

Assurance Mapping

Questions aimed at identifying assurance

What is assurance? – “A critical review that gives us a reasonable level of confidence on service delivery arrangements, management of controls, and/or performance.”

First Level of Assurance – Management controls (Service/directorate level):

This could include:

- Policies and Procedures
- Processes and Controls
- Management actions to ensure compliance
- Governance arrangements
- Risk Registers/issues logs

Second Level of Assurance - Corporate Functions and Third parties

This could include;

- Regulatory Authorities/inspections e.g. OFSTED
- Assurance functions of the Council e.g.
 - Audit Committee
 - Scrutiny Committees
 - Health and Safety audits
 - Assurance from Legal
 - Assurance from Procurement
- External audit
- Statistical returns e.g. RO forms, single data set returns
- Benchmarking
- External scrutiny of grant or other claims/assessments
- Professional organisation updates e.g. LGA
- Networking Groups

Third Level of Assurance – Independent Internal Audit

- Assurance on service delivery arrangements
- Assurance on management of risks
- Advice on design and operation of controls
- Assurance on performance.