# ROCHDALE BOROUGH COUNCIL - ASSURANCE MAP

## Appendix 2

| | | | | | 1st line of defence | 2nd line of defence | 3rd line of defence |
|---|---|---|---|---|---|---|---|
| | | | | | Delivering the risk and control environment | Other oversight and assurance functions | Independent assurance/ advice |
| | | | | | **First line** (more knowledge, less independence) Identifying risks and improvement actions; implementing controls; reporting on progress; management assurance | **Second line** (more objective, but not wholly independent) Designing policies; setting direction, ensuring compliance; assurance oversight | **Third line** (objective and independent) Independent challenge; audit; reporting on assurance |
| **Ref** | **Risk** | **Risk Assessment** | | **Owner** | **Service Based Management Controls** | **Corporate and Management Oversight** | **Independent and Objective** |
| | | Inherent | Residual | | | | |
| CRR0002 | A catastrophic event and lack of organisational resilience leads to inability to deliver our services, to then support and protect the wider community and to rebuild the infrastructure (Operational) | 20 | 12 | Mark Widdup | **Training and excercising offered to service business continuity  leads to support the maintenance and suitability of service BC plans** | **Corporate business continuity plan, refreshed and checked for accuracy annually** | **Independent assurance provided by Internal Audit** |
| | | | | | **Themed plans (i.e. rest centres, flooding, Turner Brothers site) for specific purposes** | **Annual excercises arranged to test plans** | **Resilience self-assessment audit undertaken annually by the Cabinet Office** |
| | | | | | **Training, briefing and exercises carried out for Silver and Forward Incident officers** | **Periodic corporate business continuity desk top exercise** | **PSN  (Public Services Network)  Compliance and PCI DSS (Payment Card Industry Data Security Standards) Compliance annually** |
| | | | | | **Resilience of ICT systems is periodically tested** | **Emergency plan refreshed annually, communicated and understood** | **Business continuity plans are peer reviewed annually by the Civil Contingencies and Resilience Unit** |
| | | | | | **Risk Management Strategy embedded and supports all decision making** | **Multi-agency resilience forum in place to debrief incidents and conduct exercises** | |
| CRR0008 | Risk of serious harm to or death of a child due to the act or omission by Council employees (Compliance/ Legal) | 20 | 15 | Gail Hopper | **Critical Incident Reporting Framework in place and embedded** | **Local Safeguarding Children Board in place which provides robust challenge** | **Independent Ofsted inspections** |
| | | | | | **Workforce Development Strategy - training and support provided to staff** | **Performance/ Quality Assurance Framework is fully embedded** | **Regional Support and Challenge including Peer Reviews** |
| | | | | | **Local Authority provides advice/ monitoring and training on safe practice in schools** | **Early Help Strategy is refreshed and re-launched** | **Internal Audit reviews of systems, processes and controls** |
| | | | | | **Effective management oversight and supervision of staff** | | |
| | | | | | **Ongoing and robust management of external/ commissioned service providers** | | |
| | | | | | **Risk Management Strategy embedded and supports all decision making** | | |
| CRR0009 | Risk of serious harm to or death of a vulnerable adult due to the act or omission by Council employees (Compliance/ Legal) | 20 | 15 | Sally McIvor | **Effective management and supervision of staff** | **Adult Safeguarding Board in place which provides robust challenge** | **Independent reviews by the Care Quality Commission (CQC)** |
| | | | | | **Robust contract management procedures** | **Quality assurance process in place** | **Regional support and peer challenge** |
| | | | | | **Recruitment and retention plan for qualified social workers** | **Adult Care Safeguarding Policy is communicated and followed** | **Internal Audit reviews of systems, processes and controls** |
| | | | | | **Training strategy and development plans in place for staff** | **Robust and regular safeguarding and case file audits** | |
| | | | | | **Risk Management Strategy embedded and supports all decision making** | **Framework in place for the management and oversight of professional social work practice standards** | |
| | | | | | | **Ongoing sharing of intelligence information with CQC and other partners** | |
| CRR0001 | Failure to maintain or gaps within corporate governance lead to risk of litigation, fraud/ malpractice, poor decision making or judicial review, causing serious service and financial failure (Compliance/ Legal) | 16 | 6 | David Wilcock | **Risk Management Strategy embedded and supports all decision making** | **Code of Corporate Governance communicated, understood and followed** | **Oversight and challenge by an effective Audit and Governance Committee** |
| | | | | | **Scheme of delegation which is clear, understood and being followed** | **Governance Board providing challenge to and co-ordination of all governance issues** | **Independent assurance provided by Internal Audit** |
| | | | | | **Contract procedure rules which are clear, understood and being followed** | **Anti-Fraud and Corruption Policy communicated, understood and followed** | **Independent assurance provided by external Audit** |
| | | | | | **Codes of Conduct for Members and Officers which are clear, understood and followed** | **Performance Management arrangements which promotes accountability and outcome monitoring is embedded** | **Independent assurance provided by external assessors (Ofsted, Care Quality Commission etc.)** |

| Ref | Risk | Risk Assessment | | Owner | Service Based Management Controls | Corporate and Management Oversight | Independent and Objective |
|---|---|---|---|---|---|---|---|
| | | | | | **First line**<br>(more knowledge, less independence)<br>Identifying risks and improvement actions; implementing controls; reporting on progress; management assurance | **Second line**<br>(more objective, but not wholly independent)<br>Designing policies; setting direction, ensuring compliance; assurance oversight | **Third line**<br>(objective and independent)<br>Independent challenge; audit; reporting on assurance |
| | | Inherent | Residual | | | | |
| | | | | | | **Information Governance Framework which supports compliance with all data control requirements is embedded** | **Independent assurance on information governance and data protection from an Information Commissioner's Office Consensual Audit** |
| | | | | | | | **Independent assurance from a Corporate Peer Challenge** |
| | | | | | | | **Independent assurance on Internal Audit from a Peer Review every 5 years** |

| Ref | Risk | Risk Assessment | | Owner | First line (more knowledge, less independence) Identifying risks and improvement actions; implementing controls; reporting on progress; management assurance | Second line (more objective, but not wholly independent) Designing policies; setting direction, ensuring compliance; assurance oversight | Third line (objective and independent) Independent challenge; audit; reporting on assurance |
|---|---|---|---|---|---|---|---|
| | | Inherent | Residual | | Service Based Management Controls | Corporate and Management Oversight | Independent and Objective |
| CRR0003 | Budget reductions required do not leave enough budget to deliver statutory services and to achieve balanced budget leading to a failure in legal duty (Strategic) | 16 | 9 | Julie Murphy | Budget monitoring embedded which pro-actively highlights financial challenges | Medium Term Financial Strategy updated bi-annually and approved by Cabinet and Council | Regular reports to Wider Leadership, Cabinet, Overview and Scrutiny and Council on budget position locally and nationally |
| | | | | | Treasury Management Policy embedded and adhered to | Corporate Plan established which provides strategic direction for services | s151 Officer Report presented to Council annually prior to budget setting |
| | | | | | Risk Management Strategy embedded and supports all decision making | Organisational Development Strategy in place which aligns strategy, people and processes | External audit financial resilience assessment |
| | | | | | | Corporate approach to addressing budget challenges (offices and Members working together) | |
| CRR0004 | Ineffective financial management and resilience leads to the Council significantly overspending the annual budget (Strategic) | 16 | 6 | Julie Murphy | Budget monitoring embedded which pro-actively highlights financial challenges | Medium Term Financial Strategy updated every 6 months and approved by Cabinet and Council | Regular reports to Wider Leadership, Cabinet, Overview and Scrutiny and Council on budget position locally and nationally |
| | | | | | Treasury Management Policy embedded and adhered to | Corporate Plan established which provides strategic direction for services | s151 Officer Report presented to Council annually prior to budget setting |
| | | | | | Risk Management Strategy embedded and supports all decision making | Organisational Development Strategy in place which aligns strategy, people and processes | External audit financial resilience assessment |
| | | | | | | Corporate approach to addressing budget challenges (offices and Members working together) | Internal Audit reviews of systems, processes and controls |
| CRR0007 | Risk of a breakdown in community stability (Operational) | 16 | 12 | Mark Widdup | Extensive partnerships developed and maintained enabling networking and intelligence sharing, e.g. active citizens and multi-faith forums | Consequence Management Group established and provides early intervention on community tensions and develop cohesion and diversionary activities | Police neighbourhood surveys reported to the Rochdale Safer Communities Partnership (RSCP) |
| | | | | | Cohesion Hub and Consequence Management process in place | Community Cohesion Pledge signed by elected Members and Community Representatives | Hate crime reports to RSCP for schools and communities |
| | | | | | Weekly tension monitoring and trigger plans in place | Joint working with Greater Manchester authorities to monitor and mitigate risks | |
| CRR0010 | Failure to take opportunities for growth leading to a lack of investment in the Borough and lower levels of regeneration and prosperity (Operational) | 16 | 9 | John Searle | Programme/ project management principles are applied consistently | Medium Term Financial Plan is comprehensive and regularly updated | Oversight and challenge of major projects and decisions by Corporate Overview and Scrutiny Committee |
| | | | | | Risk Management Strategy embedded and supports all decision making | Asset Management Plan is established, monitored and regularly updated | Independent assurance provided by Internal Audit |
| | | | | | Maximise opportunities for good news | | Advice and assurance provided through both Rochdale Development Agency and procured independent specialist commercial and legal advice |
| | | | | | Early warning protocol agreed for identifying potential bad news | | |
| CRR0005 | Failure of, or lack of compliance with, health and safety systems leads to harm to an individual and a corporate manslaughter/ homicide conviction (Compliance/ Legal) | 12 | 8 | Neil Thornton | Learning and development provided to whole workforce, primarily through e-learning | Corporate Health and Safety Policy is clear, understood and being followed | Independent assurance provided by Internal Audit |
| | | | | | In house team of Health and Safety Advisers who link into the Central Health and Safety Committee | Comprehensive health and well-being policies in place and adhered to | |
| | | | | | Liaison with Health and Safety Executive to ensure risk and issues highlighted and addressed | | |
| | | | | | Risk Management Strategy embedded and supports all decision making | | |
| | | | | | Member training regularly updated, fully attended and understood | | |
| CRR0006 | Risk that Council and Devolution Manchester priorities are not fully aligned - (Operational) | 12 | 8 | Steve Rumbelow | Officer representation on working groups dealing with CA/AGMA/Devolution issues as appropriate | Chief Executive is a member of AGMA WLT (Meeting of GM Chief Executives) | Elected members from Rochdale BC sit on Scrutiny Panel |

| Ref | Risk | Risk Assessment | | Owner | First line<br>(more knowledge, less independence)<br>Identifying risks and improvement actions; implementing controls; reporting on progress; management assurance | Second line<br>(more objective, but not wholly independent)<br>Designing policies; setting direction, ensuring compliance; assurance oversight | Third line<br>(objective and independent)<br>Independent challenge; audit; reporting on assurance |
|---|---|---|---|---|---|---|---|
| | | Inherent | Residual | | Service Based Management Controls | Corporate and Management Oversight | Independent and Objective |
| | | | | | | **Leader is a member of formally constituted GM Combined Authority with other Council Leaders and Mayor** | |
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| | | | | | **Level of Assurance** | 1st and 2nd lines of defence<br>(process based assessment) | 3rd line of defence<br>(results based assessment) |
| | | | | | | **SUBSTANTIAL** - Controls in place assessed as adequate/ effective and in proportion to the risks | **SUBSTANTIAL** - Mainly positive results, many strengths, minor recommendations for improvement |
| | | | | | | **ADEQUATE** - some areas of concern over the adequacy/ effectiveness of the controls in proportion to the risks | **ADEQUATE -** Mixed results, some areas of concern and areas for improvement, some positive results and some strengths |
| | | | | | | **LIMITED** - Significant concerns over the adequacy/ effectiveness of the controls in proportion to the risks | **LIMITED** - Overall negative results and areas of concern, requiring action and improvement |
| | | | | | | Not applicable or not in place yet | Not applicable or not in place yet |