

ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.01	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Staff capacity and skills	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	The council manages change in the light of revised structures enabling sustained service delivery at existing levels	
SOURCE(S)	Strategic Risk Register (SSR) 1.01	
RESPONSIBLE OFFICER	Head of Human Resources Head of Business Transformation	
RESPONSIBLE PORTFOLIO HOLDER	Finance and Human Resources Cllr J Peach	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Senior Management review conducted by Chief Executive (September 2008) • Learning Academy programme to 3rd Tier management • Skills audits undertaken as part of Annual Performance and Development (APD) process for all officers • Staff sickness monitoring (trend analysis e.g. stress related) monthly to Corporate Management Team (CMT) and reports submitted to Scrutiny Committee 	
EXTERNAL	Investors in People accreditation (training development crucial element)	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Voluntary redundancy scheme - impact on services to be evaluated by Directors	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.02	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Staff retention in key areas	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	The organisation can recruit and retain appropriate / quality staff	
SOURCE(S)	SRR 1.02	
RESPONSIBLE OFFICER	Executive Director of Resources (Interim) Head of Human Resources	
RESPONSIBLE PORTFOLIO HOLDER	Finance and Human Resources Cllr J Peach	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Review of Recruitment and Selection Policy and links with Project through Business Transformation for Talent Management • Leadership Academy introduced to develop internally • Development of market force supplements in key / difficult work fields • Job evaluation process and full adoption (March 2008). Ongoing appeals / verifications during 2008. 	
EXTERNAL	Investors in People accreditation	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Voluntary redundancy scheme - impact on services to be evaluated by Directors • Internal Audit Plan 2009/2010: Recruitment 	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.03	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Financial considerations with third party funded schemes	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Long term financial risk to the Council is minimised. • Ongoing management of PFI projects, capital projects and grant funded schemes 	
SOURCE(S)	SRR 1.03	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Finance and Human Resources Cllr J Peach	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Exit strategies incorporated into all projects during planning stages • Challenge mechanisms including whole life costs at Programme / Efficiency Boards • Central grant claim register established • Integrated Medium Term Financial Strategy (MTFS) in place • PFI separate reporting / monitoring • Capital funding reviews in light of credit crunch 	
EXTERNAL	<ul style="list-style-type: none"> • Grant claims unqualified • External Audit Closure of Accounts (Report to Management) Jan 2009 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	-	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.04	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Growth	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E L E & E	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Effective joint planning arrangements • Securing of the approvals / resources / strategies / cooperation required to meet the demands for the significant growth of Peterborough (Link to SSR 1.07)	
SOURCE(S)	SRR 1.04	
RESPONSIBLE OFFICER	Deputy Chief Executive	
RESPONSIBLE PORTFOLIO HOLDER	Housing, Regeneration and Economic Development Cllr G Murphy	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Medium Term Financial Strategy (MTFS) and linked to growth. • Creation of Opportunity Peterborough • GPP establishment • Peterborough Growth and Regeneration: Securing the Future (Cabinet Dec 2008) 	
EXTERNAL	<ul style="list-style-type: none"> • CPA Corporate Assessment (2006) • Partnership arrangements and business plans put in place with Opportunity Peterborough 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Planning Strategy development • Internal Audit Plan 2009/2010: Regeneration • Internal Audit Plan 2009/2010: Sustainability 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.05	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Local Area Agreements	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> The authority is increasingly engaged in partnership working with both the public and private sector. There is an increased expectation in terms of establishing assurance on governance arrangements for the growing number of partnership and joint working activities Ensure that LAA targets are met and that arrangements for democratic accountability are sound 	
SOURCE(S)	SRR 1.05 Annual Governance Statement 2007/2008	
RESPONSIBLE OFFICER	Chief Executive Lead Directors (with LAA targets)	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> Local Area Agreement (Internal Audit review - Full Assurance) Lead Officer has reverted to the Deputy Chief Executive following a review of the senior management structure. Agreements have been established with each provider - whether public, private or voluntary sector. Continue to roll out the partnership protocols developed and the associated toolkit Themed areas established and regular reports to CMT Coordination by Community Safety Partnerships (part of GPP) 	
EXTERNAL	Greater Peterborough Partnership integrated approach with partners	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Annual refresh of LAA to ensure targets remain relevant	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.06	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Partnership working with Primary Care Trust (PCT) and the impact of PCT changes on PCC service delivery	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	H E & E	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> The Council has an integrated working relationship with the PCT Soundness of governance arrangements including signing of partnership agreements and the robustness of financial management arrangements 	
SOURCE(S)	SRR 1.06	
RESPONSIBLE OFFICER	Director of Adult Social Care	
RESPONSIBLE PORTFOLIO HOLDER	Health & Adult Social Care Services Cllr D Lamb	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> Review of Section 75 agreements and Accountability Agreements in place Work undertaken by Cambridgeshire Health Internal Audit Service (CHIAS) Health and Adult Social Care Scrutiny Panel reviews 	
EXTERNAL	External Audit reviews at both bodies	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: PCT Governance	
EXTERNAL ASSURANCE	<ul style="list-style-type: none"> Commission for Social Care Inspection Annual Review Comprehensive Area Assessment Assurance from CHIAS 	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.07	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Deliver Master Plan	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E L	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Effective joint planning arrangements • Securing of the approvals / resources / strategies / cooperation required to meet the demands for the significant growth of Peterborough 	
SOURCE(S)	SRR 1.07	
RESPONSIBLE OFFICER	Deputy Chief Executive	
RESPONSIBLE PORTFOLIO HOLDER	Housing, Regeneration and Economic Development Cllr G Murphy	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Medium Term Financial Strategy (MTFS) and linked to growth. • Creation of Opportunity Peterborough • GPP establishment • Peterborough Growth and Regeneration: Securing the Future (Cabinet Dec 2008) 	
EXTERNAL	<ul style="list-style-type: none"> • CPA Corporate Assessment (2006) • Partnership arrangements and business plans put in place with Opportunity Peterborough 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Planning Strategy development • Internal Audit Plan 2009/2010: Regeneration • Internal Audit Plan 2009/2010: Sustainability 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.08	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Flu pandemic or other major illness	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	H E & E	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Council delivers its duties under the Civil Contingencies Act. • Council provides adequate response to major incident. 	
SOURCE(S)	SRR 1.08	
RESPONSIBLE OFFICER	Resilience Team Manager	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Corporate Flu Pandemic Guidance completed and issued to key staff	
EXTERNAL	Use of Resources: Internal Control KLOE overall score = 3	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Internal Audit Plan 2009/2010: Business Continuity • Internal Audit Plan 2009/2010: Health & Safety 	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.09	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Business continuity and community resilience	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Business continuity is a risk for every business. The Council needs to ensure those services which are required to produce and test business continuity as well as (emergency) resilience plans, do so. • Council delivers its duties under the Civil Contingencies Act. • Council provides adequate response to major incident. • Council has sufficient plans and measures to avoid service disruption. 	
SOURCE(S)	SRR 1.09 Annual Governance Statement 2007 / 2008	
RESPONSIBLE OFFICER	Executive Director of Operations	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Regular testing of arrangements and off site facilities available, including continuity software. During 2007, an actual incident took place - the flooding of a council building - resulting in a plan being put into action. Following completion, lessons have been learnt and changes made to ensure smoother delivery / mitigate and future disasters. • Business Continuity Plans in place for major systems. Ongoing business continuity and disaster recovery exercises undertaken (last December 2008), primarily in relation to cessation of ICT systems / buildings. Other scenarios planned on an ongoing basis. • Workshops provided to all departments / corporate buy in / key officers identified. • Directors / Heads of Service annual self assessment statements 	
EXTERNAL	Use of Resources: Internal Control KLOE overall score = 3	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Departmental business continuity plans to be amalgamated into over arching corporate continuity plans • Internal Audit Plan 2009/2010: Business Continuity Planning 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.10	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Investing to save bids	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E H L C E & E	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Effective appraisals of projects prior to issuing of funds • Impact of changes in demand are accounted for • Benefits realisation processes in place which demonstrates long term savings 	
SOURCE(S)	SRR 1.10	
RESPONSIBLE OFFICER	All Directors	
RESPONSIBLE PORTFOLIO HOLDER	Efficiency & Business Improvement Cllr S Scott	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Integrated processes between service and financial planning • Medium Term Financial Strategy • Project appraisals in place • Ongoing programme of zero based budgeting (Children Services, Operations) • Business Efficiency Scrutiny Panel (agendas) 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Gateway reviews of bids	
EXTERNAL ASSURANCE	-	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.11	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Governance arrangements for partnerships	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E H L C E & E	
NATURE OF ASSURANCE REQUIRED	Partnership arrangements are robust, governance arrangements are sound	
SOURCE(S)	SRR 1.11	
RESPONSIBLE OFFICER	<ul style="list-style-type: none"> All Directors Solicitor to the Council 	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> Development of partnership toolkit Risk assessment of key partnerships and governance arrangements established Partnership workshops run for CMT LAA targets established and ratified to Go-East Partnership arrangements with GO-EAST, EEDA, Opportunity Peterborough, English Partnerships, Greater Dogsthorpe Partnership, Cross Keys 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Ongoing partnership governance reviews for a sample of key partnerships against the toolkit	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.12	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Credit crunch	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> Financial position of council is secured, despite reductions in income from various sources e.g. car parking, planning fees, commercial rents etc. Bank leading rates do not have a material effect on any surplus funds / investment strategies. 	
SOURCE(S)	SRR 1.12	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Finance and Human Resources Cllr J Peach	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> Medium Term Financial Strategy (MTFS) Budgetary control reporting processes flag up / highlight early warning problem areas 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Treasury	
EXTERNAL ASSURANCE	<ul style="list-style-type: none"> External Audit: Report to Management 2008/2009 Comprehensive Area Assessment 	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.13	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Special Purpose Vehicles / Shared Services	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C E & E	
NATURE OF ASSURANCE REQUIRED	Successful transition into shared service function, with a realisation of savings. Initiative is in line with Council's interests.	
SOURCE(S)	SRR 1.13	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Efficiency & Business Improvement Cllr S Scott	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Governance arrangements established • Various projects set up to manage approach • Director briefings (Dec 2008 - March 2009) re: Manor Drive developments • Business Transformation projects • Revenue and Benefits Service development for agile working 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Potential managed Benefits service for Luton Council • Ongoing discussions with other Councils • Manor Drive plc proposals to be formalised (April 2009) with formal commencement of Sept 2009 • ICT Managed Service (Sept 2009) • Internal Audit Plan 2009/2010: ICT Managed Service Governance • Internal Audit Plan 2009/2010: Revenues & Benefits Data Security 	
EXTERNAL ASSURANCE	External Audit review of PSP contract	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.14	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Diversity	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	L	
NATURE OF ASSURANCE REQUIRED	The Council ensures that policy decisions, service delivery and employment opportunities take sufficient regard of equality and diversity issues	
SOURCE(S)	SRR 2.01	
RESPONSIBLE OFFICER	(Interim) Diversity Manager	
RESPONSIBLE PORTFOLIO HOLDER	Health & Adult Social Care Services Cllr D Lamb	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Diversity Strategy developed with clear action plans to deliver. • Training provision to managers 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Equality impact programme initiated and assessments undertaken • DMT developing action and implementation plans 	
EXTERNAL ASSURANCE	External accreditation / inspection against equality standards	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.15	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Disabled needs met	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E H L C E & E	
NATURE OF ASSURANCE REQUIRED	Appropriate arrangements in place to cater for disabled needs	
SOURCE(S)	SRR 2.02	
RESPONSIBLE OFFICER	<ul style="list-style-type: none"> • Head of Strategic Property • Head of Human Resources • (Interim) Diversity Manager • Deputy Chief Executive 	
RESPONSIBLE PORTFOLIO HOLDER	Health & Adult Social Care Services Cllr D Lamb	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Disability audit of council buildings • DDA programme of works • Review of established policies 	
EXTERNAL	CPA Corporate Assessment 2006	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.16	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Equal pay harmonisation	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Robust job evaluation processes have been followed which will prevent any potential equal pay claims	
SOURCE(S)	SRR 2.03	
RESPONSIBLE OFFICER	Deputy Chief Executive	
RESPONSIBLE PORTFOLIO HOLDER	Finance and Human Resources Cllr J Peach	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Job evaluation process regularly reported to Cabinet • MTFS • Robust appeals process 	
EXTERNAL	Agreements with Unions (locally and nationally) before implementation	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	-	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.17	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Community cohesion and engagement	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E	
NATURE OF ASSURANCE REQUIRED	Social mix of city is changing and Council need to meet their needs. The Council needs to ensure appropriate community engagement which leads to increased inclusion throughout the community resulting in reduced social tension and potential disorder, culminating in an increase in public satisfaction.	
SOURCE(S)	SRR 3.01	
RESPONSIBLE OFFICER	Deputy Chief Executive	
RESPONSIBLE PORTFOLIO HOLDER	Strategic and Regional Partnerships Cllr M Collins	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Community Engagement reviews by Scrutiny Committee • Peterborough Community Safety Partnership • Asylum and Migration Service delivered through New Link • CCTV high profile / visibility in key areas • Street Wardens scheme in place • Partnership arrangements between Police, LA and other key partners • LAA themed areas • Coordination by Community Safety Partnerships (part of GPP) • Neighbourhood Investment Plan (linked to voluntary community sector capacity) 	
EXTERNAL	CPA Corporate Assessment 2006	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Sustainability	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.18	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Schools Phase 2 and Building Schools for the Future	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C	
NATURE OF ASSURANCE REQUIRED	The BSF programme delivers affordable, improved educational services and achievements	
SOURCE(S)	SRR 4.01	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Project Board established with involvement of key stakeholders • Children and Lifelong Learning Scrutiny Panel • Phase 2 Secondary Schools Review (Cabinet reports) • MTFS 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Capital Gateway Review	
EXTERNAL ASSURANCE	-	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.19	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Improvement in educational standards - Key Stages 1, 2	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C	
NATURE OF ASSURANCE REQUIRED	Exam results and standards show increases across the Council.	
SOURCE(S)	SRR 4.02	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Action plans in place which are linked to national indicators from Joint Area Review • Learning Strategy in place incorporating impact assessments for additional children on existing services • Monitoring of KPI's • LPSA 3 (Key Stage 2), LPSA 4 (Key Stage 3), LPSA 5 (Key Stage 4) • Reports to Children and Life Long Learning Scrutiny Panel 	
EXTERNAL	LPSA assessment	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	<ul style="list-style-type: none"> • LPSA Assessment • OFSTED (authority and individual schools) • Joint Area Review • Comprehensive Area Assessment 	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.20	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Improvement in educational standards - Key Stages 3, 4	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C	
NATURE OF ASSURANCE REQUIRED	Exam results and standards show increases across the Council.	
SOURCE(S)	SRR 4.03	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Action plans in place which are linked to national indicators from Joint Area Review • Learning Strategy in place incorporating impact assessments for additional children on existing services • Monitoring of KPI's • LPSA 3 (Key Stage 2), LPSA 4 (Key Stage 3), LPSA 5 (Key Stage 4) • Reports to Children and Life Long Learning Scrutiny Panel 	
EXTERNAL	LPSA assessment	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	<ul style="list-style-type: none"> • LPSA Assessment • OFSTED (authority and individual schools) • Joint Area Review • Comprehensive Area Assessment 	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.21	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Children staying safe / child protection	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Ability to maintain and continue recent improvements in service / performance / financial management • Robust systems in place to safeguard children and prevent harm 	
SOURCE(S)	SRR 4.04	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Performance indicator information highlighting continued downward trend in numbers of children in care and improvements in timeliness of assessments • School CRB checks • Placement Strategy developed / Reoffending protocol in place • Youth Offending Service • Children and Lifelong Learning Scrutiny Panel 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Workstreams reviewing processes in light of Haringey and other reviews • Safeguarding development group established • Internal Audit Plan 2009/2010: Recruitment / CRB 	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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C = Creating opportunities - tackling inequalities
E+E = Delivering value for money

ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.22	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Teenage conception rates	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	H C	
NATURE OF ASSURANCE REQUIRED	Demonstration that teenage birth rates are reducing following targeted funding	
SOURCE(S)	SRR 4.05	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Focussed work linked with LAA • Children and Lifelong Learning Scrutiny Panel reports 	
EXTERNAL	<ul style="list-style-type: none"> • National Strategies Team Action Plan • LPSA targets 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	LPSA funding	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.23	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Integrated services for children with disability	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	H C	
NATURE OF ASSURANCE REQUIRED	Improved outcomes for children with disabilities and learning difficulties	
SOURCE(S)	SRR 4.06	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Implementation of "Assessing Change: A position statement, and demand trends and needs analysis" • SEN Strategy • Learning difficulties and disabilities strategy / protocols established • Database in place tracks progress in vulnerable groups and those at risk 	
EXTERNAL	GO-EAST support	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.24	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Children's Trust	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C E & E	
NATURE OF ASSURANCE REQUIRED	Effective joint commissioning	
SOURCE(S)	SRR 4.07	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> Adoption of joint commissioning model by Children's Trust and full implementation of joint commissioning team Formal agreement with NHS Peterborough on joint commissioning and delivery of aligned / pooled budgets in key areas 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.25	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Workforce development	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C E & E	
NATURE OF ASSURANCE REQUIRED	Effective workforce development in place across the Children's Trust	
SOURCE(S)	SRR 4.08	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Integration of work plans • Business process reengineering within Childrens Services • Training Strategy 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.26
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Children's Service Change programme
ASSURANCE REQUIRED	
STRATEGIC PRIORITY	C E & E
NATURE OF ASSURANCE REQUIRED	Effective management of change processes to deliver improved services.
SOURCE(S)	SRR 4.09
RESPONSIBLE OFFICER	Director of Children Services
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink
ASSURANCE CURRENTLY AVAILABLE	
INTERNAL	<ul style="list-style-type: none"> • Integrated young peoples service • Joint Commissioning Strategy • Funding established for extended schools services including Childrens Centres and Play Centres <p>Risk removed from Strategic Risk Register, and identified separately above (4.07, 4.08, 4.10)</p>
EXTERNAL	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED	
INTERNAL	
EXTERNAL ASSURANCE	
LEVEL OF ASSURANCE:	Not applicable

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.27	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Integrated front line service delivery	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C E & E	
NATURE OF ASSURANCE REQUIRED	Demonstration of improved efficiencies in the deliver of front line school services	
SOURCE(S)	SRR 4.10	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Delivering through Localities programme • Neighbourhood investment plans • Business transformation programme • MTFS • Business process re-engineering 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	Inspection (Service Management)	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.28	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Equality and diversity	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C E & E	
NATURE OF ASSURANCE REQUIRED	Effective management of children in care	
SOURCE(S)	SRR 4.11	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Caseload management and reduction in external suppliers • Integrated young peoples service • Joint Commissioning Strategy • Implementation of placement strategy • Committee reports on progress to Children and Life Long Learning Scrutiny Panel 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	Joint Area Review	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.29	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Childrens Services National Indicators (Adult Learning)	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C	
NATURE OF ASSURANCE REQUIRED	Effective action plans in place to deliver / monitor improved performance in relation to adult learning and skills targets	
SOURCE(S)	SRR 4.12	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Local Area Agreement (see AF.05) • 3 year action plan developed • Adult Learning and Skills Strategy 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Annual data surveys of a selection of adults	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.30
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Maintaining services within City Services
ASSURANCE REQUIRED	
STRATEGIC PRIORITY	E & E
NATURE OF ASSURANCE REQUIRED	Management of workforce, and associated overhead costs if City Services loses any contracts
SOURCE(S)	SRR 5.01
RESPONSIBLE OFFICER	Commercial Services Director
RESPONSIBLE PORTFOLIO HOLDER	City Services Cllr D Sanders
ASSURANCE CURRENTLY AVAILABLE	
INTERNAL	<ul style="list-style-type: none"> Loss of Cross Keys contracts. TUPE arrangements initiate and costs reduced. Action Plan delivered. <p>Risk removed from Strategic Risk Register</p>
EXTERNAL	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED	
INTERNAL	
EXTERNAL ASSURANCE	
LEVEL OF ASSURANCE:	Not applicable

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.31	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Arms Length Management Organisation	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Delivery of an improved business model for PCC and exploration of opportunities to win work from other organisations.	
SOURCE(S)	SRR 5.02	
RESPONSIBLE OFFICER	Commercial Services Director	
RESPONSIBLE PORTFOLIO HOLDER	City Services Cllr D Sanders	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Project Board / Project Plan established	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: ALMO	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.32	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Highways infrastructure conditions	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E	
NATURE OF ASSURANCE REQUIRED	The Council invests in transport infrastructure and services accommodating growth and managing existing levels of congestion	
SOURCE(S)	SRR 6.01	
RESPONSIBLE OFFICER	Head of Environment, Transport and Engineering	
RESPONSIBLE PORTFOLIO HOLDER	Environment Cllr W Fitzgerald	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Peterborough Local Transport Plan (2nd version 2008) • Partnership / contracting arrangements with WS Atkins • Links with Opportunity Peterborough • Travel Choice initiative / promotion of walking / cycling 	
EXTERNAL	CPA Corporate Assessment 2006	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Highways	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.33	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Environmental capital aspirations	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E	
NATURE OF ASSURANCE REQUIRED	Overall enhancement of the cleanliness of the city	
SOURCE(S)	SRR 6.02	
RESPONSIBLE OFFICER	Executive Director of Operations	
RESPONSIBLE PORTFOLIO HOLDER	Environment Cllr W Fitzgerald	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> Enforcement Strategy on fly tipping Policy on abandoned vehicles / supermarket trolleys etc 	
EXTERNAL	CPA Corporate Assessment 2006	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Environmental Management Audit	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.34	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Climate change	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Council is able to ensure the well being of the community in the event of severe climate change • Council is prepared and has adapted for the impact of climate change 	
SOURCE(S)	SRR 6.03	
RESPONSIBLE OFFICER	Executive Director of Operations	
RESPONSIBLE PORTFOLIO HOLDER	Environment Cllr W Fitzgerald	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Climate Change Strategy adopted • Carbon neutral development sites identified • Cabinet reports 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Review required of strategy (March 2009) • Internal Audit Plan 2009/2010: Environmental Management Audit 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment. Climate change incorporated within sustainability impact assessments used within the Use of Resources Assessments from April 2009 onwards.	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.35	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Social demographic change	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	H	
NATURE OF ASSURANCE REQUIRED	Council is able to meet the demands / deliver services to an ever increasing elderly population	
SOURCE(S)	SRR 7.01	
RESPONSIBLE OFFICER	<ul style="list-style-type: none"> • Chief Executive • Chief Executive (GPPCP) 	
RESPONSIBLE PORTFOLIO HOLDER	Health & Adult Social Care Services Cllr D Lamb	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Services delivered by PCT - funding arrangements transferred • Regular review of accountability agreement and funding constraints • MTFS 	
EXTERNAL	External Audit undertakes reviews at both bodies	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.36	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Financial management and strategy	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Robust financial management arrangements bring in a balanced budget. • Council's ability to sustain plans for future growth and development of service objectives and initiatives 	
SOURCE(S)	SRR 8.01	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Finance and Human Resources Cllr J Peach	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Director / Heads of Service self assessment statements • Budgetary control reviews form standard area of review for annual main financial systems • Corporate budgetary control systems in place and fully embedded across organisation • Medium Term Financial Strategy which reflects priorities • Internal Audit Annual Opinion (Audit Committee Sept 2008) 	
EXTERNAL	<ul style="list-style-type: none"> • Use of Resources scores overall =3 (Jan 2009) • External Audit: Report to Management 2007/2008 • 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Various ongoing reviews based on managed audit approach (e.g. Budgetary Control, Main Systems etc.)	
EXTERNAL ASSURANCE	<ul style="list-style-type: none"> • Comprehensive Area Assessment • External Audit: Review of accounts closure 	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.37	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Procurement	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Ensure business transformation projects and procurement follow best practice to achieve anticipated efficiencies and savings and improve value for money across the Council	
SOURCE(S)	SRR 8.02	
RESPONSIBLE OFFICER	Head of Business Transformation	
RESPONSIBLE PORTFOLIO HOLDER	Efficiency & Business Improvement Cllr S Scott	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Business Transformation Team (October 2006) • Review of procurement practices (Contract Standing Orders July 2007) • Introduction of e-procurement arrangements and further development of purchasing cards (April 2008) • Professional Services Partnership set up to ensure continuity • Cash savings removed from budgets and held centrally for appropriate distribution and reduction to bottom line • Business Efficiency Panel reports (from April 2008) • VfM Strategy March 2008 	
EXTERNAL	<ul style="list-style-type: none"> • External Audit: Review of business transformation processes and a number of post implementations • External Audit: Report to Management 2007/2008 • External Audit overview of PSP contract 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Procurement	
EXTERNAL ASSURANCE	External Audit: Follow up of Business Transformation 2009/2010	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.38	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	CPA and CAA transitions	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Effective response to inspection outcomes and delivery of appropriate improvement plans within required timescales	
SOURCE(S)	SRR 8.03	
RESPONSIBLE OFFICER	<ul style="list-style-type: none"> • Deputy Chief Executive • Executive Director of Resources 	
RESPONSIBLE PORTFOLIO HOLDER	Finance and Human Resources Cllr J Peach	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Previous inspection reports and regular reviews • Regular Briefings to members / timetable of achievements • Strategic Improvement Team monitor actions and regular reports provided to CMT / Cabinet 	
EXTERNAL	<ul style="list-style-type: none"> • Joint Area Assessment • Commission for Social Care Inspection • OFSTED • CPA Corporate Assessment 2006 • Direction of Travel assessment 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Collation of use of resources pack for new arrangements for Comprehensive Area Assessment. Ongoing compilation through 2009.	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.39	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Estate utilisation to ensure asset disposal programme effective	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> The financing of the capital programme assumes a certain degree of capital receipts. Improvements, savings and asset sales targets are achieved 	
SOURCE(S)	SRR 8.04	
RESPONSIBLE OFFICER	Head of Strategic Property	
RESPONSIBLE PORTFOLIO HOLDER	Efficiency & Business Improvement Cllr S Scott	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> Committee reports to Cabinet covering Asset Management Strategy, Accommodation Strategy, and Asset Disposals. Linked to Medium Term Financial Strategy 	
EXTERNAL	Use of Resources assessment, Management of Asset Base (KLOE extract)	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Property Asset Management	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.40	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Waste management and recycling	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E	
NATURE OF ASSURANCE REQUIRED	Council seeks a mutually acceptable contract / solution allowing it to deliver waste management and sustainable recycling targets within budget projections	
SOURCE(S)	SRR 8.05	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Environment Cllr W Fitzgerald	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Implementation of Waste Strategy including treatment facilities (reports to Cabinet on proposals) • Joint Municipal Waste Management Strategy for Cambridgeshire and Peterborough 2008 - 2022 • 65% Plus initiative • Alternative options available and business case developed (sustainability requirements factored in). Gateway review of processes 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Continued reduction in landfill targets met • Internal Audit Plan 2009/2010: Environmental Management Audit • Internal Audit Plan 2009/2010: Performance Indicators (Recycling) 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.41	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Democratic processes	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Effective scrutiny processes in place for decision making processes	
SOURCE(S)	SRR 8.06	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Finance and Human Resources Cllr J Peach	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Approved Constitution, regularly reviewed • Member briefings • Scrutiny Panels established • Committee membership based upon political balance of council 	
EXTERNAL	External Audit review of Scrutiny Arrangements	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Ongoing reviews of Constitution	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.42	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Corporate manslaughter	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Clear arrangements in place to coordinate health and safety	
SOURCE(S)	SRR 8.07	
RESPONSIBLE OFFICER	<ul style="list-style-type: none"> • All Directors • Head of Environment, Transport and Engineering • Head of Legal & Democratic Services 	
RESPONSIBLE PORTFOLIO HOLDER	Finance and Human Resources Cllr J Peach	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Regular updates to CMT	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Health & Safety	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.43	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Investments	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Clear Investment Strategy in place to mitigate risks	
SOURCE(S)	SRR 8.08	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Finance and Human Resources Cllr J Peach	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Investment Strategy as part of Treasury Management report within n MTFS • Regular reports to Cabinet • Icelandic Banks report to Scrutiny Committee 	
EXTERNAL	External Audit: Report to Management 2007/2008	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Treasury	
EXTERNAL ASSURANCE	<ul style="list-style-type: none"> • External Audit: Report to Management 2008/2009 • Comprehensive Area Assessment 	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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E+E = Delivering value for money

ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.44	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Clear purpose, focus on outcomes for the Community, creating and implementing a vision for the local area.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Strategic leadership • Clear communication of the authority's purpose and vision and outcomes for citizens • Users receive a high quality of service whether directly, or in partnership or by commissioning. 	
SOURCE(S)	<ul style="list-style-type: none"> • CIPFA / SOLACE six core principles • Annual Governance Statement 	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Partnership Toolkit • Review of Annual Governance Statement (Apr-Jun 2008) • Local Area Agreement (Internal Audit review - Full Assurance) • Corporate Governance (Internal Audit review - Significant Assurance) 	
EXTERNAL	External Audit: Annual Audit Letter (March 2009)	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Annual Governance Statement review (March-May 2009) • Directors self assessment questionnaires (March - April 2009) 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.45	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Councillors and officers working together to achieve a common purpose, with clearly defined function and roles.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Effective leadership throughout the council • Clarity about executive and non-executive functions and of the roles and responsibilities of the scrutiny function. • Constructive working relationship exists between Councillors and officers • Responsibilities of Councillors and Officers are carried out to a high standard. 	
SOURCE(S)	<ul style="list-style-type: none"> • CIPFA / SOLACE six core principles • Annual Governance Statement 	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Directors / Heads of Service Assurance Statements • Corporate Governance (Internal Audit review - Significant Assurance) • Review of Annual Governance Statement • Member / Officer Relations protocol • Ethics awareness through Standards Committee • Development Strategy for members 	
EXTERNAL	<ul style="list-style-type: none"> • Internal Control KLOE Use of Resources Assessment - Level 3 • External Audit: Annual Audit Letter (March 2009) 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Annual Governance Statement review (March-May 2009) • Directors / Heads of Service self assessment questionnaires (March - April 2009) 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.46	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Councillors and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance. • Organisational values are put into practice and are effective. 	
SOURCE(S)	<ul style="list-style-type: none"> • CIPFA / SOLACE six core principles • Annual Governance Statement 	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Directors / Heads of Service Assurance Statements • Corporate Governance (Internal Audit review - Significant Assurance) • Review of Annual Governance Statement • Confidential reporting (whistleblowing policy) 	
EXTERNAL	<ul style="list-style-type: none"> • Internal Control KLOE Use of Resources Assessment - Level 3 • External Audit: Annual Audit Letter (March 2009) 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Annual Governance Statement review (March-May 2009) • Directors / Heads of Service self assessment questionnaires (March - April 2009) 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.47	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Tackling informed and transparent decisions which are subject to effective scrutiny and managing risk.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Rigorous and transparent decision making • Listening and acting on the outcomes of effective scrutiny. • Good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs. • Effective risk management system is in place. • Legal powers used to the full benefit of the citizens and communities in their area. 	
SOURCE(S)	<ul style="list-style-type: none"> • CIPFA / SOLACE six core principles • Annual Governance Statement 	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Directors / Heads of Service Assurance Statements • Corporate Governance (Internal Audit review - Significant Assurance) • Review of Annual Governance Statement • Risk Management (Internal Audit review - Significant Assurance) 	
EXTERNAL	<ul style="list-style-type: none"> • Internal Control KLOE Use of Resources Assessment - Level 3 • External Audit: Annual Audit Letter (March 2009) 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Annual Governance Statement review (March-May 2009) • Directors / Heads of Service self assessment questionnaires (March - April 2009) 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.48	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Developing the capacity and capability of members and officers to be effective.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Making sure that Councillors and officers have the skills, knowledge, experience and resources they need to perform well in their roles. • Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group. • Encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal. 	
SOURCE(S)	<ul style="list-style-type: none"> • CIPFA / SOLACE six core principles • Annual Governance Statement 	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Directors Assurance Statements • Scrutiny Committee • Corporate Governance (Internal Audit review - Significant Assurance) • Review of annual governance statement • Member training development 	
EXTERNAL	<ul style="list-style-type: none"> • Internal Control KLOE Use of Resources Assessment - Level 3 • External Audit: Annual Audit Letter (March 2009) 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Annual Governance Statement review (March-May 2009) • Directors / Heads of Service self assessment questionnaires (March - April 2009) 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.49	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Engaging with local people and other stakeholders to ensure robust public accountability.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships. • Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning. • Making best use of human resources by taking an active and planned approach to meet responsibility of staff. 	
SOURCE(S)	<ul style="list-style-type: none"> • CIPFA / SOLACE six core principles • Annual Governance Statement 	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Directors Assurance Statements • Corporate Governance (Internal Audit review - Significant Assurance) • Review of annual governance statement • Community Development Scrutiny Panel reports (e.g. Housing Strategy, Culture Services, Community Strategy) • Strategies established for Arts, Sports, Heritage, Green Spaces, Childrens Play 	
EXTERNAL	<ul style="list-style-type: none"> • Internal Control KLOE Use of Resources Assessment - Level 3 • External Audit: Annual Audit Letter (March 2009) 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Annual Governance Statement review (March-May 2009) • Directors / Heads of Service self assessment questionnaires (March - April 2009) • Internal Audit Plan 2009/10: Community Safety 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.50	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	A mechanism has been established for identifying statutory obligations.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> Responsibilities for statutory obligations are formally established Record held of statutory obligations Effective procedures to identify, evaluate, communicate, implement, comply with, and monitor legislative change, exist and are used Effective action is taken where areas of non-compliance are found in either mechanism or legislation 	
SOURCE(S)	Annual Governance Statement	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> Directors Assurance Statements Review for annual governance statement. Details of relevant legislation Job descriptions / delegations of key officers Confirm suitably qualified / experienced staff appointed to all key posts (any vacant key posts to be highlighted) Confirm relevant training provided to key officers and provide details Reports to CMT / Members on implications / procedural changes required to address new legislation Actions taken to amend systems / processes 	
EXTERNAL	<ul style="list-style-type: none"> Internal Control KLOE Use of Resources Assessment - Level 3 External Audit: Annual Audit Letter (March 2009) 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Annual Governance Statement review (March-May 2009)	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.51	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	A mechanism is in place to establish corporate objectives.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Consultation with stakeholders on priorities and objectives • The authority's priorities and organisational objectives have been agreed (taking into account feedback from consultation) • Priorities and objectives are aligned to principal statutory obligations and relate to available funding • Objectives are reflected in departmental plans and are clearly matched with associated budgets • The authority's objectives are clearly communicated to staff and to all stakeholders. 	
SOURCE(S)	Annual Governance Statement	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Directors Self Assessment Review • Review for Annual Governance Statement 	
EXTERNAL	CPA Corporate Assessment 2006	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Annual Governance Statement review (March-May 2009)	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.52	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Effective corporate governance arrangements are embedded.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Code of corporate governance established • Review and monitoring arrangements in place • Committee charged with governance responsibilities • Governance training provided to key officers and all members • Staff, public and other stakeholder awareness of corporate governance 	
SOURCE(S)	Annual Governance Statement	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Directors Self Assessment Review • Review for Annual Governance Statement • Code of Conduct in place • Register of Interests maintained, and declarations regularly reviewed • Gifts and hospitality records maintained and regularly reviewed • Scheme of delegation in place covering both financial and human resource responsibilities • Written record maintained of all decisions taken under delegations • Constitutional requirements for report writing / decision making 	
EXTERNAL	Audit Commission Corporate Governance Review. Internal Control KLOE Use of Resources Assessment - Level 3	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Annual Governance Statement review (March-May 2009)	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.53	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Effective performance management arrangements are in place.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Comprehensive and effective performance management systems operate routinely • Key performance indicators are established and monitored • The authority knows how well it is performing against its planned outcomes • Knowledge of absolute and relative performances achieved is used to support decisions that drive improvements in outcomes • The authority continuously improves its performance management 	
SOURCE(S)	Annual Governance Statement	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Directors Self Assessment Review and covered in Review for Annual Governance Statement. • Key Performance Indicators / National Indicators have been established and progress is regularly reported to DMT, CMT and the relevant portfolio holder • Robust mechanisms and clear responsibilities for monitoring each PI has been established to provide accurate and timely performance information 	
EXTERNAL	CPA Corporate Assessment 2006	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Internal Audit Plan 2009/2010: Performance Management PI's • Annual Governance Statement review - June 2009. 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.54	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Identify principal risks to achievement of objectives	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • The authority has successfully implemented clear policies, structures and processes for risk management. • The authority has developed a programme of risk management training for relevant staff • The corporate risk management board (or equivalent) adds value to the risk management process • A corporate risk officer has been appointed with the necessary skills to analyse issues and offer options and advice • Risk management is embedded throughout the authority • Risks in partnership working are fully considered 	
SOURCE(S)	Annual Governance Statement	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Included in Directors Self Assessment Statements, and also review for Annual Governance Statement. • Risk Management (Internal Audit review - Significant Assurance) 	
EXTERNAL	Internal Control KLOE Use of Resources Assessment - Level 3.	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Internal Audit Plan 2009/2010: Risk Management • Annual Governance Statement review - June 2009. 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.55	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Identify key controls to manage principal risks	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Financial regulations / Contract standing orders • Whistleblowing policy / Counter fraud and corruption policy • Codes of conduct / Register of interests • Scheme of delegation / Corporate complaints policy • Corporate health and safety document /Procurement policy are in place. • Business / service continuity plans are in place • Risk registers includes expected key controls to manage principal risks • The authority's internal control framework is subject to regular independent assessment. 	
SOURCE(S)	Annual Governance Statement	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Included in Directors Self Assessment Statements, and also review for Annual Governance Statement. • Risk Management (Internal Audit Review - Significant Assurance) • Development of Fraud Protocols with Corporate Fraud Team 	
EXTERNAL	Internal Control KLOE Use of Resources Assessment - Level 3.	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Internal Audit Plan 2009/2010: Risk Management • Internal Audit Plan 2009/2010: Health and Safety • Internal Audit Plan 2009/2010: Fraud Work • Annual Governance Statement review - June 2009. 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.56	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Obtain assurance on the effectiveness of key controls	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • The authority has determined appropriate internal and external sources of assurance • Appropriate key controls on which assurance is to be given have been identified and agreed • Departmental assurances are provided • External assurance reports are collated centrally • Internal Audit Arrangements • Corporate Governance Arrangements • Performance monitoring arrangements 	
SOURCE(S)	Annual Governance Statement	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Covered in review for annual governance statement and review of effectiveness of Internal Audit Service.	
EXTERNAL	<ul style="list-style-type: none"> • Internal Control KLOE Use of Resources Assessment - Level 3 • External Audit: Review of Internal Audit Effectiveness 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Annual Governance Statement review - June 2009	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.57	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Effective governance	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Governance, risk management and internal control frameworks are robust • Responsibilities on Legal and Democratic Services to support and monitor the Council's governance arrangements are observed. • Agreed Annual Governance Statement actions are implemented 	
SOURCE(S)	Annual Governance Statement	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Internal Audit reviews of Corporate Governance and Risk Management • Directors / Heads of Service self assessments • Review of arrangements for production of Annual Governance Statement • Audit Committee update on AGS significant risks action plan 	
EXTERNAL	<ul style="list-style-type: none"> • CPA Corporate Assessment 2006 • External Audit report to "Those Charged with Governance" (to Cabinet / Audit Committee) • Use of Resources Internal Control Score of 3 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Assurance Framework • Action Plan from Annual Governance Statement • Internal Audit 2009/2010 	
EXTERNAL ASSURANCE	<ul style="list-style-type: none"> • Comprehensive Area Assessment • External Audit Plan 2009/2010 	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.58	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Management of the Public Finance Initiative	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	The Council signed up to a PFI for the transformation of secondary school education. Regular monitoring is required to ensure that the project delivers to its objectives and those risks are appropriately identified and mitigated.	
SOURCE(S)	Annual Governance Statement 2007/2008	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services Cllr S Goldspink	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Ongoing monitoring is undertaken of the PFI contract • Specific accounting treatment is maintained within the council's accounts to ensure correct recording of charges over the life of the contract • Closure of accounts (June 2008) 	
EXTERNAL	External Audit: Report to Management 2007/2008	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Internal Audit Plan 2009/2010: Contract Work • International Financial Reporting Standards 	
EXTERNAL ASSURANCE	External Audit: Report to Management 2008/2009	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.59	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Safeguarding electronic data	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Fundamental reviews of the ICT infrastructure during the year have established a clear blue print to ensure the protection of the interests of the council, its employees and the citizens of Peterborough. • The Council manages transition to electronic management in a safe and secure environment to ensure data security 	
SOURCE(S)	Annual Governance Statement 2007/2008	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Efficiency & Business Improvement Cllr S Scott	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Whilst the council itself has not experienced any data losses, it is mindful of incidents in other public sector bodies. An incident team was created in October 2008 with the Primary Care Trust (and coordinated by them) following a potential issue within a family centre. Exemplary practice was followed. • Flowing from this, various encryption arrangements have been put in place in relation to laptops within the Council and the use of USB data sticks has been restricted. • Increased awareness has been made across the Council with the establishment of separate pages on Insite detailing practical advice on data security. • Within the Council, a working group has been commissioned to look further in to the safe storage and transfer of data to authorised sources. • Electronic document record management system being developed 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • The Council has to be compliant with a number of government initiatives - Government Connect project / E-CAF scheme - by 31 March 2009. An action plan is in place to deliver, which including changes to the IT architecture and councils policies. This is a time critical project to provide a secure environment for data exchanges. If the Council fails to meet the deadline, central government departments will cease to support information exchanges (in particular DWP) • Roll out of a corporate electronic document retention system across the Council has been delayed in number of areas • Internal Audit Plan 2009/2010: IT Activities • Internal Audit Plan 2009/2010: ERDMS 	
EXTERNAL ASSURANCE	Central Government: Code of Connection approval	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.60	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Data Quality	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	Soundness of the arrangements for ensuring data quality in the Council	
SOURCE(S)	Annual Governance Statement 2007/2008	
RESPONSIBLE OFFICER	Deputy Chief Executive	
RESPONSIBLE PORTFOLIO HOLDER	Efficiency & Business Improvement Cllr S Scott	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Directors / Heads of Service self assessment • Data quality arrangements have improved, with the externally assessed score moving to a 3 (from 2). A Data Quality policy and strategy has been implemented and regularly reviews are undertaken of data quality and the establishment of expected standards by Performance Improvement • Regular monitoring reports are taken to CMT 	
EXTERNAL	External Audit Data Quality review - Score 3	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Performance Indicators	
EXTERNAL ASSURANCE	External Audit: Data Quality Review	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.61	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Implementation of agreed Audit recommendations	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	Recommendations made by internal and external audit are implemented	
SOURCE(S)	Audit Committee	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Chair of Audit Committee Cllr P Hiller	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Internal Audit quarterly updates on progress to Audit Committee	
EXTERNAL	<ul style="list-style-type: none"> • External Audit: Report to Management 2007/2008 • External Audit: Review of Internal Audit Effectiveness 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Internal Audit Plan 2009/2010 • Follow Up Arrangements • Effective challenge through Audit Committee 	
EXTERNAL ASSURANCE	External Audit: Review of Internal Audit	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

E = Creating the UK's environmental capital
H = Creating strong and supportive communities
L = Delivering substantial and truly sustainable growth
C = Creating opportunities - tackling inequalities
E+E = Delivering value for money

ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.62	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	New ways of working	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	Implementation of new ways of working using technology to improve efficiency and support work life balance	
SOURCE(S)	Assurance Framework 2008	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Efficiency & Business Improvement Cllr S Scott	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Identification, implementation and ongoing monitoring of safe, secure and effective mobile and flexible new ways of working • Number of officers have mobile access via I-Mates. • Agile working scheme in place • Standardised software / hardware capabilities ensures efficient use and management 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Revenue and Benefits Service Project for agile working April 2009 • Accommodation review • Internal Audit Plan 2009/2010: Agile Working scheme 	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.63	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Customer satisfaction	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<ul style="list-style-type: none"> • Improve level of customer satisfaction through improved accessibility and informed staff • Peterborough Direct delivers council services that meet the needs of diverse communities • Customer focussed organisation with a single point of contact for the whole council 	
SOURCE(S)	Assurance Framework 2008	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Customer Focus and Communications Cllr M Dalton	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Peterborough Direct absorbing more services into structure e.g. planning services • Increased take up of telephone calls and waiting times reduced at "front of house" • Satisfaction surveys • Benefits service processing times improved 	
EXTERNAL	<ul style="list-style-type: none"> • CPA Score 4 (Enablers) • Benefit road shows attracts new customers 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> • Council web site re-design to be a more useful tool for customers to enable improved satisfaction ratings • New Place survey results (due March 2009) 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.64	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Housing strategy	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	Create strategies and development plans to support housing plans to support housing of at least 25,000 new houses built between 2001 - 2021, including sustainable affordable homes	
SOURCE(S)	Assurance Framework 2008	
RESPONSIBLE OFFICER	Deputy Chief Executive	
RESPONSIBLE PORTFOLIO HOLDER	Housing, Regeneration and Economic Development Cllr G Murphy	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • Housing needs survey (March 2008) • Stock conditions survey (2007) • Peterborough Housing Strategy • Homelessness Strategy 2008-2011 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Regeneration	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: MARCH 2009

REFERENCE	AF.65	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Safe recruitment	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	Compliance with expected recruitment standards across Council services including schools	
SOURCE(S)	Assurance Framework 2008	
RESPONSIBLE OFFICER	Deputy Chief Executive	
RESPONSIBLE PORTFOLIO HOLDER	Finance and Human Resources Cllr J Peach	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<ul style="list-style-type: none"> • CRB checks in place • Robust recruitment policy 	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Recruitment / CRB	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
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