

Corporate Assurance Map – August 2014

Risk Ref	Risk Title and 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)	
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>	20 red	<p>Audit by Dartington Research Unit into LAC 2013</p> <p>Performance indicator- number of LAC per 10,000 population</p> <p>Internal audit review 2014/15- Placements and LAC</p> <p>Internal audit review 2014/15- Independent reviewing officer for LAC</p>	<p>Scrutiny review of LAC Feb 2014</p> <p>Monthly programme reports to Corporate Programme Office</p>	<p>Reports to LAC Budget Monitoring Group (every 2 months)</p> <p>Controls Assurance Statement</p>	<p>Present assurances sources and will continue to provide assurance regarding the changes in number of LAC and progress made against the Families First programme.</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>	20 red	<p>Internal audit review: Employment opportunities 2013/14</p> <p>Black country performance management framework</p> <p>Internal audit review 2014/15 – City of Wolverhampton College- Learners with learning difficulties post 16</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>Reports to the Wolverhampton Skills and Employment Board</p> <p>Controls Assurance Statement</p>	<p>Performance indicators will provide assurance over the effectiveness of the measures in place to manage this long term risk.</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>	16 red	<p>Information Commissioner audit (October 2011, July 2012)</p> <p>Internal audit review: Management of information sharing agreements 2013/14</p> <p>Internal audit review 2014/15- Electronic social care record</p> <p>Internal audit review 2014/15 – Compliance support</p> <p>Internal audit review 2014/15 – Information sharing agreements</p> <p>Internal audit review 2014/15 – Protective marking compliance</p>	<p>Information risk register and reports to IG Board</p> <p>Report to Cabinet and Scrutiny Board March 2014</p> <p>Report to SEB 27 March 2014</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>

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4	<p><b>Medium Term Financial Strategy</b></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>Independent review of process for MTFS and budget- May 2014</p> <p>PwC report: Report to those charged with governance (ISA 260) September 2013</p> <p>Internal Audit review Budgetary Control 2013/14</p> <p><a href="#">PwC report: Report to those charged with governance (ISA 260) September 2014</a></p>	<p>MTFS risk register</p> <p>Reports to Budget Working Party</p> <p>Reports to Cabinet June 2014 and February 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><b>FutureWorks</b></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>	10 amber	<p>PwC stage gate review- January 2014</p> <p>Internal audit report- data migration and reconciliation January 2014</p> <p>Internal audit review: Detailed design and phase 2013/14</p> <p>Internal audit update reports to Programme Board and audit Committee</p> <p><a href="#">Internal audit review 2014/15 – Post implementation review</a></p> <p><a href="#">Audit Committee review- September 2014</a></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>	Further assurances required regarding full implementation of system and adequacy of risk mitigation strategies.
6	<p><b>Compliance with Public Sector Network (PSN)</b></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>PSN healthcheck by CLAS Consultancy at Cabinet Office 2013</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><b>Safeguarding</b></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>	15 red	<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</p>	<p>Reports to safeguarding boards</p> <p>Annual reports from adults and children's local safeguarding boards</p> <p>National and local Wolverhampton performance</p>	<p>Children's safeguarding self - assessment- September 2014</p> <p>Adults safeguarding self- assessment – September 2014</p> <p>Controls Assurance Statement</p>	Up to date assurance from Ofsted is required to confirm risk is being effectively managed.

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			<p>November 2013</p> <p><a href="#">West Midlands Association of Directors of Adult Social Services peer review – Adult safeguarding September 2014</a></p> <p><a href="#">Internal audit review 2014/15- Disability team safeguarding procedures</a></p> <p><a href="#">Internal audit review 2014/15- safeguarding for children and adults</a></p>	indicators in relation to social care		
8	<p><b>Business Continuity Management</b></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>	<b>15 red</b>	<p>Internal Audit Review: Resilience Management and BCP Aug 2013</p> <p>Follow up of Internal Audit recommendations Jan 2014</p> <p><a href="#">Internal audit review 2014/15 – Resilience management</a></p>	<p>Report from Wolverhampton Resilience Board to SEB and C3 Scrutiny Panel</p>	<p>Incident management : i.e. industrial action July 2014</p> <p>Reports to Wolverhampton Resilience Board (WRB)</p> <p>Controls Assurance Statement</p>	The exercise and testing programme once developed and implemented will provide further assurances on the management of this risk.
9	<p><b>City Centre Regeneration</b></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"> <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>	<b>8 amber</b>	<p><a href="#">Internal audit review 2014/15- Management of Business Improvement District</a></p> <p><a href="#">Internal audit review 2014/15- City centre development</a></p>	<p>Programme and project risk registers</p> <p>Project reports to Cabinet and Scrutiny</p>	<p>Reports to Programme Board from project managers</p> <p>Controls Assurance Statement</p>	Regular update reports to Cabinet and SEB continue to provide assurance on the management of this risk.
10	<p><b>Economic Inclusion</b></p> <p>If the Council and its partners do not work effectively together to tackle the root causes of poverty in the City then demand for Council services will continue to increase.</p>	<b>16 red</b>	<p>Reports to the Black Country Local Enterprise Partnership</p> <p>National performance indicators e.g. % residents unemployed, child deprivation, skills profile, etc.</p>	<p>Report to SEB – City Board – December 2013</p> <p>Report to SEB- welfare reform – September 2013</p>	<p>Controls Assurance Statement</p>	National indicators will demonstrate the effectiveness of the measures in place to manage this long term risk.
11	<p><b>The Care Act</b></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>	<b>15 red</b>	<a href="#">Internal audit review 2015/16</a>	<p>Report to SEB- January 2014</p>	<p>Monthly programme management reports to CPO and SEB</p> <p>Controls Assurance Statement</p>	Assurances on the management of this risk will continue to be provided through the Corporate Programme Office.

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12	<b>Better Care Fund</b> 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.	15 red	Plan submission to Department of Health- April 2014  <a href="#">Plan submission to Department of Health- September 2014</a>	Reports to HWBB 31 March 2014 and July 2014  Programme risk register  Report to SEB – January 2014	Monthly project reports  Controls Assurance Statement	Assurance on the management of the programme will be provided by the HWBB once the Better Care Plan is approved and being implemented.
14	<b>School Improvement</b> 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.	15 red	Ofsted annual report - Schools 2012/13 – December 2013  School audits 2013/14  <a href="#">Ofsted annual report – Schools 2013/14 – December 2014</a>  <a href="#">Internal audit review 2014/15- Schools Improvement Partnership</a>	Performance indicator – gaps in educational performance  Performance indicator - end of key stage outcomes  <a href="#">Reports to Education and Enterprise Scrutiny Panel- 2014</a>	Reports to Cabinet  Controls Assurance Statement	Up to date assurance from Ofsted is required to confirm overall risk is being effectively managed
15	<b>Emergency Planning</b> 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.	9 amber	Internal Audit Review: Resilience Management and BCP Aug 2013  Follow up of Internal Audit recommendations Jan 2014  <a href="#">Internal audit review 2014/15 – Resilience management</a>	Reports to Wolverhampton Resilience Board (WRB)  Winter debrief report to WRB – June 2014  Report from WRB to SEB and C3 Scrutiny Panel	Incident management :- e.g. weather incidences 2014, Public disorders Summer 2012  Debrief report to SEB on mosque incident – 24 July 2013  Controls Assurance Statement	The exercise and testing programme once developed and implemented will provide further assurances on the management of this risk.
16	<b>Equal Pay</b> 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.	12 amber	Internal audit assurance 2013/14  <a href="#">Internal audit review 2014/15- Equal pay claims</a>	Reports to Equal Pay Board	Controls Assurance Statement	Ongoing review by management of the level of claims continues to provide assurance on this risk, over which the Council has little control.