

Stage 1 - Identify Sources of Assurance

# Stockport MBC Assurance Map

ASSURANCE PROVIDERS			ASSESSMENT OF PROVIDERS	
Business Management (First Line of Defence)	Corporate Oversight (Second Line of Defence)		Independent Assurance (Third Line of Defence)	
Identifying risks and improvement actions. Implementing controls. Reporting on progress. Management Assurance.	Designing policies. Setting direction. Ensuring compliance. Assurance Oversight.		Independent challenge. Reporting on assurance.	
Strategic & Business Plan Performance Management Operating Standards & Reviews Financial Management & Reporting Management accountability & Reporting Management assurance (self assessment) Project Management processes Business Change process	Strategy & Policy Governance Structures Finance Compliance reviews HR Policy Contract management Procurement policy Quality reviews IT systems Health & safety compliance Risk Management assurance	Internal Audit External regulators Partners External Audit	Evidence Available	Does assurance form an opinion? Does Audit Committee rely on assurance? Is level of assurance adequate?

Risk	Risk Ref	Risk Category	Risk Owner - Exec Director	Risk Owner - SMT Member	Strategic Objective/Priority														
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CR0001. <b>Change Management.</b> Organisational cultures and other barriers impact on ability to manage and implement change effectively.	CR0001	Medium	Corporate Leadership Team	Holly Rae/Gill Lawton/Rachel Cobley	8	X	X	X	X	X	X	X	X	X	X	X	X	X	X
CR0002. <b>Financial.</b> Failure to deliver MTFP (savings targets and balanced budget).	CR0002	High	Michael Cullen	Jonathan Davies	1, 2, 3, 4, 5, 6, 7, and 8		X	X	X	X		X	X	X		X		X	
CR0003. <b>Cyber Risk.</b> Significant loss of service to residents as well as financial, reputational and possible regulatory impacts.	CR0003	Medium	Michael Cullen	Adrian Davies	7	X		X	X	X	X		X	X	X	X			
CR0004. <b>Demand Pressures.</b> Inability to influence behaviour change resulting in demand and expectations continue to rise.	CR0004	High	Corporate Leadership Team	Corporate Leadership Team	1, 2, 3, 4, 5, 6, and 8	X	X	X		X	X	X		X					
CR0005. <b>Supplier and partner risk.</b> Key suppliers and partners to significant projects and services may be unable to deliver on behalf of the Council.	CR0005	Medium	Corporate Leadership Team	Corporate Leadership Team	1, 2, 3, 4, and 6		X	X	X	X	X	X	X	X	X	X	X		X
CR0006. <b>Information Governance.</b> Failure to protect the Council's information assets including personal and sensitive personal data and other confidential data.	CR0006	Medium	Michael Cullen	Karen Lane	1,2,3,4,5,6,7,8,9 and 10	X	X	X	X	X	X	X	X	X	X	X	X		X
CR0007. <b>Adult Social Care (ASC) Change &amp; Transformation and Continuous Improvement programme.</b> The programme is in place to ensure that the service is able to continually improve.	CR0007	High	Chris McLoughlin	Sarah Dillon/Emma Bowe	4, 8	X	X		X	X		X	X	X	X	X	X		X
CR0008. <b>Stockport Family Integration (transformation programme).</b> Financial resources and capacity are insufficient to deliver the strategic change programme and associated benefits to required timescales.	CR0008	High	Chris McLoughlin	Carolyn Anderson	4, 8		X		X	X		X	X	X	X	X	X		
CR009A. <b>School Places.</b> Commissioning of school places in a challenging financial and legislative landscape, leading to an insufficient supply of school places across the Borough and significant deterioration of the condition of some school buildings.	CR009	Medium	Michael Cullen/Chris McLoughlin/Tim Bowman	Michael Cullen/Chris McLoughlin/Caroline Simpson/Tim Bowman/Geraldine Gerrard/Bev Milway/James Kington	2, 8	X	X	X		X		X	X	X		X		X	
CR009B. <b>Condition of School Estate.</b> The quality of the school estate is deteriorating and there is a backlog of urgent condition repairs.	CR009A	Medium	Michael Cullen/Chris McLoughlin/James Kington	Caroline Simpson/Chris McLoughlin/Michael Cullen/James Kington	2, 8	X		X	X	X		X	X		X		X	X	
CR0010. <b>Safeguarding.</b> Failure of safeguarding arrangements for children and vulnerable adults.	CR0010	High	Chris McLoughlin	Nuala O'Rourke/David Eekersley	4	X	X		X	X		X	X	X	X	X	X	X	
CR0011. <b>Delivering growth.</b> Failure to deliver sustainable key strategic, regeneration and capital investment programmes.	CR0011	Medium	Paul Richards	Paul Richards/Robert Goulsbra	1, 8	X	X	X	X	X	X		X	X	X		X	X	



Stage 2 - Assess Sources of Assurance				Assurance Providers			Assessment				
				Management - First Line	Oversight - Second Line	Independent - Third Line	Control Rating	Assurance Sufficient?	Improvement Actions		
Risk	Risk Owner	Strategic Objective/Priority	Controls/Level of Assurance				Substantial or Adequate				
CR0001 Change Management. Organizational cultures and other barriers impact on ability to manage and implement change effectively.	Corporate Leadership Team	8	Risk Management Strategy	Local Code	Corporate Governance Group	Annual Governance Statement	High	Substantial			
			Scheme of Delegation	Self Assessment	HR/Automated Controls	Internal Audit	Medium	Adequate			
			Contract Procedure Rules	Constitution	Control self assessment by STAR	Internal Audit	Medium	Adequate			
			Codes of Conduct for Officers/Members	Constitution	HR / Democratic services	Internal Audit	Medium	Adequate			
			Development of our council transformation programme, across four key areas	Policy team oversight	CLT	Internal Audit and Risk	Medium	Adequate			
CR0002 Financial. Failure to deliver MTFP (savings targets and balanced budget).	Michael Cullen	1, 2, 3, 4, 5, 6, 7, and 8	Budget monitoring	Medium Term Financial Strategy	Member Scrutiny	Internal Audit	Medium	Adequate			
			Treasury & Risk Management	TM Strategy	Quarterly PPR reports	Risk Management	High	Substantial			
CR0003 Cyber Risk. Significant loss of service to residents as well as financial, reputational and possible regulatory impacts.	Michael Cullen	7	Technical network. Annual DPO Assurance Report. Dedicated Cyber Manager. Quarterly Cyber Security Report.	SIRO Board	Dedicated Cyber Manager	Project Boards	Medium	Adequate			
CR0004 Demand Pressures. Inability to influence behaviour change resulting in demand and expectations continue to rise.	Corporate Leadership Team	1, 2, 3, 4, 5, 6, and 8	AGMA/Membership of External Bodies	Quarterly PPR reports	Member Scrutiny		Medium	Adequate			
CR0005 Supplier and partner risk. Key suppliers and partners to significant projects and services may be unable to deliver on behalf of the Council.	Corporate Leadership Team	1, 2, 3, 4, and 6	Budget monitoring	Medium Term Financial Strategy	Member Scrutiny		High	Substantial			
			Treasury Management	Contract Procedure Rules	STAR		High	Substantial			
			Risk Management Strategy	Contract Management	Corporate Governance Group		High	Adequate			
CR0006 Information Governance. Failure to protect the Council's information assets including personal and sensitive personal data and other confidential data.	Michael Cullen	1, 2, 3, 4, 5, 6, 7, 8, 9 and 10	Programme/Project Management	IG toolkit & policies	Training programme	IG Risk Board & SIGI Panel	High	Adequate			
				AGS	Corporate Governance Group		High	Adequate			
CR0007 Adult Social Care (ASC) Change & Transformation and Continuous Improvement programme. The programme is in place to ensure that the service is able to continually improve.	Chris McLoughlin	4, 8	Programme/Project Management	Project Board	AGS	MTFP	Corporate Governance Group	Internal Audit & Risk	Low	No	
CR0008 Stockport Family Integration (transformation programme). Financial resources and capacity are insufficient to deliver the strategic change programme and associated benefits to required timescales.	Chris McLoughlin	4, 8	Communication, consultation and engagement processes	Project Board	AGS	MTFP	Corporate Governance Group	Internal Audit & Risk	Osted Inspection	Low	No
			Change management processes								
CR0009A School Places. Commissioning of school places in a challenging financial and legislative landscape, leading to an insufficient supply of school places across the Borough and significant deterioration of the condition of some school buildings.	Michael Cullen/Chris McLoughlin/Tim Bowman	2, 8	Programme/Project Management	Corporate Leadership Team	Member Scrutiny				High	Substantial	
CR0009B Condition of School Estate. The quality of the school estate is deteriorating and there is a backlog of urgent condition repairs.	Michael Cullen/Chris McLoughlin/James Kington	2, 8	Programme/Project Management	Corporate Leadership Team	Project Board/Estates	Risk Management			Low	Adequate	
CR0010 Safeguarding. Failure of safeguarding arrangements for children and vulnerable adults.	Chris McLoughlin	4	Scrutiny review Members	Policies & Procedures	Safeguarding Board	Ofsted			Medium	Adequate	
CR0011 Delivering growth. Failure to deliver sustainable key strategic, regeneration and capital investment programmes.	Paul Richards	1, 8	Programme/Project Management	Corporate Leadership Team	Project Board	Risk Management			Medium	Adequate	
CR0012 Climate Emergency. The Council declared a Climate Emergency in March 2019.	Caroline Simpson/Mark Glynn	10	Change management processes/CAN Policy	Corporate Leadership Team	Member Scrutiny				Low	No	Management actions in development including additions to procurement regime
CR0013A Civil Contingencies/National emergencies. Any national or local issue that impacts on the residents and services in the Borough.	Corporate Leadership Team (CLT)	4	GM Programme	Corporate Leadership Team/GM Programme Controls	Service Objectives	Risk Management			Medium	Adequate	

CR0013B. Business Continuity. Any national or local issue that impacts on the Council's ability to deliver services.	Corporate Leadership Team (CLT)	4	Project/Programme Management	Business Continuity Plans	Annual Assurance Report	Risk Management	Medium	Adequate
CR0014. Workforce • Recruitment in key areas struggling to attract sufficient suitable applicants and CPD data projecting 2 in 4 organisations will have even more significant recruitment issues in the next six months	CLT/ Jennie Neill	5	Project/Programme Management Recruitment Procedures	Corporate Leadership Team	Workforce Development Group One People Plan	Risk Management	Medium	Adequate Improved data, consultancy support on understanding gaps, increased resource inputs
CR0015. Integrated Care System Triple aim - better health for everyone, better care for all and efficient use of health and care resources	CLT/ Kathryn Rees	4, 8, 9	Programme/ Project Management Integrated Care Board	AGS	CLT	Member Scrutiny	Medium	No Governance arrangements still to be fully embedded

## Council Plan 2024-27



		Priority No.
Ambition 1	Investment, regeneration and creating jobs	1
Ambition 2	Education, Work and Skills	2
Ambition 3	Wellbeing in neighbourhoods	3
Ambition 4	Delivering for those who need it most	4
Enabler 1	Workforce	5
Enabler 2	Working with others	6
Enabler 3	Radically Digital Stockport	7
Enabler 4	Delivering change and spending wisely	8
Cross Cutting theme 1	Fair & Inclusive Stockport	9
Cross cutting theme 2	Climate Action	10