

Summary of Senior Management Assurance Statements 2014/15

		Yes	Partly	No
1.	<u>Corporate Risk Register</u> - The areas for which I am responsible make every effort to contribute to the mitigating actions contained within the Corporate Risk Register.	10	-	-
2.	<u>Directorate Risk Register</u> – I am satisfied with the risk management arrangements within my Directorate in that risks have been identified, assessed and the controls in place to manage the risks have been operating effectively throughout the period under review.	8	2	-
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.	9	1	-
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.	9	1	-
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.	8	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.	9	1	-
7.	<u>Resource Savings</u> - Due consideration has been given to the risks and the need to protect basic financial controls when proposing savings e.g. any voluntary severance and any consequential restructuring.	10	-	-
8.	<u>Internal Control Environment</u> - The operation of the 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.	10	-	-
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.	10	-	-
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.	9	1	-
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.	6	4	-
12.	<u>Personal Performance and Development Reviews (PPDR)</u> – 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.	6	4	-
	Total	104	16	-

* Summary of the 10 Completed Assurance Statements