>Internal audit review - Employment Opportunities 2013/14</p> <p>Black Country performance management framework</p> <p>Internal audit review – City of Wolverhampton College- Learners with learning difficulties post 16, December 2014</p>	<p>Enterprise and Business Scrutiny Panel review of "employability and skills in Wolverhampton" report to Cabinet 11 March 2015</p> <p>Enterprise and Business Scrutiny Panel review of "employability and skills" September 2014</p> <p>Performance indicator - % of residents with no qualification</p> <p>Performance indicator - number of work experience/ volunteering/ apprenticeships opportunities provided</p> <p>Monthly unemployment briefings</p>	<p>Reports to the Wolverhampton Skills and Employment Board</p> <p>Controls Assurance Statement</p>	<p>In addition to the performance indicators in place, the review currently being undertaken by the Wolverhampton Skills Commission will provide assurance over the effectiveness of the various measures and initiatives in place to manage this long term risk.</p>
3	<p>Information Governance If the council does not put in place appropriate policies, procedures and technologies to ensure:</p> <ul style="list-style-type: none"> that the handling and protection of its data is undertaken in a secure manner and consistent with the provision of the Data Protection Act 1998; compliance with the Freedom of Information Act and Environmental Information risk Act <p>then it may be subject to regulatory action, financial penalties, reputational damage and the loss of confidential information.</p>	12 Amber	<p>Internal audit review 2013/14 - Management of information sharing agreements Satisfactory assurance</p> <p>Internal audit review– Protective marking compliance, September 2014 (Limited assurance)</p> <p>Internal audit review 2014/15 – Information sharing agreements</p> <p>Internal audit advice and support</p> <p>Information Commissioner audit (October 2011, July 2012)</p>	<p>Information risk register and reports to Information Governance Board</p> <p>Update reports to Cabinet, Scrutiny Board and SEB</p> <p>Performance indicators reported to Cabinet- Number of data breaches</p> <p>Performance indicator - % of Freedom of Information (FOI) requests met within timescales</p> <p>Performance indicator- % of Subject Access Requests (SAR) met within timescales</p>	<p>Senior Risk Information Officer briefings to Strategic Executive Board</p> <p>Controls Assurance Statements</p>	<p>Ongoing audits, performance against FOI and SAR requests and information incidence logs will continue to provide assurance over this risk.</p>

Risk Ref	Risk Title and Description	Current Score	Types of Assurance			Comments/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>Medium Term Financial Strategy</p> <p>If the council is unable to agree and operate within its medium term financial strategy (MTFS) this may result in insufficient reserves to remain solvent, the potential loss of democratic control and the inability of the council to deliver essential services and discharge its statutory duties.</p>	15 Red	<p>PwC report: Report to those charged with governance (ISA 260) September 2014</p> <p>Independent review of process for MTFS and budget- E Sullivan, May 2014</p> <p>Internal audit review - 2014 Assumptions of the MTFS</p> <p>Internal audit review Budgetary Control - 2014/15</p>	<p>MTFS risk register</p> <p>Reports to Budget Working Party</p> <p>Reports to Cabinet February 2015, October 2014 and June 2014.</p>	<p>Management accounts</p> <p>Controls Assurance Statements</p>	Ongoing internal and external reviews will continue to provide assurances over the achievement of efficiency savings and the resilience of the MTFS.
5	<p>FutureWorks</p> <p>If the Agresso system does not perform as expected then there will be a prolonged need to maintain the old system resulting in inefficiencies in service delivery; unplanned maintenance costs and delays in planned savings materialising.</p>	1 Green	<p>Internal audit payroll verification September - November 2014</p> <p>Internal audit review 2014/15 – Post implementation review</p> <p>Audit Committee review - September 2014</p> <p>Internal audit update reports to Programme Board and Audit Committee</p> <p>Internal audit review - Benefits Realisation, November 2014</p>	<p>Programme risk register</p> <p>Weekly reports to Programme Board</p>	<p>Progress reports to SEB July 2014</p> <p>Controls Assurance Statement</p>	<p>This programme and risk has now ended and will be removed from the strategic risk register.</p> <p>Assurances over the effective functioning of the Agresso system will be provided by internal audit reviews of the key financial systems/ managed audits.</p>
6	<p>Compliance with Public Sector Network (PSN)</p> <p>If the council fails to achieve the required technology controls required for connection to PSN, and other similar information security regimes, then it will experience significant interruption to the delivery of its services.</p>	5 Amber	<p>PSN healthcheck by CLAS Consultancy at Cabinet Office 2014</p>	<p>Reports to Information Governance Board</p>	<p>Controls Assurance Statement</p> <p>Briefings to SEB</p>	No further assurances required at present.
7	<p>Safeguarding</p> <p>If the Council's safeguarding procedures and quality assurance processes are not consistently and effectively implemented then it will fail to safeguard children and vulnerable adults and lead to reputational damage.</p>	10 Amber	<p>West Midlands Association of Directors of Adult Social Services peer review – Adult safeguarding September 2014</p> <p>West Midlands Association of Directors of Children's Services peer review- children's safeguarding September 2014</p> <p>Ofsted inspection safeguarding services- June 2011</p> <p>Peer review – Local safeguarding Children's board 2013</p> <p>LGA peer review - Local safeguarding adults board November 2013</p> <p>Internal audit review 2015/16 – Safeguarding in schools</p>	<p>Reports to safeguarding boards</p> <p>Annual reports from adults and children's local safeguarding boards</p> <p>'Our Story' report to Cabinet Member for Children and Families.</p> <p>National and local Wolverhampton performance indicators in relation to social care</p> <p>Report to Wolverhampton Safeguarding Children's Board- December 2014 - Schools Safeguarding</p> <p>Self- audits confirmation by schools of s175 compliance</p>	<p>Children's safeguarding self - assessment- September 2014</p> <p>Adults safeguarding self- assessment – September 2014</p> <p>Quality Assurance Framework and assessments</p> <p>Controls Assurance Statement</p>	<p>Up to date assurance from Ofsted is required to confirm risk is being effectively managed.</p> <p>In addition, further assurances continue to be sought in respect of the adequacy and effectiveness of the safeguarding arrangements in schools.</p> <p>Assurances will also be required in future on the Council's compliance with the statutory framework in respect of adults safeguarding which becomes effective from April 2015.</p>

Risk Ref	Risk Title and Description	Current Score	Types of Assurance			Comments/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)	
8	<p>Business Continuity Management</p> <p>Failure to develop, exercise and review plans and capabilities that seek to maintain the continuity of critical functions in the event of an emergency that disrupts the delivery of Council services.</p>	15 Red	<p>Internal audit review August 2013 - Resilience management and BCP</p> <p>Follow up of internal audit recommendations - January 2014</p>	<p>Reports from Wolverhampton Resilience Board to SEB</p>	<p>Incident management: St Alban's Church of England School February 2015</p> <p>Incident management : i.e. industrial action July 2014</p> <p>Reports to Wolverhampton Resilience Board</p> <p>Controls Assurance Statement</p>	<p>The exercise and testing programme once developed and implemented will provide further assurances on the management of this risk.</p> <p>Given the continual reductions in the Council's workforce, ongoing testing will be required to provide assurance over the resilience of the provision of Council services.</p>
9	<p>City Centre Regeneration</p> <p>If the city centre regeneration programme is not effectively managed in terms of project timings, costs and scope, then it will be unable to maximise opportunities including:</p> <ul style="list-style-type: none"> creation of well paid employment retention of skilled workers sector and economic growth increased prosperity and reduced demand on council services 	8 Amber	<p>Internal audit review 2015/16- City centre development</p>	<p>Programme and project risk registers</p> <p>Project reports to Cabinet and Scrutiny</p> <p>Monthly reporting to the City Centre Regeneration Programme Board</p> <p>Monthly programme reports to Corporate Programme Office</p>	<p>Reports to Programme Board from project managers</p> <p>Controls Assurance Statement</p>	<p>Regular update reports to the Programme Board and Cabinet continue to provide assurance on the management of this risk.</p>
10	<p>Economic Inclusion</p> <p>If the Council and its partners do not work effectively together to promote and enable growth then the risk of economic exclusion will materialise and demand for Council services will continue to increase.</p>	16 Red	<p>Reports to the Black Country Local Enterprise Partnership and City Board</p> <p>National performance indicators e.g. % residents unemployed, child deprivation, skills profile, etc.</p> <p>Wolverhampton Skills Commission Review – November 2014 to April 2015</p>	<p>Report to SEB – City Board – December 2014</p> <p>Monthly unemployment briefings</p> <p>Report to Cabinet - Welfare Reform, December 2014</p>	<p>Controls Assurance Statement</p>	<p>National indicators will demonstrate the effectiveness of the measures in place to manage this long term risk.</p>
11	<p>The Care Act</p> <p>If the Council does not have robust plans in place to implement the Care Act it will fail to meet its statutory obligations.</p>	15 Red	<p>Internal audit review 2015/16</p>	<p>Care Act Stocktake 3 self - assessment</p> <p>Regular reports to Care Act Implementation Programme Board</p> <p>Programme risk register</p> <p>Report to Adults and Community Scrutiny Panel November 2014</p>	<p>Monthly programme management reports to CPO</p> <p>Controls Assurance Statement</p>	<p>Assurances on the management of this risk will continue to be provided through the Corporate Programme Office and Programme Board.</p>
12	<p>Better Care Fund</p> <p>If the Council and its partners fail to deliver the improved outcomes required by the Better Care Fund, demand on acute services will not be reduced, the reward money will not be received and the Council will not receive the additional resources promised by the Better Care Fund.</p>	15 Red	<p>Revised plan submission to Department of Health and full approval received - December 2014</p>	<p>Reports to the Health and Well Being Board (HWBB) March, July and November 2014</p> <p>Programme risk register</p> <p>Reports to the Quality and risk sub group</p> <p>Better Care Plan performance indicators</p>	<p>Monthly project reports</p> <p>Controls Assurance Statement</p>	<p>The approvals received from the Department of Health on the Better Care Plan continue to provide the necessary assurance, until the Plan is implemented in April 2015. After this time, assurance on the management of the programme will be provided by the HWBB, and the measure of key outcome based performance indicators.</p>

Risk Ref	Risk Title and Description	Current Score	Types of Assurance			Comments/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)	
14	<p>School Improvement</p> <p>If the Council does not provide effective support, challenge and appropriate intervention to raise standards in schools, then the Council and these schools are at risk of underperforming, receiving inadequate Ofsted judgements and a potential loss of control and influence.</p>	15 Red	<p>Ofsted annual report – Schools 2013/14, December 2014</p> <p>Ofsted inspections 2014/15</p> <p>School internal audit reviews 2013/14 and 2014/15</p>	<p>Performance indicator – gaps in educational performance</p> <p>Performance indicator – end of key stage outcomes</p> <p>Report to Children and Young People Scrutiny Panel- Ofsted inspection outcomes April to September 2014, November 2014</p> <p>Audits carried out by School Support Advisors and External Governance reviews</p>	<p>Reports to Cabinet</p> <p>Controls Assurance Statement</p>	<p>The Ofsted inspections continue to be the primary source of assurance for this risk.</p> <p>A review on the effectiveness of the School Improvement Strategy in 2015 will provide further assurance on the measures in place to manage this risk.</p>
15	<p>Emergency Planning</p> <p>Failure to develop, exercise and review plans and capabilities for preventing, reducing, controlling or mitigating the effects of emergencies in both the response and recovery phases of major a incident.</p>	9 Amber	<p>Internal audit review - Resilience management and BCP, August 2013</p> <p>Follow up of internal audit recommendations, January 2014</p>	<p>Reports to Wolverhampton Resilience Board (WRB)</p> <p>Regular reports from WRB to SEB and C3 Scrutiny Panel</p>	<p>Incident management, e.g. weather incidences 2014, Public disorders Summer 2012, Hickman Avenue fire September 2014</p> <p>Test exercise “Exercise Chillout” August 2014</p> <p>Debrief report to SEB on mosque incident – 24 July 2013</p> <p>Winter debrief report to WRB – June 2014</p> <p>Controls Assurance Statement</p>	<p>The exercise and testing programme once developed and implemented will provide further assurances on the management of this risk. In the meantime, unplanned incidences and the lessons learned from these exercises continue to provide some level of assurance over this risk.</p>
16	<p>Equal Pay</p> <p>If schools do not comply with the Collective agreement and agree local pay scales and conditions then there is a potential for significant equal pay claims to materialise.</p>	12 Amber	<p>Internal audit review - Equal pay claims, September 2014 (Substantial assurance)</p>	<p>Reports to Equal Pay Project Board</p>	<p>Controls Assurance Statement</p>	<p>Ongoing review by management of the level of claims continues to provide assurance on this risk, over which the Council has little control.</p>
17	<p>Employee Management</p> <p>If policies dealing with employee management and in particular appraisals are not effectively implemented and complied with then:</p> <ul style="list-style-type: none"> employees may not be fully aware of the Council’s objectives and their contribution to the achievement of them, and employees may not have the appropriate training and support to achieve high standards of performance <p>the Council may not have the required capability to deliver its objectives.</p>	8 Amber	<p>Internal audit review – Performance appraisal scheme, September 2014 (Limited assurance)</p> <p>Update report to Audit Sub Committee- February 2015</p>	<p>Corporate performance indicator- re: appraisals completed</p>	<p>Controls Assurance Statement</p>	<p>Ongoing review of the corporate performance indicator by management will continue to provide assurance over the management of this risk.</p>

Risk Ref	Risk Title and Description	Current Score	Types of Assurance			Comments/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)	
18	<p>Elections</p> <p>The Council is required to provide the Returning Officer with the resources to run elections, as a result of which the Council needs to plan and prepare for the elections, putting in place the appropriate policies, protocols and procedures. Failure to comply with these policies, protocols and procedures may result in the Council not being able to maintain the integrity of the election and the Returning Officer not being able to effectively discharge his statutory responsibilities.</p>	<p>8</p> <p>Amber</p>	<p>Internal audit review- Elections account 2015/16</p>	<p>Elections risk register</p> <p>Report to SEB, January 2015- Preparing for the 2015 elections, pre- election period</p>		<p>The running of previous elections together with the communications and protocols in place provide further assurances on the management of this risk.</p>
19	<p>Combined Authority</p> <p>If the Council does not effectively engage with partners in the consideration of the formation of a Combined Authority, ensuring sufficient and appropriate resources are assigned to progress, manage and provide assurances to partners on the programme and any work streams, then the Council's objectives in respect of growth in the regional economy, employment and skills, business investment and regeneration may not be fully realised.</p>	<p>12</p> <p>Amber</p>		<p>Updates to joint Chief Executives' meetings</p> <p>Programme risk register</p>		<p>An update on the assurances in place for this newly identified risk will be provided to the Audit Committee at its next meeting.</p>