

## Directors' Assurance Statements - Questionnaires

| 1.  | Policy and Decision Making  |        |                    |
|-----|---|--------|--------------------|
| No. | Key area  | Yes/No | Comment / Evidence |
| 1.1 | What arrangements do you have to ensure that all appropriate Corporate and Service policies have been disseminated effectively to your staff?                           |        |                    |
| 1.2 | What arrangements do you have in place to ensure that all decisions in your directorate been made through proper process in accordance with the Council's constitution? |        |                    |
| 1.3 | Have strategic, or key decisions, been properly documented and taken after fully considering risk and resourcing implications?  |        |                    |
| 1.4 | Have corporate priorities and policies been reflected in your Group or Directorate Business Plan?   |        |                    |
| 1.5 | Have your service policies been properly approved in accordance with the Council's constitution?  |        |                    |

| 2. Service Delivery |   |        |  |
|---------------------|---|--------|--|
| No.                 | Key area  | Yes/No | Comment / Evidence                                       |
| 2.1                 | Have directorate priorities been identified and reflected in: <ul style="list-style-type: none"> <li>• Service business plans?</li> <li>• Performance indicator targets?</li> <li>• Individual targets detailed in appraisals?</li> <li>• Budget/Medium term financial plan?</li> </ul> |        |  |
| 2.2                 | Are priorities informed by appropriate consultation, including customers and the Corporate Plan?  |        |  |
| 2.3                 | Have priorities been communicated within the department?  |        |  |
| 2.4                 | Are Business Plans in place for all Business Units?   |        |  |
| 2.5                 | Have critical and priority services been identified and business continuity plans been developed and approved for these?  |        | If yes, please state your critical and priority services |
| 2.6                 | Are the business continuity plans in the above areas regularly reviewed and tested?   |        |  |
| 2.7                 | What arrangements do you have in place to ensure that all statutory obligations have been provided in your service area and that all legislation been complied with?  |        |  |
| 2.8                 | Have you reviewed delegations to ensure that delegated powers are sufficient for the needs of the service?  |        |  |

| 3.  | Strategic and Operational Risk Management   |        |   |
|-----|---|--------|---|
| No. | Key area  | Yes/No | Comment / Evidence  |
| 3.1 | Do you liaise with your Group Directorate risk management representative who can feed issues into meetings of the Corporate Risk Management Group and report back on Corporate initiatives? |        |   |
| 3.2 | Do you have Departmental and Business Units' risk registers?  |        |   |
| 3.3 | Do the risk registers include consideration of all types of risk including fraud risks, partnership risks and opportunity risks?  |        | If yes, please provide evidence of key fraud risks identified in your department. |
| 3.4 | Are the Departmental and Business Units risk registers reviewed and updated at least quarterly?   |        |   |
| 3.5 | Have risk owners been allocated to all key risks identified to ensure appropriate actions are taken to manage and monitor the risks?  |        |   |

| 4. Performance Management |   |        |                        |
|---------------------------|---|--------|------------------------|
| No.                       | Key area  | Yes/No | Comment / Evidence     |
| 4.1                       | Have key performance indicators have been established and is progress monitored and regularly reported to the Group's senior management team, Corporate Board and Executive Member? |        |                        |
| 4.2                       | Have robust systems and clear responsibility for monitoring each PI have been established to provide accurate and timely performance information?                                   |        |                        |
| 4.3                       | Have any of the Department's BVPIs been reserved by the Council's External Auditor?   |        |                        |
| 4.4                       | Do the key or local indicators indicate significant performance issues?   |        | If yes, please detail. |
| 4.5                       | Are the number and type of complaint/comment received by the department monitored and regularly reviewed?   |        |                        |
| 4.6                       | Are issues arising from Ombudsman's investigations prioritised and regularly reviewed?  |        |                        |

| 5.  | Partnerships with other public bodies, voluntary and community organisations involving funding of over £50,000pa.   |        |                    |
|-----|---|--------|--------------------|
| No. | Key area  | Yes/No | Comment / Evidence |
| 5.1 | List all said partnerships currently operated within your department.   |        |                    |
| 5.2 | What arrangements do you have in place that gives you assurance that there are effective financial and governance arrangements in place for these partnerships?                                     |        |                    |
| 5.3 | Do you have assurance that partners, staff and other stakeholders understand the respective partnership roles and responsibilities?   |        |                    |
| 5.4 | Is an exit strategy in place for each significant partnership and has this been fully documented?   |        |                    |
| 5.5 | Do you have assurance that Departmental / Business Risk Registers adequately record partnership risks and where appropriate that the partners are actively involved in the risk management process? |        |                    |

| 6.   | Finance and Asset Management  |        |                    |
|------|---|--------|--------------------|
| No.  | Key area  | Yes/No | Comment / Evidence |
| 6.1  | Was a budget set for your Department that was aligned to your business plan?  |        |                    |
| 6.2  | Has clear responsibility been assigned for all budgets within your Directorate?   |        |                    |
| 6.3  | Have individual managers with the responsibility for budgets received appropriate financial training?   |        |                    |
| 6.4  | Do you have assurance that all relevant staff in your Department are aware of and have access to the Council's Financial Regulations, Contract Standing Orders and other Departmental specific financial procedures/guidance? |        |                    |
| 6.5  | Have any significant virements (budget variations) between budget heads been properly approved?   |        |                    |
| 6.6  | Are all fees and charges regularly reviewed and are invoices raised promptly?   |        |                    |
| 6.7  | Were estimated efficiency savings identified and agreed with relevant managers and were these savings delivered?  |        |                    |
| 6.10 | Have service area asset management plans been prepared and are they reviewed regularly?   |        |                    |
| 6.11 | Are asset registers and inventories maintained in compliance with guidance?   |        |                    |

| <b>7. Staff.</b> |   |               |                           |
|------------------|---|---------------|---------------------------|
| <b>No.</b>       | <b>Key area</b>   | <b>Yes/No</b> | <b>Comment / Evidence</b> |
| 7.1              | Do you have assurance that the expected standards of behaviour of staff and of Councillors (e.g. Employees Code of Conduct and Member/Officer Protocol) have been communicated to all staff?        |               |                           |
| 7.2              | Do all staff have up-to-date Job Descriptions and agreed development plans (using the Council's appraisal system)?  |               |                           |
| 7.3              | Are all individuals working for your department remunerated through the Council's payroll system, or the Council's creditor system (following an assessment of the individual's employment status)? |               |                           |
| 7.4              | Is all staff sickness reported in accordance with Council Policy i.e. through HR First Response?  |               |                           |
| 7.5              | Are you and your staff aware of the Council's rules relating to declaration of interests, and acceptance of gifts and hospitality?  |               |                           |
| 7.6              | Do you have significant concerns that your Department is unable to recruit/retain staff with the required skills to provide services?   |               |                           |
| 7.7              | Have all staff recruited in the past 12 months been properly inducted?  |               |                           |

| 8.  | Information Governance.   |        |                    |
|-----|---|--------|--------------------|
| No. | Key area  | Yes/No | Comment / Evidence |
| 8.1 | Do you have confidence that robust arrangements are in place to monitor compliance with Freedom of Information and Data Protection legislation?   |        |                    |
| 8.2 | Have all staff been trained in use of relevant IT systems?  |        |                    |
| 8.3 | Do all staff have unique access to IT systems and that their access is commensurate with their duties?  |        |                    |
| 8.4 | Are you satisfied that all staff and consultants (that you were responsible for) that have left the employment of your Department during 2009/10 have been removed from accessing Council IT systems? |        |                    |
| 8.5 | Are staff in your Department aware of policies in relation to the use of Council equipment and systems (e.g. IT Security Policy, internet and e-mail policy, phone usage)?                            |        |                    |



| 9. Control Environment. |  |        |                    |
|-------------------------|--|--------|--------------------|
| No.                     | Key area   | Yes/No | Comment / Evidence |
| 9.1                     | In 2009/10, within your Directorate, have there been any breaches of security or fraud resulting in loss of Council assets or injury to staff?   |        |                    |
| 9.2                     | Have all agreed Internal Audit recommendations relating to your Department been implemented, or will be by the agreed implementation date?   |        |                    |
| 9.3                     | Have all key systems and operations within your Directorate been documented?   |        |                    |
| 9.4                     | Have all frauds and financial irregularities identified been referred to the Head of Internal Audit in accordance with the Anti Fraud and Corruption Strategy and Fraud Response Plan? |        |                    |
| 9.5                     | Have there been any breaches in Standing Orders and if so have they been reported to the Council's Monitoring Officer?   |        |                    |
| 9.6                     | Please provide details of all external inspection reports carried out in your Department during 2009/10 and details of any significant weaknesses identified.                          |        |                    |

|            |   |
|------------|---|
| <b>10.</b> | <b>Significant Control and Governance Issues.</b> |
|------------|---|

Please identify here any issues that you feel represent a significant control item or governance issue. Guidance issued by CIPFA in relation to what should be considered 'significant', for inclusion in the Council's Annual Governance Statement, may be those which:

- Have seriously prejudiced or prevented achievement of a principle objective
- Has resulted in the need to seek additional funding to allow it to be resolved
- Required a significant diversion of resources
- Has had a material impact on the accounts
- The Audit Committee has advised that it should be considered as significant
- Has resulted in significant public interest or has seriously damaged reputation
- Has resulted in formal actions being taken by the Chief Financial Officer or Monitoring Officer
- Received significant adverse commentary in external; inspection reports that has not been able to be addressed in a timely manner

The above is only guidance and not an exhaustive list.

I confirm that this document provides a fair reflection of the system of internal control and governance arrangements operating within my Directorate since 1<sup>st</sup> April 2009.

**Name of Group Director / Director:** .....

**Signature:** .....

**Date:** .....