

# 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	8	X	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	Kathryn Rees	Jonathan Davies	1, 2, 3, 4, 5, 6, 7, and 8		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	Kathryn Rees	Adrian Davies/Dave Butler	7	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	
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	Kathryn Rees/Vicki Bates	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>Children's and Education.</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	X	
CR0009A. <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.	CR0009	Medium	Chris McLoughlin	Chris McLoughlin/Tim Bowman/Geraldine Gerard/James Kington	2, 8	X	X	X		X		X	X		X	X	X			X	
CR0009B. <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	Chris McLoughlin	Tim Bowman/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	Eleanor Hurst/Julia Newton	4	X	X		X	X	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	Jude Barker/Robert Goulsbra	1, 8	X	X	X	X	X	X	X		X	X	X	X			X	X
CR0012. <b>Climate Emergency.</b> The Council declared a Climate Emergency in March 2019.	CR0012	High	Mark Glynn	Mark Glynn/Nick Leslie	10	X	X	X	X	X	X	X		X	X		X			X	



Stage 2 – Assess Sources of Assurance				Assurance Providers			Assessment		
Risk	Risk Owner	Strategic Objective/Priority	Controls/Level of Assurance	Management - First Line	Oversight - Second Line	Independent - Third Line	Control Rating	Assurance sufficient?	Improvement Actions
									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 Scheme of Delegation Contract Procedure Rules Codes of Conduct for Officers/Members Development of our council transformation programme, across four key areas	Local Code of Governance Self Assessment Constitution Constitution	Corporate Governance Group/CLT HR/Automated Controls Control self assessment by STAR HR / Democratic services	Annual Governance Statement Internal Audit Internal Audit Internal Audit	High Medium Medium Medium	Substantial Adequate Adequate Adequate	
CR0002. Financial. Failure to deliver MTFP (savings targets and balanced budget).	Kathryn Rees	1, 2, 3, 4, 5, 6, 7, and 8	Budget monitoring Treasury & Risk Management	Medium Term Financial Strategy TM Strategy	Member Scrutiny Quarterly PPR reports	Internal Audit Risk Management	Medium High	Adequate Substantial	
CR0003. Cyber Risk. Significant loss of service to residents as well as financial, reputational and possible regulatory impacts.	Kathryn Rees	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 Treasury Management Risk Management Strategy	Medium Term Financial Strategy Contract Procedure Rules Contract Management	Member Scrutiny STAR Corporate Governance Group		High High High	Substantial Substantial Adequate	
CR0006. Information Governance. Failure to protect the Council's information assets including personal and sensitive personal data and other confidential data.	Kathryn Rees/Vicki Bates	1,2,3,4,5,6,7,8,9 and 10	Programme/Project Management	IG toolkit & policies AGS	Training programme Corporate Governance Group	IG Risk Board & SIGI Panel	High High	Adequate 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. Children's and Education. 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 Change management processes	Project Board	AGS MTFP Corporate Governance Group	Internal Audit & Risk Osted Inspection	Low	No	
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.	Chris McLoughlin	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.	Chris McLoughlin	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.	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, development and retention.	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 – Health and Care Bill (June 2023). 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
CR0016 Property Risk. Loss of property causes operational loss of use, financial or reputational damage to the Council.	CLT/James Kington	1, 3	Capital Board	Project Board	CLT	Member Scrutiny	Medium	Adequate	
CR0017 DSG Funding. DSG deficit is forecast to be cumulative @£40M by the end of 2024/25 financial year.	Tim Bowman	2,4	Finance	Policies & Procedures	CLT	Member Scrutiny	Medium	Adequate	Statutory Override

## 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