

Internal Audit coverage

Strategic Risk Profile

Key Risk Area	2017/18 Audits / Opinions	2018/19 Audits / Opinions	2019/20 Audits / Opinions	2020/21 Audits / Opinions	2021/22 Audits / Opinions	Overall Opinion
More and better jobs						
More and better housing					Housing Service Governance Arrangements M 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
Access to the same opportunities and life chances						Taxi Licensing
More people living healthier longer lives						Public Health Grant S
People enjoying independent lives	Assessment and Management of Personal Budgets S				Rollout of assistive technologies	Adults Safeguarding - MASH
					Adults Safeguarding - MASH	Financial Safeguarding - CPAT S
					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	Provision for significant financial liabilities S					
Partnership Working			Partnership Arrangements			

Corporate Risk Profile

Key Risk Area	2017/18 Audits / Opinions	2018/19 Audits / Opinions	2019/20 Audits / Opinions	2020/21 Audits / Opinions	2021/22 Audits / Opinions	Overall Opinion
Strategic Planning	Service/Business Planning	Service/Business Planning M				
	Service/Business Planning	Derwent Hill S				
Commissioning	Commissioning M					
Service Delivery Arrangements	Corporate Performance Management S	Liquid Logic including business processes	Licencing	Financial Safeguarding/CPAT	Financial Safeguarding/CPAT Communications S	
		Derwent Hill S	Development Control	Bereavement Services		
			Environmental Services M	Housing Service Governance Arrangements M		
			Delivery of Council Restructure M	Housing Regulatory Framework M		
			Liquid Logic - Adults S	Adults Safeguarding - MASH		
			Blue Badges			
Partnership /Integrated Working	Corporate Partnership Arrangements		Partnership Arrangements			
Procurement	Commissioning M	Revenue Procurement S	Revenue Procurement S		Procurement Strategy S	
	Revenue Procurement M	Use of agency contract M	Capital Procurement M		Purchasing Cards	
	Homecare Payments L	Catering consortium M			Charging methodology - Highways S	
					Use of agency framework M	

Relationship/Contract Monitoring	Contract Management - Public Health School Nursing Service	S	Contract Management Arrangements for key contracts	S	Contract Monitoring SCAS	M						
	Commissioning	M	Contract Management - IAMP consultants	M	Contract Monitoring - Siglion	S						
	Together for Children Contract Monitoring	S			Contract Monitoring - Sunderland Homes							
Legality			Delegated Decision Making	M					Compliance with Operating Licence			
			Emergency Planning and Response	S								
Risk Management			Derwent Hill	S								
Corporate Performance Management	Corporate Performance Management	S	Performance Reporting - Data Quality	S	Performance Monitoring - City plan				Performance Monitoring - City Plan			
					Delivery of PEER Review Action Plan	S						
Financial Management	Provision for significant financial liabilities	S					Wave 3 Rocket Feasibility	S	BACS	S		
							Disabled Facilities Grant	S	Budget Management	S		
									Local Transport Capital Maintenance / Incentive Needs	S	Payroll	
									Local Transport Integrated Transport	S	Accounts Payable	
	Budget Setting and Management			Financial Reporting Arrangements				Nexus	S	Local Transport Capital Settlement - Capital Maintenance	S	
								Pothole	S	Local Transport Integrated Transport	S	
								Cycling to Sunderland		Nexus	S	
	Budget Setting and Management			EFA Funding	S		S	Vaux Phase 1		Pothole Action Fund	S	
	Payroll compliance testing	S		Local Transport Capital Settlement - Capital Maintenance	S	Treasury Management	S	Budget setting	S	Sunderland A1290 Safety Improvement Scheme Phase 1	S	
	BACS Compliance testing	S		Local Transport Capital Settlement - Integrated Transport	S	BACS	S	Capital Asset Accounting	S	Disabled Facilities Grant	S	
	Housing Benefit Assessment	S		Nexus (Combined Authority)	S	Payroll		BACS	S	Disabled Facilities Grant - Additional Monies	S	
	Sport for Life Grant	S		Pothole Action Fund	S	Accounts Payable	M	Payroll	S	Cycleways	S	
	EFA Funding	S		Sunderland A1290 Safety Improvement Scheme Phase 1	S	EFA Funding	S	Accounts Payable	S	Vaux Phase 1		
	Local Transport Capital Settlement	S		Better Care Fund - DFG	S	Local Transport Capital Settlement - Capital Maintenance	S	COVID-19 Compliance and Enforcement Grant	S	SSTC3 Design and Development		
	Local Transport Integrated Transport	S		Vaux Phase 1		Local Transport Capital Settlement - Integrated Transport (Combined Authority)	S			Travel Demand Management	S	
	Nexus (Combined Authority)	S		Tall Ships Cultural Programme	S	Nexus (Combined Authority)	S			Travel Demand Management - Top Up Monies	S	
	Pothole Action Fund	S		Local Transport Capital - National Productivity Investment Fund	S	Pothole Action Fund	S			Home to School/College Transport - Second Half of Spring Term	S	
	City Centre Cycle Permeability Scheme	S		A19 Ultra Low Carbon Enterprise Zone	S	Local Transport Capital Settlement - Incentive Element	S			Home to School/College Transport - Summer Term	S	
	Disabled Facilities Grant	S		External Funding	S	Better Care Fund - DFG	S			Home to School/College Transport - 2020/21 Academic Year	S	
				Building Maintenance Financial Management	L	Vaux Phase 1						
				Payroll	S	Northern Gateway	S					
				BACS	S	Local Transport Capital - Highway Maintenance	S					
				Accounts Payable	S	Liquid Logic including business processes	S					
			Liquid Logic including business processes		Pothole Action Fund - Additional Monies	S						
			Derwent Hill	S								
Income Collection (including CR/NNDR)	Cash Receipting, collection of Council Tax, NNDR, AR and PI	S	Cash Receipting	S	Cash Receipting, compliance	S	Business Rates Recovery		Business Rates Recovery			
	Business Rate Recovery	S	Accounts Receivable/Periodic Income	S	Council Tax Setting and Billing	S	Business Rates Valuation	S	Council Tax Recovery			
	Council Tax Recovery	S	Derwent Hill	S	Accounts Receivable - Recovery	S	Council Tax Valuation	S	Accounts Receivable Recovery and PI			
	AR Recovery	S			Council Tax Liability	S	Council Tax Recovery		Housing Rent Collection			
						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	Workforce Planning and Apprenticeship Scheme		Human Resource Management - updated SAP procedures		HR - SAP Optimisation		Recruitment and Selection		Recruitment and Selection			
			Apprenticeships	S	Port - Effectiveness of Restructure							
					Communications re organisational change	S						
Health and Safety	Corporate Health and Safety Arrangements		Corporate Health and Safety Arrangements	M								
ICT Infrastructure	ICT Strategy and Infrastructure		Externally hosted systems	M			ICT Disaster Recovery and Business Continuity		ICT Disaster Recover / Business Continuity			

