

ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.01
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Staff capacity and skills
ASSURANCE REQUIRED	
STRATEGIC PRIORITY	E & E
NATURE OF ASSURANCE REQUIRED	<p>The council manages change in the light of revised structures enabling sustained service delivery at existing levels.</p> <p>The Council has a challenging corporate change programme and there are a number of potential risks to its successful completion e.g. lack of leadership capability, limited information on future skills requirements / develop / recruit talent, and limited project management skills.</p>
SOURCE(S)	Strategic Risk Register (SSR) 1.01
RESPONSIBLE OFFICER	(Interim) Head of Human Resources Head of Business Transformation
RESPONSIBLE PORTFOLIO HOLDER	Leader of the Council Strategic Planning, Growth and Human Resources Resources
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 in order to develop own staff. Programme since developed and expanded / cascaded to 4th Tier managers. Skills audits undertaken as part of Annual Performance and Development (APD) process for all officers. Regular reviews mechanisms in place to ensure coverage across all areas. Staff sickness monitoring (trend analysis e.g. stress related) monthly to Corporate Management Team (CMT) and reports submitted to Scrutiny Committee. Voluntary redundancy scheme (early 2009) evaluated by Directors to ensure that impact on services at forefront of all decisions
EXTERNAL	Investors in People accreditation (training development crucial element)
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED	
INTERNAL	<p>Ongoing reviews of staff levels to ensure meet needs of service / customer expectations. Annual Governance Statement 2008/2009 (Governance Issue 2009-08 Sickness Absence). Processes need to be regularly reviewed and stricter regime implemented.</p> <p>Development of Manor Drive initiative to link with / provide to other organisations. Development of multi-skilled workforce.</p> <ul style="list-style-type: none"> Case studies to be developed to demonstrate the Council meets the Key Lines of Enquiry (KLOE) within the Comprehensive Area Assessment (CAA) for Managing Resources (3.3 People). "Does the organisation plan, organise and develop its workforce effectively to support the achievement of its strategic

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With the overarching requirement of delivering value for money (E & E)

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	<i>priorities?</i>
EXTERNAL ASSURANCE	CAA. (2009 review excluded Workforce Planning for unitary authorities. Included from 2010)
LEVEL OF ASSURANCE	
FULL ASSURANCE	MODERATE
	FURTHER WORK REQ'D

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REFERENCE	AF.02	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Staff retention in key areas	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	<p>The organisation can recruit and retain appropriate / quality staff</p> <p>The Council is finding it difficult to recruit / retain staff in a number of key areas so staffing levels is consistently low. Key vacancies reach dangerous levels e.g. pay levels too low to recruit, widespread use of consultants, drop in productivity and performance</p>	
SOURCE(S)	SRR 1.02	
RESPONSIBLE OFFICER	Deputy Chief Executive (Interim) Head of Human Resources	
RESPONSIBLE PORTFOLIO HOLDER	Leader of the Council Strategic Planning, Growth and Human Resources Resources	
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 internal staff Development of market force supplements in key / difficult work fields Job evaluation process and full adoption (March 2008). Ongoing appeals / verifications during 2008. Voluntary redundancy scheme (early 2009) evaluated by Directors to ensure that impact on services at forefront of all decisions 	
EXTERNAL	Investors in People accreditation	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<ul style="list-style-type: none"> Job Evaluation - Stage 2 appeals due to commence in September / October. Internal Audit Plan 2009/2010: Recruitment 	
EXTERNAL ASSURANCE	CAA. (2009 review excluded Workforce Planning for unitary authorities. Included from 2010)	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 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	<p>Long term financial risk to the Council is minimised.</p> <p>Ongoing management of PFI projects, capital projects and grant funded schemes</p> <p>The Council has been successful in bidding for and winning grant money from external sources but has not always considered the long term revenue implications when the funding ceases.</p>	
SOURCE(S)	SRR 1.03	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Leader of the Council Strategic Planning, Growth and Human Resources Resources	
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 factored in 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 Grant claims unqualified (Internal Audit on behalf of PricewaterhouseCoopers) Partnership toolkit established which considers financial elements as well as risks, contracts, employment, legal issues etc. 	
EXTERNAL	<ul style="list-style-type: none"> Other Grant claims unqualified External Audit Closure of Accounts (Report to Management) Jan 2009 Joint working arrangements with external partners e.g. EEDA, GO-East 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Central Funding Unit proposal within Strategic Resources to coordinate and evaluate all bids	
EXTERNAL ASSURANCE	Grant claims approved / unqualified	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

REFERENCE	AF.04
KEY CONTROL AREA WHERE ASSURANCE	Growth

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REQUIRED
DELETED - COMBINED WITH AF.07

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.05	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Local Area Agreements	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	<p>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</p> <p>Ensure that LAA targets are met and that arrangements for democratic accountability are sound. Furthermore, need to look to ensure reach all LAA outcome targets and delivering of Sustainable Community Strategy especially in light of the credit crunch.</p>	
SOURCE(S)	<p>SRR 1.05</p> <p>Annual Governance Statement 2007/2008 (Governance Issue 2008-02 Development of LAAs)</p>	
RESPONSIBLE OFFICER	<p>Chief Executive</p> <p>Lead Directors (with LAA targets)</p>	
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) Executive Decision (20 March 2009) approved annual refresh of the LAA Commentary on LAA out turn (Cabinet 6 July 2009) 	
EXTERNAL	Greater Peterborough Partnership integrated approach with partners	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<p>Annual refresh of LAA to ensure targets remain relevant</p> <p>Regular reporting of performance to appropriate Panels, Scrutiny and Cabinet</p> <p>Data collection accuracy between partner organisations</p>	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 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	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	
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) and liaison with Auditors 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 Assessments (for PCC and PCT) Assurance from CHIAS (or new provider as contract out to tender September 2009) 	
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FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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REFERENCE	AF.07	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Delivery of Master Plan	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E L	
NATURE OF ASSURANCE REQUIRED	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	Strategic Planning, Growth and Human Resources Regional and Business Engagement Resources	
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 • Refresh of MTFS to further identify any impact of credit crunch • Internal Audit Plan 2009/2010: Regeneration • Internal Audit Plan 2009/2010: Sustainability 	
EXTERNAL ASSURANCE	Comprehensive Area Assessment Opportunity Peterborough deliverables	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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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	A flu pandemic or other major illness affects both the local community impacting service need and the Council workforce impacting service delivery. 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 Arrangements put in place for swine flu. <ul style="list-style-type: none"> • Key services identified and potential relocation of staff • All staff surveyed and ongoing monitoring of situation • Clear links put in place with PCT and separate distribution centre identified and used earlier in year
EXTERNAL	Use of Resources: Internal Control KLOE overall score = 3
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED	
INTERNAL	Internal Audit Plan 2009/2010: Business Continuity Internal Audit Plan 2009/2010: Health & Safety Future monitoring / reporting to Council and / or regional
EXTERNAL ASSURANCE	-
LEVEL OF ASSURANCE	
FULL ASSURANCE	MODERATE
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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 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	<p>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.</p> <p>Council delivers its duties under the Civil Contingencies Act.</p> <p>Council provides adequate response to major incident.</p> <p>Council has sufficient plans and measures to avoid service disruption.</p>
SOURCE(S)	<p>SRR 1.09</p> <p>Annual Governance Statement 2007/2008 (Governance Issue 2008-03 Business Continuity)</p>
RESPONSIBLE OFFICER	Executive Director of Operations
RESPONSIBLE PORTFOLIO HOLDER	ALL
ASSURANCE CURRENTLY AVAILABLE	
INTERNAL	<p>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.</p> <p>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.</p> <p>Workshops provided to all departments / corporate buy in / key officers identified.</p> <p>Directors / Heads of Service annual self assessment statements</p> <p>Business Continuity and Risk Management combined into one overarching strategy / policy</p>
EXTERNAL	Use of Resources: Internal Control KLOE overall score = 3
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED	
INTERNAL	<p>Departmental business continuity plans to be amalgamated into over arching corporate continuity plans</p> <p>Internal Audit Plan 2009/2010: Business Continuity Planning</p>

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EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
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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	Tighter budget setting arrangements as a result of Comprehensive Spending Reviews require greater scrutiny of the budgets and the services provided. 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	Resources	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Integrated processes between service and financial planning Medium Term Financial Strategy Project appraisals in place Ongoing programme of zero based budgeting (Children Services, Operations)	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Gateway reviews of bids Impact of potential reduction in funds based on possible change in Central Government spending plans	
EXTERNAL ASSURANCE	Evaluation of benefits realisation	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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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	Due to information shortfall in relation to all our partnerships it means we cannot accurately assess the full extent of any potential financial, reputation or legislative impacts on the Council. Overall, PCC needs to ensure that partnership arrangements are robust, governance arrangements are sound
SOURCE(S)	SRR 1.11
RESPONSIBLE OFFICER	All Directors Solicitor to the Council
RESPONSIBLE PORTFOLIO HOLDER	ALL
ASSURANCE CURRENTLY AVAILABLE	
INTERNAL	Development of partnership toolkit Risk assessment of key partnerships and governance arrangements established Partnership workshops run for CMT LAA targets established and ratified by Go-East Partnership arrangements with GO-East, EEDA, Opportunity Peterborough, English Partnerships, Greater Dogsthorpe Partnership, Cross Keys Creation of Strategic Governance Board chaired by Solicitor to the Council
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 Annual Governance Statement 2008/2009 (Governance Issue 2009-05 Effective Governance). Follow up arrangements to be monitored and reported though Audit Committee.
EXTERNAL ASSURANCE	Comprehensive Area Assessment
LEVEL OF ASSURANCE	

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FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D
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REFERENCE	AF.12
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Credit crunch
ASSURANCE REQUIRED	
STRATEGIC PRIORITY	E & E
NATURE OF ASSURANCE REQUIRED	The credit crunch impacts on many areas of the Council's income, including land charges, car parking, commercial rents and interest receipts from investments. Financial position of council is secured, despite reductions in income. 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	Resources
ASSURANCE CURRENTLY AVAILABLE	
INTERNAL	<p>Medium Term Financial Strategy (MTFS)</p> <p>Budgetary control reporting processes flag up / highlight early warning problem areas</p> <p>Separately identified as part of Annual Governance Statement 2008/2009 covering 3 aspects - 2009-01 Lower Income; 2009-02 Increase in Service Requirements; and 2009-03 Impact on Capital Disposal.</p>
EXTERNAL	-
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED	
INTERNAL	<p>Lower Income: Budgets have been scrutinised to identify savings without cutting services. Ongoing monitoring of costs and income levels are required to ensure that budgetary pressures are identified on a timely basis throughout the year.</p> <p>Increased Service Requirements: Due to impacts on social well-being, there is a real possibility that there will be an increase in the need for council services. Careful monitoring is required of any increased need for advice, counselling, mental health-type preventative services.</p> <p>Capital Disposals: There is extensive public interest and resources in the capital programme are limited. The Council must ensure that resources and risks are managed and prioritised effectively and that the budget is not overspent.</p> <p>Internal Audit Plan 2009/2010: Treasury Management</p> <p>Cabinet (October 2009)</p>
EXTERNAL ASSURANCE	<p>External Audit: Report to Management 2008/2009</p> <p>Comprehensive Area Assessment</p>

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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	There are a number of innovative solutions being considered within the Council for the delivery of services. It is essential that the full implications of these are considered. 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	Resources	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Governance arrangements established Various projects set up to manage approach Director briefings (since Dec 2008) re: Manor Drive developments. Ongoing visits from other authorities / organisations expressing an interest Business Transformation projects Revenue and Benefits Service development for agile working ICT Managed Service contract in place from October 2009. Separately identified as part of Annual Governance Statement 2008/2009 covering 2 aspects - 2009-11 Shared Services; and 2009-12 Service Performance	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Ongoing discussions with other Councils Development of Manor Drive proposals / solution(s) 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	
LEVEL OF ASSURANCE		
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REFERENCE	AF.14	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Diversity	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C	
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	Director of Adult Social Services and Performance	
RESPONSIBLE PORTFOLIO HOLDER	Health & Adult Social Care	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Diversity Strategy developed with clear action plans to deliver. Equality and Diversity Policy Training provision to managers New Link Resource Centre	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Equality impact programme initiated and assessments undertaken DMT developing action and implementation plans Annual Equalities monitoring report Equality and Diversity Group of senior managers	
EXTERNAL ASSURANCE	External accreditation / inspection against equality standards	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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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	Deputy Chief Executive Head of Strategic Property (Interim) Head of Human Resources	
RESPONSIBLE PORTFOLIO HOLDER	Health & Adult Social Care	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Disability audit of council buildings DDA programme of works Review of established policies	
EXTERNAL	CPA Corporate Assessment 2006	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Asset management strategy development and regular refresh	
EXTERNAL ASSURANCE	Comprehensive Area Assessment (Managing Resources - Assets)	
LEVEL OF ASSURANCE		
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REFERENCE	AF.16	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Equal pay harmonisation	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	<p>There has been a large increase in equal pay claims nationwide. We now have an equal pay scheme in place (March 2008), however there are a number of appeals.</p> <p>Robust job evaluation processes have been followed which will prevent any potential equal pay claims</p>	
SOURCE(S)	SRR 2.03	
RESPONSIBLE OFFICER	Deputy Chief Executive	
RESPONSIBLE PORTFOLIO HOLDER	Leader of the Council Strategic Planning, Growth and Human Resources Resources	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<p>Job evaluation process regularly reported to Cabinet</p> <p>MTFS</p> <p>Robust appeals process</p> <p>Separately identified as part of Annual Governance Statement 2008/2009 - 2009-06 Single Status Agreement. A year on, the council is assured through an independent audit that its pay structure is now free of gender-based inequalities and therefore that the SSA has done its job. Nonetheless, there remain a number of specific appeals to consider, and litigation connected to "backward-looking" cases is progressing through the employment tribunals. The litigation itself and the awards that might be made should some cases succeed represent financial risk for the Council which is actively managed by a project board chaired by the Deputy Chief Executive with Human Resources, Financial and Legal attendance. The initial team of interims officers running the Job Evaluation process and SSA project has been replaced by a small in-house team funded from within the significantly reduced Human Resources budget that has been achieved.</p>	
EXTERNAL	Agreements with Unions (locally and nationally) before implementation	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Stage 2 appeals planned for September / October 2009	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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With the overarching requirement of delivering value for money (E & E)

ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.17	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Community cohesion and engagement	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	H	
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	Neighbourhood, Housing and Community Development	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<p>Community Engagement reviews by Scrutiny Committee</p> <p>Peterborough Community Safety Partnership</p> <p>Asylum and Migration Service delivered through New Link Resource Centre</p> <p>CCTV high profile / visibility in key areas</p> <p>Partnership arrangements between Police, LA and other key partners</p> <p>LAA themed areas</p> <p>Coordination by Community Safety Partnerships (part of GPP)</p> <p>Neighbourhood Investment Plan (linked to voluntary community sector capacity)</p>	
EXTERNAL	CPA Corporate Assessment 2006	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Sustainability	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 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. Through investment, BSF aims to drive reform such as Academies, provision for special needs and extended schools.	
SOURCE(S)	SRR 4.01	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Education, Skills and University	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Project Board established with involvement of key stakeholders. Project focus on 2 of the remaining 3 schools in the south of the city (Orton Longueville and Stanground College) Phase 2 Secondary Schools Review (Cabinet reports) MTFS	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Capital Gateway Review Strategies for Change to be developed Evaluation of bids submitted	
EXTERNAL ASSURANCE	Effective management of PFI monies required. Issue identified within Statement of Accounts 2008 / 2009	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 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	Education, Skills and University	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	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)	
EXTERNAL	LPSA assessment	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	LPSA Assessment OFSTED (authority and individual schools) Joint Area Review Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 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	Education, Skills and University	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	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)	
EXTERNAL	LPSA assessment	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	LPSA Assessment OFSTED (authority and individual schools) Joint Area Review Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.21	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Children staying safe / child protection	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C	
NATURE OF ASSURANCE REQUIRED	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	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	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 Implementation of Child Matters Development of Children's' Trust to coordinate organisations responsibilities	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Workstreams reviewing processes in light of Haringey and other reviews Safeguarding development group established Internal Audit Plan 2009/2010: Recruitment / CRB	
EXTERNAL ASSURANCE	Assurance requirements from external partner organisations e.g. EPM for schools HR support	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 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	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Focussed work linked with LAA Children and Lifelong Learning Scrutiny Panel reports Internal Audit review of LAA Grant Claim / performance indicators and targets	
EXTERNAL	National Strategies Team Action Plan LPSA targets	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	LPSA funding	
LEVEL OF ASSURANCE		
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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 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	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	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	Ongoing review of service strategy	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 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 Local partnerships for children brought together	
SOURCE(S)	SRR 4.07	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Adoption of joint commissioning model by Children's Trust and full implementation of joint commissioning team. Established April 2008. Clear vision in place Formal agreement with NHS Peterborough on joint commissioning and delivery of aligned / pooled budgets in key areas	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Refresh of Childrens Trust	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 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 All local authorities to introduce a Childrens Workforce plan by 2010	
SOURCE(S)	SRR 4.08	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Integration of work plans Business process reengineering within Childrens Services Training Strategy Career development scheme for qualified social workers	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

REFERENCE	AF.26	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Children's Service Change programme	
LEVEL OF ASSURANCE:	Not applicable DELETED	

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