

**28 APRIL 2022**

**Risk Management Update – Assurance Map**

**Ward(s):** All

**Portfolios:** All

**Purpose: For Information**

**1. Aim**

- 1.1 This purpose of this report is to update Audit Committee with regards to recent risk management activity, and the further development of the Assurance Map for the Strategic Risk Register (SRR).

**2. Summary**

- 2.1 This report presents an update position on the work that commenced in November 2021, and includes the main sources of assurance across the Council against each of the Strategic Risks, alongside the current level of comfort provided. This, alongside
- 2.2 Going forward, the aim will be to monitor and review the Assurance Map regularly alongside the Strategic Risk Register to ensure it continues to meet the needs of the Council.

**3. Recommendations**

- 3.1 That Audit Committee notes the submitted Assurance Map, set out at Appendix A.

**4. Report detail – know**

- 4.1 Assurance mapping is process by which an organisation gathers the different levels of internal and external assurance required to provide assurance to the Audit Committee that it is being effectively managed.
- 4.2 This report seeks to collate the main assurances the council relies on in respect of its strategic risks, in a visual table or chart, to show where these assurances are received. This can then be used as a governance tool so that Directors Group, CMT and Audit Committee can take an objective view of the council's risks and where it receives assurance on those risks, or believes it has gaps in its assurance framework.

## Assurance Map

The Assurance Map shows, in diagram form, all the assurances that were documented in the Strategic Risk Register following its last update in December 2021.

Recently, work has been done to populate the latest assurance opinions (where available) from the assurance providers and this work will continue as the risks and the assurances evolve.

Further work is required to identify areas where there might be no assurance, but there should be, as well as officers making decisions around where assurance is not required.

### **5. *Financial information***

- 5.1 There are no direct financial implications arising from this report, however effective risk management and reporting of risks supports and contributes to the delivery of good financial management.

### **6. *Reducing Inequalities***

- 6.1 Effective governance arrangements ensure a focus on delivering of Corporate Plan objectives, a key driver of which is reducing inequalities.

### **7. *Decide***

- 7.1 Audit Committee are asked to consider the Assurance Map and may wish to comment.

### **8. *Respond***

- 8.1 Audit Committee is required to ensure that it receives reports on risk management on a regular basis and takes appropriate action to ensure that strategic business risks are being actively managed. This report enables Audit Committee to exercise its responsibilities in respect of risk management by reviewing the current assurances.

### **9. *Review***

- 9.1 The Risk Management Strategy sets out the formal review and reporting points for risks throughout the year and these will continue to be followed, with feedback on the actions set out within this report incorporated into those updates.

## **Author**

Sarah Knowles

Internal Audit Manager

✉ [sarah.knowles@mazars.co.uk](mailto:sarah.knowles@mazars.co.uk)

# Assurance Map for Strategic Risk Register 2021/22

## APPENDIX A

Risks	Sub Processes	1st line of Defence				2nd line of Defence												3rd Line of Defence			
		Operations				Business Support Functions				Monitoring/Controlling Functions								Assurance			
		Strategies, Policies & Procedures	DMTs	Directors Group	Senior Managers Group	Finance	IT	HR	Legal	Statutory Officers Group	Risk Management	Performance Management Framework	Health & Safety	PMO	Data Protection / GDPR	BCM	Formal Partnership Working Arrangements	Quality / Compliance Audits	Internal Audit	External Audit	Other Regulatory Assurance Providers
1. Threats to the Economic Growth of Walsall are not identified and mitigated, together with opportunities for sustainable growth being missed.																					
2. The Proud Programme does not achieve the outcomes and benefits required to ensure that available resources are directed to deliver the greatest outcomes for the community.																					
3. Partnership relationships with other sectors and our major suppliers fail to deliver on shared objectives and therefore outcomes for the community.																					
4. The Council is unable to maintain statutory service standards to support the most vulnerable in society.	Childrens																				
	Adults																				
5. External Changes in Political and/or legislative environment including ongoing impact of Covid-19.																					
6. There is a lack of community cohesion and resilience placing increased pressure on public sector resources.																					
7. Failure to achieve the savings required or manage demand pressures to enable a balanced budget and Medium-Term Financial Plan to be delivered.																					
8. Risk of Cyber Security attacks.																					
9. Threats in relation to failing to comply with the legal obligations and duties of the UK GDPR regulations, the Data Protection Act 2018 and relevant legislative requirements																					
10. Failure to deliver key services in the event of significant business interruption, including services delivered by contractors and partners																					

Key	
Unassessed Assurances	
High Assurance	
Medium Assurance	
Low Assurance	
No Assurance - but should be in this area	
Not applicable	