

Appendix 3 – Assurance Mapping

		Assurance Providers				Assessment		
		Service Management (First Line) Identifying risks and improvement actions. Implementing controls. Reporting on Progress. Management Assurance	Corporate Management (Second Line) Designing policies. Setting direction. Ensuring compliance. Assurance Oversight	Independent Assurance (Third Line) Independent Challenge, audit. Reporting on Assurance. Audit of Assurance providers. Organisational level assurance.		Control RAG Rating (see key)	Assurance Sufficient? Y/N	Improvement Actions
Risk Ref	Risk			Internal Audit	Other Independent Sources of Assurance			
1	Financial stability	Medium Term Financial Strategy Budget Setting Budget Monitoring General Ledger Procurement systems Strategic Partner Selection Savings Plans	Budget Reports MTFS Budget Monitoring Financial Procedure Rules	Income Management Treasury Management Write-Offs Payroll Fraud Risk Assessment	External Audit	Amber - 15	Y	
8	Inability to influence key decision makers	Community Strategy Local Plan Delivery	Member Complaints Officer Member Protocol LEP Role	Annual Governance Statement		Amber - 12	Y	
10	Workforce, skills and capacity challenges	Organisational Development Strategy PDR's & Job Chat's Training Budget Spend	PDR Completion Internal liP Review	Green Spaces & Amenities Asset Control	liP Accreditation	Amber - 12	Y	
5	Changes in national policy/legislation	Strategic Plan Service Plans	Committee Reports on Required Changes Monitoring Office Consultation Strategy and Policy updates and Reviews LEP Role	Annual Governance Statement		Amber - 9	Y	
6	Inability to deliver the regeneration programme	Project Management Budget Monitoring	Local Plan Town Centre Masterplan		Independent Consultant Reviews Planning Inspector Reviews	Amber - 9	Y	
7	Inability to drive improvements through information technology	IT Strategy IT Spend Monitoring IT Procurement control PCIDSS Assessments	Change Control IT Satisfaction PSN requirements IT Policies	Website	Penetration Testing PSN Accreditation	Amber - 8	Y	
9	Risks in responding to changes in demographics and increased deprivation	Strategic Plan Monitoring of Statistics - ONS, LCC, DWP Welfare System Impact monitoring		Selective Licencing Assessment of Benefits		Amber - 8	Y	

Appendix 3 – Assurance Mapping

		Assurance Providers				Assessment		
		Service Management (First Line) Identifying risks and improvement actions. Implementing controls. Reporting on Progress. Management Assurance	Corporate Management (Second Line) Designing policies. Setting direction. Ensuring compliance. Assurance Oversight	Independent Assurance (Third Line) Independent Challenge, audit. Reporting on Assurance. Audit of Assurance providers. Organisational level assurance.		Control RAG Rating (see key)	Assurance Sufficient? Y/N	Improvement Actions
Risk Ref	Risk			Internal Audit	Other Independent Sources of Assurance			
2	Maintaining Partnership Performance	Project Management Partnerships Governance Arrangements Business Continuity Review	Contract Monitoring Complaints Process	Performance Indicator Audits		Low – 6	Y	
3	Damage to the Council’s reputation	Staff Satisfaction Surveys	Strategic Plan Delivery Reporting Staff PDRs and 121s. Citizen Panel Surveys Complaints Process	Charities Elections Annual Governance Statement	Mystery Shopper reviews	Low – 6	Y	
4	Changes in the political landscape	Strategic Plan Community Plan Service Plans	Member Complaints Officer /Member Protocol	Annual Governance Statement		Low – 6	Y	
11	Malicious Attack	Business Continuity Plans Emergency Plan Testing IT Security Controls	Emergency Plan Business Continue Policy IT Policies	Website		Low – 5	Y	
12	Safeguarding Failure	Safeguarding training Safeguarding Awareness DBS Checking	Safeguarding Policy Safeguarding Structures/Responsibilities		DBS Checking	Low - 5	Y	
Key		RAG Rating on the effectiveness of controls from assurance work undertaken						
Red	High	Significant concerns over the adequacy/effectiveness of the controls in place in proportion to the risks.						
Amber	Medium	Some areas of concern over the adequacy/effectiveness of controls in place in proportion to the risks.						
Green	Low	Controls in place assessed as adequate/effective and in proportion to the risks.						
White	Unknown	Insufficient information at present to judge the adequacy/effectiveness of controls						