

Strategic Risk Assurance Map – August 2016

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><b>Looked After Children (LAC)</b> 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>	10 Amber	<p>Performance indicator- number of LAC per 10,000 population Audit and Risk Committee review of risk – September 2015 Internal audit review 2015/16 – External Placements (substantial assurance)</p>	<p>Scrutiny review of Corporate Parenting and Children in Care Council – September 2015 Resources panel reviews Update to Children's Trust Board- September 2014 Care pZanel reviews of placement costs Report to Cabinet (Performance Management Panel) September 2014 Scrutiny review of LAC February 2014</p>	<p>Children's Services self- assessment December 2015 Reports to LAC Budget Monitoring Group (every two months) Controls Assurance Statement</p>	<p>Present sources will continue to provide assurance regarding the changes in number of LAC and progress made against the programme. Assurances through the budgetary process 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><b>Skills for Work</b> 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>	15 Red	<p>Audit and Risk Committee review of risk – September 2016 Wolverhampton Skills Commission Review – November 2014 to April 2015 Internal audit review – City of Wolverhampton College- Learners with learning difficulties post 16, December 2014 Black Country performance management framework</p>	<p>Scrutiny review of "Employability and Skills in Wolverhampton" report to Cabinet 11 March 2015 Scrutiny review of "Employability and Skills" September 2014 – January 2015 Performance indicator - % of residents with no qualification Performance indicator - number of work experience/ volunteering/ apprenticeships opportunities provided Monthly unemployment briefings Stronger City Economy Scrutiny Panel Review 2016/17 – Skills and Training Scrutiny Review 2016/17 – The City's Apprenticeship Offer</p>	<p>Reports to the Wolverhampton Skills and Employment Board Controls Assurance Statement</p>	<p>In addition to the performance indicators in place, the review undertaken by the Wolverhampton Skills Commission and the successful monitoring and delivery of the city skills and employment action plan will provide assurances over the effectiveness of the various measures and initiatives in place to manage this long term risk. In addition to this, assurances received at a regional level (e.g. through the West Midlands Combined Authority) will also inform the adequacy and effectiveness of the regional initiatives employed.</p>
3	<p><b>Information Governance</b> If the council does not put in place appropriate policies, procedures and technologies to ensure:</p> <ul style="list-style-type: none"> <li>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;</li> <li>compliance with the Freedom of Information Act and Environmental Information risk Act</li> </ul> <p>then it may be subject to regulatory action, financial penalties, reputational damage and the loss of confidential information.</p>	8 Amber	<p>Internal audit review 2014/15 – Information sharing agreements (Satisfactory assurance) Internal audit review– Protective marking compliance, September 2014 (Limited assurance)</p>	<p>Information risk register and reports to Information Governance Board Performance reports to Cabinet, Scrutiny Board and SEB Performance indicators reported to Cabinet- Number of data breaches Performance indicator - % of Freedom of Information (FOI) requests met within timescales Performance indicator- % of Subject Access Requests (SAR) met within timescales</p>	<p>Senior Information Risk Officer Annual Report Controls Assurance Statements</p>	<p>The Council's ongoing dialogue with the Information Commissioners Office, regular audits, performance against FOI and SAR requests and information incidence logs will all continue to inform the level of assurance over the effectiveness and adequacy of the controls in place to manage this risk this risk.</p>

4	<p><b>Medium Term Financial Strategy</b> If the Council does not manage the risks associated with the successful delivery of its medium term financial strategy including the continual review of the assumptions and projections of the strategy, the effective management of the key MTFS programmes and projects then this may exhaust reserves, result in the potential loss of democratic control and the inability of the Council to deliver essential services and discharge its statutory duties.</p>	12 Amber	<p>PwC report: Report to those charged with governance (ISA 260) September 2016 Independent review of process for MTFS and budget- E Sullivan, May 2014 Internal audit review Budgetary Control - 2015/16 (Satisfactory assurance) Internal audit review – 2014/15 Assumptions of the MTFS LGA Finance Peer review- June 2016 <a href="#">Internal audit review 2016/17 - MTFS</a></p>	<p>MTFS risk register Reports to Budget Working Party Reports to Cabinet Scrutiny reviews of budget strategy</p>	<p>Management accounts Controls Assurance Statements</p>	<p>Ongoing internal and external reviews will continue to provide assurances over the successful delivery of the MTFS and the achievement of efficiency savings.</p>
7	<p><b>Safeguarding</b> 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 West Midlands Association of Directors of Children's Services peer review- children's safeguarding September 2014 Peer review – Local safeguarding Children's board 2013 Ofsted inspection safeguarding services- June 2011 Internal audit review 2015/16 – Independent Reviewing Officer Service (satisfactory assurance) Internal audit review 2015/16 – Safeguarding in schools (satisfactory assurance) <a href="#">Internal audit review 2016/17 - MASH</a></p>	<p>Scrutiny review- Child Sexual Exploitation 2015/16 Adults and Safer City Scrutiny Panel Review- Violence against women and girls strategy September 2015 Annual reports from adults and children's local safeguarding boards 'Our Story' report to Cabinet Member for Children and Families National and local Wolverhampton performance indicators in relation to social care Self- audits confirmation by schools of s175 compliance</p>	<p>Children's Services self- assessment December 2015 Adults safeguarding self- assessment and action plan – June 2016 Quality Assurance Framework and assessments Controls Assurance Statement</p>	<p>Up to date assurance from Ofsted is required to confirm risk is being effectively managed. In addition, further assurances continue to be sought by the Wolverhampton Safeguarding Children's Board in respect of the adequacy and effectiveness of the safeguarding arrangements in schools.</p>
8	<p><b>Business Continuity Management</b> 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>	10 Amber	<p>Internal audit review 2015/16 – Business continuity and resilience management (satisfactory assurance)</p>	<p>Reports from Wolverhampton Resilience Board to SEB</p>	<p>Incident management: St Alban's Church of England School February 2015 Incident management : e.g. industrial action July 2014 Reports to Wolverhampton Resilience Board Controls Assurance Statement</p>	<p>The exercise and testing programme once developed and implemented will provide further assurances on the management of this risk. 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><b>City Centre Regeneration</b> 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"> <li>• creation of well paid employment</li> <li>• retention of skilled workers</li> <li>• sector and economic growth</li> <li>• increased prosperity and</li> <li>• reduced demand on council services</li> </ul>	8 Amber	<p>Internal audit review 2015/16- City centre development (Satisfactory assurance)</p>	<p>Programme and project risk registers Monthly reporting to the City Centre Regeneration Programme Board <a href="#">Stronger City Economy Scrutiny Panel Review 2016/17 – Regeneration programmes</a></p>	<p>Reports to Programme Board from project managers 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><b>Economic Inclusion</b></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>	12 Amber	<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>Stronger City Economy Scrutiny Panel Review – Investment and Funding July 2016</p> <p>Report to SEB – City Board – Monthly unemployment briefings</p>	Controls Assurance Statement	<p>National indicators will demonstrate the effectiveness of the measures in place to manage this long term risk.</p> <p>In addition, assurances received at a regional level (e.g. through the West Midlands Combined Authority) will also inform the adequacy and effectiveness of the regional initiatives being employed to manage this risk.</p>
14	<p><b>School Improvement</b></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>	5 Amber	<p>Ofsted annual report – Schools 2014/15, December 2015</p> <p>Ofsted inspections 2015/16</p> <p>School internal audit reviews 2013/14 and 2014/15 and 2015/16</p> <p>Internal audit review 2015/16 – School Improvement and Governance Strategy (satisfactory assurance)</p> <p><a href="#">Internal audit review 2016/17 – Vulnerable Pupils</a></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 and Families Scrutiny Panel – School Improvement Strategy July 2016</p> <p>Report to Children and Young People and Families Scrutiny Panel - Local Authority School Improvement Inspection Self-Evaluation July 2016</p> <p>Report to Children and Young People and Families Scrutiny Panel- Primary School Organisation strategy July 2015</p> <p>Report to Children and Young People and Families Scrutiny Panel- Academy Partnership Protocol April 2016</p> <p>Report to Children and Young People and Families Scrutiny Panel – Secondary School Sufficiency Strategy April 2016</p> <p>Report to Children and Young People and Families Scrutiny Panel – Improving Our Schools Annual Report 2016 April 2016</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 and annual report published in December 2016 will continue to be the primary source of assurance for this risk.</p> <p>A review on the effectiveness of the School Improvement Strategy in 2016 will provide further assurance on the measures in place to manage this risk.</p>
15	<p><b>Emergency Planning</b></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>	4 Amber	<p>Follow up of internal audit recommendations, January 2014</p> <p>Internal audit review - Resilience management and Business continuity planning August 2013 (Limited assurance)</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><b>Equal Pay</b></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>	8 Amber	<p>PwC report: Report to those charged with governance (ISA 260) September 2015</p> <p>Ongoing Internal audit assurance in 2015/16 to Equal Pay Project.</p> <p>Internal audit review - Equal Pay claims, September 2014 (Substantial assurance)</p> <p>External legal advice from Browne Jacobson on claims</p> <p><a href="#">Internal audit review 2016/17 – Equal Pay</a></p>	<p>Reports to Equal Pay Project Board</p>	Controls Assurance Statement	<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>

