

Figure 1 – Summary of Chief Executive Assurance Statement 2015/16

	Assurance Statement	Yes	Partly	No
1.	<p><u>Policies, Objectives & Performance</u></p> <ul style="list-style-type: none"> • The Council has worked towards delivery of the objectives set out within the Corporate Plan • All Directors have ensured that Directorate Delivery Plans are prepared for their directorates which set out how services contribute to the achievement of the Council’s corporate objectives and the management of the associated risks • All Directors ensure that individual Personal Performance and Development Reviews (PPDRs) capture the individual officer contributions to Directorate and Team Plans. 	3	-	-
2.	<p><u>Compliance</u></p> <ul style="list-style-type: none"> • All Directors conduct their business in line with the Council’s Constitution. • All Directors conduct their business in line with Council’s policies. • Adequate arrangements are in place to ensure that Directors are aware of legislative and other compliance requirements. • Projects and programmes are managed in compliance with the PQA framework, and I am provided with periodic updates of performance against risks, issues and milestones. • All new delivery models / initiatives are assessed using the Council’s business case process (five case model). 	5	-	-
3.	<p><u>Management Structures & Staffing</u></p> <ul style="list-style-type: none"> • All Directors have clearly defined job descriptions. • All Directors are aware of their roles and responsibilities. • Performance appraisals of all Directors are carried out biannually as part of the PPDR process. 	3	-	-
4.	<p><u>Governance</u></p> <ul style="list-style-type: none"> • All decisions taken by the Management of the Council are done so with consideration to any legal implications. • All decisions taken by the Management of the Council are done so with consideration to any financial implications. • All decisions taken by the Management of the Council are done so with consideration to any associated risks. 	3	-	-
	Total	14	0	0

Figure 2 - Summary of Director Senior Management Assurance Statements 2015/16

Assurance Statement		Yes	Partly	No
1.	<u>Corporate Risk Management</u> - In areas for which I am responsible, I make every effort to contribute to the mitigating actions contained within the Corporate Risk Register.	28	-	-
2.	<u>Directorate Risk Register</u> - I am satisfied with the risk management arrangements within my Directorate. Risks have been identified and assessed, and the controls in place to manage the risks have been operating effectively throughout the period under review.	35	7	-
3.	<u>Partnerships / Collaboration Risk</u> - Appropriate consideration of the risks associated with any partnership or collaborative activity have been determined before any agreement has been entered into by the Council.	12	-	-
4.	<u>Compliance with Council Rules</u> - Staff within my Directorate involved with financial matters and contracts are familiar with and comply with Financial Procedure Rules and Contract Standing Orders & Procurement Rules. Management are fully aware of their responsibilities when authorising transactions and will be held accountable for their actions.	35	-	-
5.	<u>Project Quality Assurance (PQA)</u> - Proposed business change models impacting on service delivery take account of the associated risks and internal controls as a key element of the implementation of the change. Change models delivered through a project follow the Council's PQA process, reducing the Council's risk profile by having a clear scope, delivering within the constraints of time, cost and quality, enabling proactive assessment and management of risk.	36	4	2
6.	<u>Budget Monitoring</u> - The level of savings to be achieved is significantly higher than in previous years, consequently the Directorate has effective budget monitoring arrangements in place and all efforts have been made to balance spend against budget for the financial year.	21	-	-
7.	<u>Resource Savings</u> - Due consideration has been given to risks and the need to protect basic financial controls when proposing savings e.g. any voluntary redundancy and any consequential restructuring.	14	-	-
8.	<u>Internal Control Environment</u> - The operation of key controls within my Directorate are monitored on a regular basis to ensure risk is mitigated where possible and key controls within core business are maintained.	21	-	-
9.	<u>Fraud & Financial Impropriety</u> - All suspected cases of fraud or financial impropriety are referred promptly to Internal Audit. Investigations are undertaken in a robust manner, with sanctions consistently applied, that recognise the seriousness of the matter under investigation.	28	-	-
10.	<u>Independent Assurance</u> - All reports received from Regulators, Inspectorates, External and Internal Audit are considered in a timely manner. Management actively monitor and ensure action is taken to implement agreed recommendations to enhance the internal control environment.	18	3	-
11.	<u>Service Delivery</u> - The impact of the severe budget pressures has had an impact on resources within Directorates. Do you consider your Directorate has the structure in place to maintain and deliver an appropriate standard of service for customers and stakeholders?	19	2	-
12.	<u>Performance Measurement & Management</u> - KPI and benchmarking data is collected for all key areas of service and used to measure performance and to drive improvement actions. Through the PPDR Scheme all staff within my Directorate are clear about their roles, responsibilities and the behaviours expected of them whilst giving a clear understanding of how their job and efforts contribute to the Council's objectives.	29	5	-
Total		296	21	2

* Summary of the 7 Completed Directorate Assurance Statements