

6 November 2019

Agenda Item: 9

REPORT OF SERVICE DIRECTOR FOR FINANCE, INFRASTRUCTURE & IMPROVEMENT

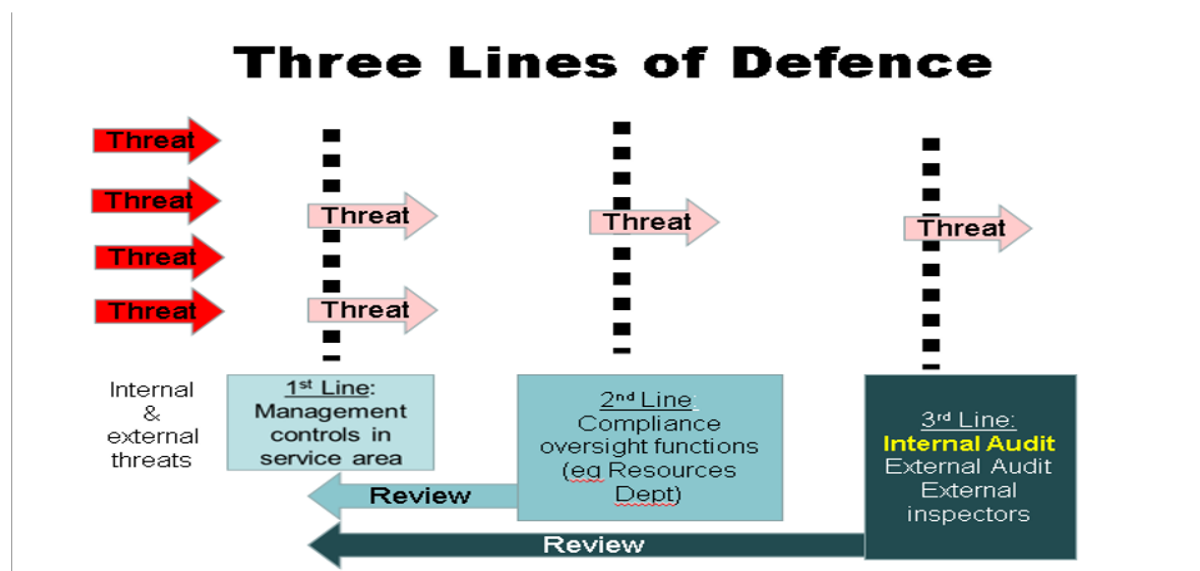
ASSURANCE MAPPING UPDATE 2019/20

Purpose of the Report

1. To update Members on the continued rollout and progress of Assurance Mapping now that the pilot stage approach has been completed.

Information

2. Members approved a pilot approach to assurance mapping at the meeting on 1 February 2018, to be conducted in a four-stage process as depicted in **Appendix 1**. The first areas of Assurance Mapping (Finance, Risk and Performance management) have been completed and the results were reported to members on the 1 May 2019.
3. We are now expanding the Assurance Mapping to two new areas, People Management and Asset Management. We will work through the four stages of the process, to identify the key sources of assurance available to the Council for each of the KLOEs across each of the three lines of defence:



4. The mapping exercise is being conducted through consultation with senior management and leadership teams. Draft KLOE's for the two new areas were shared with Adults, Children's Place and the Chief Executives management teams and their feedback was incorporated into refined versions.
5. The addition of People and Place Assurance Maps increases the coverage and as a result the assurance that CLT and the Governance and Ethics Committee can take from this exercise. The four-stage annual process will continue with updates for the existing areas and first time reporting for People and Assets. These reports and updates will set out the range of assurance sources identified for each of the KLOEs across the three lines of defence. In particular, they present the opportunity to identify one or other of the following possibilities:
 - Gaps in assurance, for which consideration might be given to establishing additional controls
 - Duplications, which might prompt a redirection or reduction in the extent of assurance effort.
 - Confidence that assurance and controls are in place for key Council systems and processes.

The current assurance map with two new areas Asset and People Management highlighted in black bold.



- a) The two new KLOE's are attached in **Appendix 2**, for information.
- 6. The stages of the process are to gather evidence from the sources of assurance identified in Appendix 2 (the KLOE's) and to present the findings in the form of an annual assurance report. These stages will be carried out in the final quarter of the year, with a view to presenting the annual report alongside the draft Annual Governance Statement at the Committee's meeting in May 2020.
- 7. The scope of the engagement has also incorporated trigger areas identified from attendance at the Public Sector Audit Appointments – Local Audit Quality Forum, further details of which are separately reported on today's agenda. Members will be updated with the outcomes from each phase as they become completed.

Other Options Considered

- 8. The pilot approach to assurance mapping was agreed by the Governance & Ethics Committee in February 2018. Regular updates on progress with the pilot are providing the opportunity to consider whether amendments to the approach are needed.

Reason/s for Recommendation/s

- 9. To provide timely feedback on whether the agreed approach is likely to deliver the assurances that Members wish to receive as part of the annual report.

Statutory and Policy Implications

- 10. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

The assurance map aims to deliver a comprehensive assessment of the effectiveness of the Council's governance, risk and control framework. This will provide assurance relating to many of the considerations listed above.

RECOMMENDATION/S

- 1) Members agree that the Committee receives a further updates and annual reports on Assurance Mapping following completion of the two new areas, People and Assets and to consider at that time recommendations for its future development.

Nigel Stevenson
Service Director for Finance, Infrastructure & Improvement

For any enquiries about this report please contact:

Rob Disney
Group Manager - Assurance

Constitutional Comments LW 09/10/2019

11. Governance & Ethics Committee is the appropriate body to consider the content of the report.

Financial Comments [RWK 07/10/2019]

12. There are no specific financial implications arising directly from the report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All