

## **Appendix A Senior Management Assurance Statement Questions**

### **Risk**

1. All relevant risks to directorate and corporate priorities and objectives are identified promptly and I receive a complete and comprehensive directorate risk register at least quarterly.
2. My quarterly risk identification, assessment and review processes include effective engagement with all relevant managers, partner organisations, stakeholders and boards, through which I ensure good awareness and use of all relevant risk information.
3. I have at least one dedicated risk champion for my directorate, and I meet with my lead risk champion at least quarterly to review my directorate and corporate risks and ensure all risk registers are complete, accurate, effectively assessed and reported to the Risk Management Team each quarter.
4. I ensure proportionate risk responses are applied to manage all directorate risks in a timely manner and to an acceptable level, and I escalate all 'red' risks to SMT at least quarterly.
5. I have strategies in place to ensure that all corporate risks allocated to me are managed to an acceptable risk level in a timely manner.

### **Partnership Working**

6. There is a well-developed understanding of how key decisions/ actions impact on other Council departments and I can evidence that my Directorate management team proactively seek opportunities to work across Council departments.
7. I can evidence that my Directorate management team proactively seek opportunities to work with other public bodies.
8. I receive timely and complete reports from all directorate partnership and collaborative arrangements, from which I can report assurance on robust governance, risk management and control.

### **Engagement and Equalities**

9. I can demonstrate that there is an understanding of who needs to be involved in any decision about changes to my services, and why, in any engagement activity. This includes clear evidence that the views of the hardest to reach groups are considered and that all statutory requirements in relation to consultation and engagement are met.
10. I can demonstrate how decisions taken within my directorate are made giving consideration to groups protected by the Equalities Act and the Equalities Impact Assessments are undertaken where appropriate.

### **Compliance**

11. The results of compliance and review reports demonstrate sound compliance with policies, rules, legal, regulatory and safeguarding requirements across my areas of responsibility.

12. I am aware of and deliver clear actions promptly to address all areas of non-compliance e.g. training, work instructions, systems development, application of HR policy, safeguarding, Health and Safety, Information Governance etc.

### **Project Initiation**

13. Prior to initiating any new programmes or projects: I demonstrate the rationale and methodology which supports prioritising the project or programme, Where relevant the broad scope is considered whether or not the resource to manage is within the directorate."
14. All programmes and projects for which I am responsible have robust briefs, plans and business cases which have been appropriately approved in a timely manner, and include clearly defined financial and non-financial outcomes and benefits
15. All programmes and projects proactively manage the achievement of key milestones and record and manage associated opportunities, risks and issues. This is evidenced in timely and robust reporting to oversight boards.

### **Budget**

16. Throughout my directorate, there are robust mechanisms in place to deliver the Revenue and Capital budget with strong and effective budget monitoring and control. I can demonstrate that decisions are implemented with the funding already in place.
17. Throughout my directorate, there are robust mechanisms in place to deliver all savings and income targets.

### **Planning & Performance**

18. My directorate has worked effectively to deliver the Corporate Plan, and my Directorate Delivery Plan clearly sets our contribution to achieving corporate priorities and objectives and managing associated risks.
19. I can demonstrate preventative actions that are likely to contribute to better outcomes and which represent more effective use of resources over the longer term, even where this may limit the ability to meet some short-term needs.
20. I can demonstrate that I have a clear understanding of current and future demand pressures and trends that will impact on my service, and that these inform my services priorities and risks.
21. KPI and benchmarking data is collected for all key areas of service and are used to measure performance and to drive improvement actions.
22. All relevant staff have completed their Performance Reviews using S.M.A.R.T objectives with evidence used to produce development plans.
23. Robust business cases outline the savings and the mitigation of associated risks such as sale of assets, technology changes, reduced staffing, restructure or alternative service delivery models.

## **Control**

24. There are Clear Roles and Responsibilities combined with a clear and effective authorisation processes
25. Robust and complete policies and procedures with Robust monitoring, reporting and review arrangements to enable timely identification and mitigation of control weaknesses
26. There is a culture of clear accountability for upholding strong internal controls within the directorate and managing any non-conformance.
27. Across all functions, partnerships and collaborations, robust safeguards are in place for:
  - Physical and information assets
  - Financial Stewardship
  - Authorisation and approval procedures
  - Systems

## **Fraud**

28. I have robust controls in place to prevent and promptly detect fraud, bribery and corruption
29. I can evidence effective application of the Fraud, Bribery & Corruption Policy and the Disciplinary Policy