Internal Audit coverage

Strategic Risk Profile

Key Risk Area	2017/18 Audits / Onions	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	М			
					Housing Regulatory Framework	М			
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							Programme Governance Arrangements -		
for all							Smarter Cities		
Access to the same									
opportunities and life							Taxi Licensing		
chances									
More people living healthier							Public Health Grant	S	
longer lives							T ublic Health Grant	3	
People enjoying	Assessment and Management of Personal S				Rollout of assistive technologies		Adults Safeguarding - MASH		
independent lives	Budgets								
-					Adults Safeguarding - MASH		Financial Safeguarding - CPAT	S	
Cleaner and more attractive					Blue Badges				
City and neighbourhoods			Environmental Services	М					
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					Collections Management - Museums		Collections Management	М	
cultural events									
More people feel safe in									
their neighbourhoods and									
homes									
More resilient people									
Finance F	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	М									
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	М	Housing Service Governance Arrangements	М			
					Delivery of Council Restructure	М	Housing Regulatory Framework	М			
					Liquid Logic - Adults	S	Adults Safeguarding - MASH				
							Blue Badges				
Partnership /Integrated Working	Corporate Partnership Arrangements				Partnership Arrangements						
Procurement	Commissioning	М	Revenue Procurement	S	Revenue Procurement	S			Procurement Strategy	S	
	Revenue Procurement	М	Use of agency contract	М	Capital Procurement	М			Purchasing Cards		
	Homecare Payments	L	Catering consortium	М					Charging methodology - Highways	S	
									Use of agency framework	M	

Relationship/Contract	Contract Management - Bublic Health		Contract Management Arrangements for		Contract Manitoring SCAS					
Monitoring	Contract Management - Public Health School Nursing Service	S	Contract Management Arrangements for key contracts	S	Contract Monitoring SCAS M					
	Commissioning	М	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				Defense Alexitoria e Oita Diag		
Corporate Performance Management	Corporate Performance Management	S	Performance Reporting - Data Quality	S	Performance Monitoring - City plan			Performance Monitoring - City Plan		
Managomone					Delivery of PEER Review Action Plan S					
Financial Management					Delivery of FEER Review Action Flam 3	Wave 3 Rocket Feasibility	S	BACS	S	
T mandar Managomone						Disabled Facilities Grant		Budget Management	S	
	Provision for significant financial liabilities	S				Local Transport Capital Maintenance /				
						Incentive Needs	S	Payroll		
						Local Transport Integrated Transport	S	Accounts Payable		
	Pudget Setting and Management		Financial Reporting Arrangements			Novus	9	Local Transport Capital Settlement - Capital	0	
	Budget Setting and Management		Financial Reporting Arrangements			Nexus	3	Maintenance	3	
						Pothole	S	Local Transport Integrated Transport	S	
						1 outline	<u> </u>	200di Transport integrated Transport		
						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	S	Treasury Management S	Budget setting	S	Sunderland A1290 Safety Improvement	S	
	, ,		Maintenance		, ,			Scheme Phase 1		
	BACS Compliance testing	S	Local Transport Capital Settlement - Integrated Transport	S	BACS	Capital Asset Accounting	S	Disabled Facilities Grant	S	
			integrated Transport							
	Housing Benefit Assessment	S	Nexus (Combined Authority)	S	Payroll	BACS	S	Disabled Facilities Grant - Additional Monies	s	
			<u> </u>							
	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		
			Scheme Phase I		Local Teament Conital Cottlement Conital	COVID 40 Compliance and Enforcement				
	Local Transport Capital Settlement	S	Better Care Fund - DFG	S	Local Transport Capital Settlement - Capital Maintenance	COVID-19 Compliance and Enforcement Grant	S	SSTC3 Design and Development		
					Local Transport Capital Settlement -	- Crain				
	Local Transport Integrated Transport	S	Vaux Phase 1		Integrated Transport (Combined Authority)			Travel Demand Management	S	
	N (O 1: 1A (I : 'I)	_	T 0					Travel Demand Management - Top Up		
	Nexus (Combined Authority)	S	Tall Ships Cultural Programme	S	Nexus (Combined Authority) S			Monies	5	
	Pothole Action Fund	S	Local Transport Capital - National	8	Pothole Action Fund S			Home to School/College Transport - Second	S	
	Totalor Action Fund	Ŭ	Productivity Investment Fund	Ŭ				Half of Spring Term		
	City Centre Cycle Permeability Scheme	S	A19 Ultra Low Carbon Enterprise Zone	S	Local Transport Capital Settlement - S			Home to School/College Transport -	S	
	cog commo cyman community community				Incentive Element			Summer Term		
	Disabled Facilities Grant	S	External Funding	S	Better Care Fund - DFG S			Home to School/College Transport -	s	
			BUILDIN WALLERSTOP FIRST AND					2020/21 Academic Year		
			Management	L	Vaux Phase 1					
			Payroll	S	Northern Gateway S					
			BACS	S	Local Transport Capital - Highway Maintenance					
			Accounts Payable	0	Liquid Logic including business processes S					
			Liquid Logic including business processes	3	Pothole Action Fund - Additional Monies S	+				
			Derwent Hill	S	1 otrole Action 1 und - Additional Monies 3					
Income Collection	Cash Receipting, collection of Council Tax,				Cash Receipting, compliance					
(including CR/NNDR)	NNDR, AR and PI	S	Cash Receipting	S	S 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		
						Accounts Receivable Recovery	S	Income Collection	S	
						Cash Receipting	S			
Capital Programme			Benefits Realisation		Project Management Benefits Realisation, M					
Management					including capital funding					
HR Management	Workforce Planning and Apprenticeship		Human Resource Management - updated		HR - SAP Optimisation	Recruitment and Selection		Recruitment and Selection		
	Scheme		SAP procedures							
			Apprenticeships	S	Port - Effectiveness of Restructure	<u> </u>		1		
Health and Safety	Corporate Health and Safety Arrangements		Corporate Health and Safety Arrangements	M	Communications re organisational change S					
ICT Infrastructure					+	ICT Disaster Recovery and Business				
101 milastractare	ICT Strategy and Infrastructure		Externally hosted systems	M		Continuity		ICT Disaster Recover / Business Continuity		

	Disaster Recovery/Business Continuity	M	Intrusion prevention and incident	M	ICT Asset management	М]		
Cyber Security	Arrangements		management Intrusion prevention and incident		· · · · · · · · · · · · · · · · · · ·						
	Cyber Security Arrangements	M	management	M	Cyber Security	М	Cyber Security	M	Cyber Security		
Information	Building Access Security Sites - Remote		General Data Protection Regulation -		Mobile Device Management	S					
Governance/Security	Sites	M	Compliance	M	GDPR	М	GDPR	М	GDPR		
Decision of Complete vita	General Data Protection Regulations	M	Derwent Hill	S	Under of Discourage when a many		Civica Upgrade		O anno mata Paraina a a O antino ita		
Business Continuity Management	Corporate Business Continuity Arrangements	S			Update of Directorate plans re new structures	M			Corporate Business Continuity Arrangements		
Programme/Project Management	SAP Procedure Update		Benefits Realisation		Project Management Benefits Realisation, including capital funding	М	ICT Disaster Recovery and Business Continuity		Programme Governance Arrangements - Smarter Cities		
Asset Management	Corporate Asset Management	L					Collections Management - Museums		Housing Asset Management		
Anti Fraud and Corruption	Revenue Procurement	M	Building iviaintenance Financial	1	Payroll compliance Testing		Transaction Testing NFI	S	Collections Management BACS	M S	
Anti i radd and Corruption	Homecare Payments		Management Revenue Procurement	S	BACS compliance testing	S	Blue Badges	3	Purchasing Cards	3	
	Payroll compliance Testing		Use of Agency Contract		Cash Receipting		Mileage Claims	S	Income Collection	S	
	BACS compliance testing		Payroll compliance testing		AR Recovery	S	Testing on grants issued re Covid-19	S	Accounts Receivable Recovery and PI		
	Cash Receipting	S	BACS	S	ICT Asset Management	М	BACS	S	Accounts Payable		
	Business Rate Recovery	S	Accounts Payable	S	Council Tax Setting and Billing	S	Cash Receipting	S	Business Rates Recovery		
	Council Tax Recovery	S	Cash Receipting	S	Council Tax Liability	S	Accounts Receivable Recovery	S	Council Tax Recovery		
	AR Recovery	S	Accounts Receivable/Periodic Income	S	Accounts Payable	М	Accounts Payable	S	Housing Rent Collection		
			Derwent Hill	S							
Schools	OZ sahasia in the plan O san sallad OS		Refuse Collection	S							
00110013	27 schools in the plan, 2 cancelled, 25 completed to date. 16 Substantial, 8 Moderate, 1 Limited	S	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, 17 complete to date. 15 substantial, 1 Moderate, 1 Limited		
Sunderland Care and Support	Establishment Visits/Supported Living	М	Unit Costing		Risk and Assurance Framework		Risk and Assurance Framework	S	Compliance with Financial Procedures in establishments	S	
	Unit Costing		Risk and Assurance Framework		DPO Checks	S	DPO checks	S	ICT Security within establishments		
	Procurement/Transaction Testing		Information Governance/GDPR	М	Unit Costing		Security of service users cash in transit	S	DPO Checks		
	Governance/Audit Committee		Compliance with Financial Procedures in Establishments	М	Compliance with financial procedures in establishments	S	Compliance with financial procedures in establishments		Workforce planning, resilience and wellbeing		
					Business Continuity (Telecare)	L	Collection of rental income	M			
					Recruitment and DBS Checks	S	Workforce planning and resilience				
Together for Children	Governance Arrangements	S	Troubled Families Grant Claim	S	Troubled Families Grant Claim	S	Troubled Families Grant Claim	S	Troubled Families Grant Claim		
	Effectiveness of SLA Relationships		Budget Monitoring		Schools Financial Support Service		Administration Support Services	S	Staff Wellbeing		
	Financial Procedures - bank account/income		HR management / recruitment / agency workers / performance	S	Performance Management - Data Quality	S	Complaints Procedure		Next Steps		
	Information Governance/GDPR	L	Information Governance/GDPR	L	Purchase cards	М	Information Governance/GDPR		Nook Lodge - Compliance with Financial Procedures in Establishements	S	
			Next Steps	S	Achievement of cost savings		HR Case Management	М	Procurement of Independent Providers - Residential		
			Compliance with Financial Procedures within Establishments	S	Legal services		SEND Financial Framework	S	Counter Fraud		
			Manif Establishinolis		Designated Officer	S			National Assesment and Accreditation System Grant Claim	S	
			Liquid logic		Liquid logic	М	Purchase Cards	M			
Siglion LLP					Governance Arrangements	M	Contract/relationship management		Financial Management	S	
		+					Performance Management Procurement	М	Contract/relationship management Disposal of property		
							Operational Asset Management	S	Performance management		
							Financial Management				
											·