

Internal Audit coverage

Strategic Risk Profile

Key Risk Area	2018/19 Audits / Opinions		2019/20 Audits / Opinions		2020/21 Audits / Opinions		2021/22 Audits / Opinions		2022/23 Audits / Opinions		Overall Opinion
More and better jobs											
More and better housing					Housing Service Governance Arrangements	M			Housing Regulatory Framework/HRA		
					Housing Regulatory Framework	M					
More local people with better qualifications and skills to enable them to participate in and benefit from a stronger economy											
A stronger City Centre with more businesses, housing and cultural opportunities											
A lower carbon City with greater digital connectivity for all							Programme Governance Arrangements - Smarter Cities		Programme Governance Arrangements - Smarter Cities		
									Carbon Reduction Plan		
Access to the same opportunities and life chances							Taxi Licensing	M			
More people living healthier longer lives							Public Health Grant	S	Health Protection Board		
									Homelessness	M	
People enjoying independent lives					Rollout of assistive technologies		Adults Safeguarding - MASH	M	Adult Social Care Recovery Arrangements		
					Adults Safeguarding - MASH		Financial Safeguarding - CPAT	S	Business Continuity Arrangements - Assistive Technologies		
					Blue Badges						
Cleaner and more attractive City and neighbourhoods			Environmental Services	M							
A City with great transport and travel links											
More creative and cultural businesses											
More residents participating in their communities											
More visitors visiting Sunderland and More residents participating in cultural events					Collections Management - Museums		Collections Management	M			
More people feel safe in their neighbourhoods and homes											
More resilient people											
Finance											See below
Partnership Working			Partnership Arrangements						Partnership Arrangements		

Corporate Risk Profile

Key Risk Area	2018/19 Audits / Opinions		2019/20 Audits / Opinions		2020/21 Audits / Opinions		2021/22 Audits / Opinions		2022/23 Audits/Opinions		Overall Opinion
Strategic Planning	Service/Business Planning	M							Partnership Arrangements		
	Derwent Hill	S									
Commissioning									Performance Monitoring within Public Health		
Service Delivery Arrangements	Liquid Logic including business processes		Licencing		Financial Safeguarding/CPAT		Financial Safeguarding/CPAT Communications	S	Delivery of Council Restructure		
	Derwent Hill	S	Development Control		Bereavement Services				Planning and Development Control	S	
			Environmental Services	M	Housing Service Governance Arrangements	M			Delivery of Port Business Plan		
			Delivery of Council Restructure	M	Housing Regulatory Framework	M			Highways Work Programme	S	

			Liquid Logic - Adults	S	Adults Safeguarding - MASH					
					Blue Badges					
Partnership /Integrated Working			Partnership Arrangements					Partnership Arrangements		
Procurement	Revenue Procurement	S	Revenue Procurement	S			Procurement Strategy	S	Revenue Procurement	
	Use of agency contract	M	Capital Procurement	M			Purchasing Cards	M		
	Catering consortium	M					Charging methodology - Highways	S		
							Use of agency framework	M		
Relationship/Contract Monitoring	Contract Management Arrangements for key contracts	S	Contract Monitoring SCAS	M						
	Contract Management - IAMP consultants	M	Contract Monitoring - Siglion	S						
			Contract Monitoring - Sunderland Homes							
Legality	Delegated Decision Making	M					Compliance with Operating Licence	L	Planning and Development Control	S
									Compliance with the Operating Licence	
									Delivery of Environmental Services Action Plan	
	Emergency Planning and Response	S							Compliance with the Operating Licence, Non Environmental Services	L
Risk Management	Derwent Hill	S							External Funding	
									Highways Work Programme	S
Corporate Performance Management	Performance Reporting - Data Quality	S	Performance Monitoring - City plan				Performance Monitoring - City Plan	S	Performance Management within Housing	
			Delivery of PEER Review Action Plan	S					Performance Management within Public Health	
Financial Management					Wave 3 Rocket Feasibility	S	BACS	S	Local Transport Capital Settlement - Highways Maintenance Needs	S
					Disabled Facilities Grant	S	Budget Management	S	Local Transport Capital Settlement - Integrated Transport	S
					Local Transport Capital Maintenance / Incentive Needs	S	Payroll	M	Local Transport Capital Settlement - Incentive Element	S
					Local Transport Integrated Transport	S	Accounts Payable	S	Nexus	S
	Financial Reporting Arrangements				Nexus	S	Local Transport Capital Settlement - Capital Maintenance	S	Pothole Action Fund	S
					Pothole	S	Local Transport Integrated Transport	S	Sunderland A1290 Safety Improvement Scheme Phase 2	S
					Cycling to Sunderland		Nexus	S	Disabled Facilities Grants	
	EFA Funding	S		S	Vaux Phase 1		Pothole Action Fund	S	Public Sector Decarbonisation	
	Local Transport Capital Settlement - Capital Maintenance	S	Treasury Management	S	Budget setting	S	Sunderland A1290 Safety Improvement Scheme Phase 1	S	Sustainable Mobility Hub	
	Local Transport Capital Settlement - Integrated Transport	S	BACS	S	Capital Asset Accounting	S	Disabled Facilities Grant	S	Riverside Sunderland Strategic Infrastructure Works	
	Nexus (Combined Authority)	S	Payroll		BACS	S	Disabled Facilities Grant - Additional Monies	S	Hillthorn Business Park Power Supply	
	Pothole Action Fund	S	Accounts Payable	M	Payroll	S	Cycleways	S	Green Homes Grant LA Decarbonisation	
	Sunderland A1290 Safety Improvement Scheme Phase 1	S	EFA Funding	S	Accounts Payable	S	Vaux Phase 1		Vaux LGF	
	Better Care Fund - DFG	S	Local Transport Capital Settlement - Capital Maintenance	S	COVID-19 Compliance and Enforcement Grant	S	SSTC3 Design and Development		SSTC 3 Design and Development	S
	Vaux Phase 1		Local Transport Capital Settlement - Integrated Transport (Combined Authority)	S			Travel Demand Management	S	External Funding	
	Tall Ships Cultural Programme	S	Nexus (Combined Authority)	S			Travel Demand Management - Top Up Monies	S	BACS	
	Local Transport Capital - National Productivity Investment Fund	S	Pothole Action Fund	S			Home to School/College Transport - Second Half of Spring Term	S	Payroll	
	A19 Ultra Low Carbon Enterprise Zone	S	Local Transport Capital Settlement - Incentive Element	S			Home to School/College Transport - Summer Term	S	Accounts Payable	
	External Funding	S	Better Care Fund - DFG	S			Home to School/College Transport - 2020/21 Academic Year	S	Benefits Overpayment and Recovery	S
	Building Maintenance Financial Management	L	Vaux Phase 1						The provision of project promotion and prevention of Better Mental Health Grant Funding	S
	Payroll	S	Northern Gateway	S					Additional Drug Treatment Crime and Harm Reduction Universal Compnent Grant Funding	S

								Test and Trace Support Payment Scheme Funding Grant Determination 31/5309	S	
								Test and Trace Support Payment Scheme Funding Grant Determination 31/5435	S	
								Test and Trace Support Payment Scheme Funding Grant Determination 31/5668	S	
								Test and Trace Support Payment Scheme Funding Grant Determination 31/5704	S	
	BACS	S	Local Transport Capital - Highway Maintenance	S				Test and Trace Support Payment Scheme Funding Grant Determination 31/5385	S	
	Accounts Payable	S	Liquid Logic including business processes	S				Test and Trace Support Payment Scheme Funding Grant Determination 31/5789	S	
								Test and Trace Support Payment Scheme Funding Grant Determination 31/6187	S	
								Test and Trace Support Payment Scheme Funding Grant Determination 31/6215	S	
								Test and Trace Contain Outbreak Management Fund Surge Funding 31/5075	S	
								Test and Trace Contain Outbreak Management Fund Surge Funding 31/5219	S	
								Test and Trace Contain Outbreak Management Fund Surge Funding 31/5244	S	
								Test and Trace Contain Outbreak Management Fund Surge Funding 31/5304	S	
								Test and Trace Contain Outbreak Management Fund Surge Funding 31/5341	S	
								Test and Trace Contain Outbreak Management Fund Surge Funding 31/5411	S	
								Test and Trace Contain Outbreak Management Fund Surge Funding 31/5183	S	
								Test and Trace Contain Outbreak Management Fund Surge Funding 31/5456	S	
	Liquid Logic including business processes		Pothole Action Fund - Additional Monies	S				Test and Trace Contain Outbreak Management Fund Surge Funding 31/5518	S	
	Derwent Hill	S								
Income Collection (including CR/NNDR)	Cash Receipting	S	Cash Receipting, compliance	S	Business Rates Recovery		Business Rates Recovery	S	Income Collection	
	Accounts Receivable/Periodic Income	S	Council Tax Setting and Billing	S	Business Rates Valuation	S	Council Tax Recovery	S	Accounts Receivable	
	Derwent Hill	S	Accounts Receivable - Recovery	S	Council Tax Valuation	S	Accounts Receivable Recovery and PI	M	Land Charges	
			Council Tax Liability	S	Council Tax Recovery		Housing Rent Collection	M		
			Business Rates setting and billing	S	Accounts Receivable Recovery	S	Income Collection	S		
			Business Rates Liability	S	Cash Receipting	S				
Capital Programme Management	Benefits Realisation		Project Management Benefits Realisation, including capital funding	M						
HR Management	Human Resource Management - updated SAP procedures		HR - SAP Optimisation		Recruitment and Selection		Recruitment and Selection	M	Human Resource Case Management	
	Apprenticeships	S	Port - Effectiveness of Restructure							
			Communications re organisational change	S						
Health and Safety	Corporate Health and Safety Arrangements	M							Port Health and Safety	

ICT Infrastructure	Externally hosted systems	M			ICT Disaster Recovery and Business Continuity		ICT Disaster Recover / Business Continuity	L			
	Intrusion prevention and incident management	M	ICT Asset management	M							
Cyber Security	Intrusion prevention and incident management	M	Cyber Security	M	Cyber Security	M	Cyber Security	M	Cyber Security		
			Mobile Device Management	S					Information Security		
Information Governance/Security	General Data Protection Regulation - Compliance	M	GDPR	M	GDPR	M	GDPR	M	GDPR		
									Information Security		
	Derwent Hill	S			Civica Upgrade				Archived Records Management		
Business Continuity Management			Update of Directorate plans re new structures	M			Corporate Business Continuity Arrangements	M	Business Continuity Arrangements Arrangements - Assistive Technologies		
									Resilience of Port Management Structure		
Programme/Project Management	Benefits Realisation		Project Management Benefits Realisation, including capital funding	M	ICT Disaster Recovery and Business Continuity		Programme Governance Arrangements - Smarter Cities		Programme Governance Arrangements - Smarter Cities		
Asset Management					Collections Management - Museums		Housing Asset Management	M	Corporate Asset Management Strategy and Compliance		
							Collections Management	M			
Anti Fraud and Corruption	Building Maintenance Financial Management	L	Payroll compliance Testing		Transaction Testing NFI	S	BACS	S	BACS		
	Revenue Procurement	S	BACS compliance testing	S	Blue Badges		Purchasing Cards	M	Income Collection		
	Use of Agency Contract	M	Cash Receipting	S	Mileage Claims	S	Income Collection	S	Accounts Receivable		
	Payroll compliance testing	S	AR Recovery	S	Testing on grants issued re Covid-19	S	Accounts Receivable Recovery and PI	M	Accounts Payable		
	BACS	S	ICT Asset Management	M	BACS	S	Accounts Payable	S	Land Charges		
	Accounts Payable	S	Council Tax Setting and Billing	S	Cash Receipting	S	Business Rates Recovery	S	Benefits Overpayment and Recovery	S	
	Cash Receipting	S	Council Tax Liability	S	Accounts Receivable Recovery	S	Council Tax Recovery	S	Revenue Procurement		
	Accounts Receivable/Periodic Income	S	Accounts Payable	M	Accounts Payable	S	Housing Rent Collection	M	Payroll		
	Derwent Hill	S									
	Refuse Collection	S									
Schools	14 schools in the plan, 15 completed to date. 12 Substantial, 2 Moderate, 1 limited	S	23 schools in the plan. 21 complete to date. 17 Substantial, 4 Moderate	S	23 schools in the plan, 10 complete to date. 9 substantial, 1 moderate	S	20 schools in the plan, 20 complete to date. 18 substantial, 1 Moderate, 1 Limited	S	19 schools in the plan, 8 complete to date. 6 substantial, 1 moderate, 1 limited	S	
Sunderland Care and Support	Unit Costing		Risk and Assurance Framework		Risk and Assurance Framework	S	Compliance with Financial Procedures in establishments	S	Compliance with Financial Procedures in Establishments		
	Risk and Assurance Framework		DPO Checks	S	DPO checks	S	ICT Security within establishments	S	Business Continuity Arrangements Arrangements		
	Information Governance/GDPR	M	Unit Costing		Security of service users cash in transit	S	DPO Checks	S	DPO Checks		
	Compliance with Financial Procedures in Establishments	M	Compliance with financial procedures in establishments	S	Compliance with financial procedures in establishments		Workforce planning, resilience and wellbeing		Workforce planning, resilience and wellbeing		
			Business Continuity (Telecare)	L	Collection of rental income	M			Transport Arrangements		
			Recruitment and DBS Checks	S	Workforce planning and resilience						
Together for Children	Troubled Families Grant Claim	S	Troubled Families Grant Claim	S	Troubled Families Grant Claim	S	Troubled Families Grant Claim	S	Troubled Families Grant Claim		
	Budget Monitoring	S	Schools Financial Support Service	S	Administration Support Services	S	Staff Wellbeing		Business Continuity Planning		
	HR management / recruitment / agency workers / performance	S	Performance Management - Data Quality	S	Complaints Procedure		Next Steps		Holiday and Activity Fund		
	Information Governance/GDPR	L	Purchase cards	M	Information Governance/GDPR		Nook Lodge - Compliance with Financial Procedures in Establishments	S	Interrupted Educational Pathways		
	Next Steps	S	Achievement of cost savings		HR Case Management	S	Procurement of Independent Providers - Residential	M	National Assessment and Accreditation System Grant Claim	S	
	Compliance with Financial Procedures within Establishments	S	Legal services		SEND Financial Framework	S	Counter Fraud	M	GDPR		
			Designated Officer	S			National Assesment and Accreditation System Grant Claim	S	Staff Wellbeing	S	
	Liquid logic		Liquid logic	M	Purchase Cards	M					
Siglion LLP			Governance Arrangements	M	Contract/relationship management		Financial Management	S	GDPR		
					Performance Management		Contract/relationship management	M	Risk Management Arrangements		
					Procurement	M	Disposal of property		Project Management Arrangements		

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