Annex 4

Summary Assurance Map - March 2020

Low Assurance
Medium Assurance
High Assurance
No Assurance Information

	Audits	Inherent Risk	Level 1 - Management Assurance: SMAS									Level 1 - Management Assurance: Risk Register										Level 2 - Independent Assurance: Existing Internal Audit Assurance									Level 2 - Independent Assurance: Wider Assurance									Audit Need
		Inherent Risk	Economic Development	Education & Lifelong Learning	Governance & Legal Services	People and Communities	Planning, Transport & Environment	Resources	Social Services	Street Scene	SMAS Summary	Corporate Risk Register	Economic Development	Education & Lifelong Learning	Governance & Legal Services	People and Communities	Planning, Transport & Environment	Resources	Social Services	Street Scene	Directorate Summary	Economic Development	Education & Lifelong Learning	Governance & Legal Services	People and Communities	Planning, Transport & Environment	Resources	Social Services	Street Scene	Directorate Summary	Economic Development	Education & Lifelong Learning	Governance & Legal Services	People and Communities	Planning, Transport & Environment	Resources	Social Services	Street Scene	Directorate Summary	Audit Needs Assessment
Fundamental Systems	Fundamental - Core System																																						
	Asset Management	R	G	A	G	G	A	G	G	A	A	A	A	A		A	A	A			A		A	G			A			A										A
	Commissioning and Procurement	R					A				A																	A	R	A										A
	Council Tax	R																									A			A										R
	Creditors	R						G			G											A	A	A	A	A	A	A	A	A										R
	Housing Rents	A										A				A					A				G				G											A
	Income and Debtors	R																				A	R	A	A	A	A	A	A	A										R
	Income Management	R								A		R	A			A					A	A	R	A	A	A	A	A	R	A										R
	Housing Benefits / LHA / CTRS	R										A									A				A					A										R
	Main Accounting	R																A			A						G			G						A			A	A
	NNDR	R																									G			G										A
	Payroll	R																									A			A										R
	Pensions and investments	R																A			A						A			A						A			A	R
	Stores	R														A					A	A				A	A			A										A
	Treasury Management	R																A			A						G			G						G			G	A
	IT Governance / Security	R										A						A			A						A			A						A			A	A
	Fundamental - Ad Hoc																																						
	Housing rent arrears	A										R				A					R				A					A										A
	Mileage and subsistence	A																				A	A	G	G	A	G	A	A	A										A
	Purchasing cards	A																				A	A	G	G	A	G	A	A	A										A
	Agency Managed Service	A							A		A	A							A		A							A	A	A										A
Governance Functions	Corporate Governance																																						
	Ethics and values	R			G					A	A											A	A	A	A	A	A	A	R	A										A
	Information governance	R			A			G			G	A						A	A		A		A				A			A						A			A	R
	Performance management	R	G	R	A	G	A	G	A	R	A	A	A	A	A	A	A	A	A	A	A									A									A	R
	Risk management arrangements	R	G	G	G	G	A	G	A	R	A											A	A	A	G	A	G	A	A	A										R
	Delegated Decision Making	R		A						A										A	A									A										A
	Programmes and projects	R	G	G	A	G	A	G	G	A	A	A	A	A		A	A	A			A						G			A										A
	Value for Money	R		A			A		A	R	R																	A	A	A										R
	Scrutiny / Oversight Functions	A																						G						G			A						A	A
	Health and Safety	R	A	A							A	A	A			A			A		A	A	A	G	G	G	G	A	R	A				A		A				A
	Future Generations	R	A	A	A	A	A	A	A	R	A																			R									A	R
	Safeguarding	R												R					A		A	A	A	A	A	A	A	A	A	A							A		A	A
	Decision Making	A	G	G	A	G	G	G	G	R	A									A	A	A	A	A	A	A	A	A	A	A										A
	Governance	R	G	A	A	G	A	G	A	R	A											A	A	G		A	A	G	A	A										R
	Insurance	R																									A			A										R
	Partnerships and collaborative governance	R	G	A	A	A	G	G	G	R	A	A	A	A			A		A	A	A	A	A	A	A	A	A	A	A	A										A
	Other Assurance																																						
	Business Continuity & Emergency Management	R		R				A				A	A				A		A		A									A										A
	Contract Variations	R																												A										A
	IT Progammes / Projects	R																									A			A										A
	Financial Resilience	R										R		A	A	A					R						A			A						A			A	A
	Payment Card Security - Data Security Standards (PCI -DSS)	R																									A			A									R	R
	Contract Audit	R																												A										R
	Taxation	R																		R	R								R	R									A	R
	National Fraud Initiative / Fraud	R		A						R	R	A						A												A										A
	SOP	R		A							A	A		A							A		A							A										R