

**SENIOR MANAGEMENT ASSURANCE STATEMENTS - 2016/17 MID YEAR  
SUMMARY**

**REPORT OF CORPORATE DIRECTOR RESOURCES**

**AGENDA ITEM: 6.2**

**Reason for Report**

1. This report has been prepared to provide Audit Committee with a summary of the completed Senior Management Assurance Statements (SMAS's) for the mid-year position in the financial year 2016/17.

**Background**

2. Central to good governance is being open and transparent in our affairs, highlighting any areas of concern at a corporate level and setting out effective arrangements for their management.
3. For several years Directors have been asked to complete a Senior Management Assurance Statement (SMAS) which feeds into the Annual Governance Statement (AGS) and forms a part of the Council's Statement of Accounts. The purpose of the AGS is to provide a true reflection of the governance arrangements in place within the Council.
4. Completion of the SMAS requires each Director to respond to a set of statements reflecting how they have discharged their role in the financial year to date. The 2015/16 year-end saw the introduction of a Chief Executive Assurance Statement to ensure assurance responses are received from the full Senior Management Team (SMT).
5. The SMAS process also requires senior management to review the significant governance issues carried forward from the AGS 2015/16. The SMT position at the year-end will be incorporated into the AGS 2016/17.

**Issues**

6. It is now common practice for Senior Managers to use their respective management team meetings as a forum for discussing and completing their SMAS assurance responses.
7. The Chief Executive answered 'yes' to each of his assurance statements and out of the 335 assurance responses from Directors collectively, there were 318 'yes' responses and 17 'partly' responses. Out of the 'partly' response the largest identified scope for improvement is the area relating to project quality assurance.

8. One Chief Executive Assurance Statement and seven SMAS's were issued and all were returned. A summary of the outcome is attached at Appendix A.
9. Supporting information has been sought from Internal Audit at the mid-year review initially as an aid to assisting the development of discussions building up to the production of the AGS. There is an intention to further develop the breadth of information which contributes to the AGS throughout the year.
10. The Head of Finance and OM, Information Governance and Risk attended Senior Management Team on the 15 November 2016 to provide a summary outcome, and to discuss any significant issues submitted by Directors.

### **Reason for Recommendation**

11. To inform the Audit Committee of the summary content of the returned Senior Management Assurance Statements at the mid-year position.

### **Legal Implications**

12. There are no direct legal implications arising from this report.

### **Financial Implications**

13. There are no direct financial implications arising from this report.

### **Recommendation**

14. The Audit Committee to note the summary of returned questionnaires.

**CHRISTINE SALTER**  
**CORPORATE DIRECTOR RESOURCES**  
29 November 2016

The following Appendix is attached:

**Appendix A** – Summary of Senior Management Assurance Statements 2016/17 (Mid-Year)