

SERVICE ASSURANCE STATEMENT - CHECKLIST OF KEY CONTROLS

ORGANISATIONAL	RESPONSE/EVIDENCE [* Delete as appropriate]	ADDITIONAL COMMENTS [where measures are required to enhance the adequacy of existing internal controls]
<p>Staffing and Management Structures</p> <p>1. Do all staff in the service have clearly defined responsibilities?</p> <p>2. Are all staff aware of the extent and limitations of their responsibilities?</p>	<p>1. Key responsibilities for staff; are defined within the Performance Appraisal System. [Yes/No*]</p> <p>2. Staff responsibilities are discussed at induction and performance appraisals and are supported by the policies and procedures of the Council. [Yes/No*]</p>	
<p>Authorisations</p> <p>3. Are all authorisations for approval of transactions/payments clearly defined?</p> <p>4. Are these authorisations clearly communicated at all levels?</p>	<p>1. The delegation for authorisation is approved by the Chief Officer and advised to Financial Services. This is reviewed on a regular basis in accordance with the Financial Procedure Rules contained within the Constitution. [Yes/No*]</p>	

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<p>Management Information</p> <p>5. Are there proper management review procedures of the following key information?</p> <p>(a) Budget monitoring and review</p> <p>(b) Review of new/revised/renegotiated contracts</p> <p>(c) Review of exception reports</p> <p>(d) Review of performance information.</p> <p>(e) Review of complaints</p> <p>(f) Review of service plans and implementation of progress</p> <p>(g) Recommendations from relevant Inspectorate/audit reports</p> <p>Service Assurance Statement – First draft 2007</p>	<p>1. Budget monitoring is undertaken on an ongoing basis against the current budget held by the Council’s accounting system. [Yes/No*]</p> <p>2. Monthly monitoring takes place of key financial indicators and is reported to Management Team on a monthly basis by Accountancy and these are monitored by the responsible officer within the Service. [Yes/No*]</p> <p>3. All budget variations above £5,000 are reported to the Director of Finance by the Chief Officer. [Yes/No*]</p> <p>4. All contracts are processed within the rules set out in the Council Constitution. [Yes/No*]</p> <p>5. Where exception reports are produced they are examined and actioned promptly by the responsible officer... [Yes/No*]</p> <p>6. Accurate and timely information is provided to the IDU for facilitate the production of performance monitoring. . [Yes/No*]</p> <p>7. All complaints are dealt with according to the Council’s complaints procedure. [Yes/No*]</p> <p>8. All service plans are frequently reviewed and updated. [Yes/No*]</p> <p>9. All inspectorate or audit reports have been considered and action taken where appropriate. [Yes/No*]</p>	

ORGANISATIONAL	RESPONSE/EVIDENCE [* Delete as appropriate]	ADDITIONAL COMMENTS [where measures are required to enhance the adequacy of existing internal controls]
<p>Risk Management</p> <p>6. In respect of risk registers:</p> <p>(a) Are there procedures in place to ensure that they are reviewed?</p> <p>(b) Are actions implemented?</p> <p>And;</p> <p>(c) Is progress being monitored?</p>	<p>1. The Risk Registers are reviewed on an annual basis and are forwarded to the Insurance Officer. [Yes/No*]</p> <p>2. All new risks or events identified are considered for inclusion in the risk register.</p> <p>3. Any events that highlight risks reported to the appropriate channel e.g. Insurance Officer, Health & Safety Officer Management Team etc. [Yes/No*]</p> <p>4. Where action has been identified to minimise or transfer risk has the appropriate action been included in an action plan and progress monitored. [Yes/No*]</p> <p>5. All staff are frequently reminded of the Risk Management Strategy and action to be taken when risks are identified. [Yes/No*]</p>	

FINANCIAL	RESPONSE/EVIDENCE [* Delete as appropriate]	ADDITIONAL COMMENTS [where measures are required to enhance the adequacy of existing internal controls]
<p>Income</p> <p>7... Are there controls to ensure all income (i.e. fees, charges etc) is:</p> <p>(a) at appropriate levels/rates?</p> <p>(b) collected?</p> <p>(c) banked intact?</p>	<p>1. All fees and charges have been subjected to regular review and approved the appropriate body under the scheme of delegation. [Yes/No*]</p> <p>2. Action has been taken to ensure that all monies due to the Council have been identified, billed where necessary, collected promptly. [Yes/No*]</p> <p>3. All money collected is banked intact and fully accounted for on a prompt basis. [Yes/No*]</p>	
<p>Expenditure</p> <p>8. Are there controls to ensure all expenditure is properly authorised?</p>	<p>1. All expenditure and orders have been processed within the Financial Procedure Rules contained within the Constitution. [Yes/No*]</p>	

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<p>FINANCIAL</p>	<p>RESPONSE/EVIDENCE [* Delete as appropriate]</p>	<p>ADDITIONAL COMMENTS [where measures are required to enhance the adequacy of existing internal controls]</p>
<p>Assets</p> <p>9. Are there controls to ensure that all assets are:</p> <p>(a) properly recorded?</p> <p>(b) safeguarded?</p>	<p>1. There an inventory held within the service to record the appropriate assets e.g. cameras etc (IT services have a separate inventory for IT equipment). [Yes/No*]</p> <p>2. Where equipment is used by a number of individuals sufficient controls exist to identify the movement of the asset. [Yes/No*]</p> <p>3. All property and land holdings been recorded on the Terrier. [Yes/No*]</p>	
<p>Financial Information</p> <p>10. Are there controls to ensure the accuracy of financial information held within the service?</p>	<p>1. Does the service ensure that all financial information is recorded on to the Council's financial accounting system? [Yes/No*]</p>	

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<p>Performance Management</p> <p>12. (a) Are there controls to ensure that services are delivered by adequately trained and skilled staff and;</p> <p>(b) Are procedures in place to ensure these skills remain up to date?</p>	<p>1. All staff been regularly appraised and their individual training needs been identified. Have these training needs been prioritised and action taken to meet high priority needs? [Yes/No*]</p>	
<p>13. Are there controls to ensure positions are offered to individuals with necessary skills, qualifications and backgrounds appropriate to the position offered?</p>	<p>1. All appointments supported by a Job Description and Person Specification that forms part of the selection process. [Yes/No*]</p> <p>2. All qualifications been subject to verification. [Yes/No*]</p> <p>3. All references been taken up. [Yes/No*]</p>	
<p>14. Are there controls to ensure that all of the business system output is fit for purpose i.e. accurate, complete and relevant?</p>	<p>1. All business system output regularly reviewed for appropriateness. [Yes/No*]</p> <p>2. Action is taken to seek improvements where deficiencies are identified. [Yes/No*]</p>	

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<p>15. Are there procedures to ensure timely responses to queries?</p>	<p>1. Regular review of letter response times taken place. [Yes/No*]</p> <p>2. Appropriate action been taken where delays are identified. [Yes/No*]</p> <p>3. All non-letter contact been dealt with in a timely manner. [Yes/No*]</p>	
<p>16. Are there proper controls to ensure that all changes (whether in service requirements, customer base, legislation etc) are properly dealt with?</p>	<p>1. Changes in Policy and service provision consider the needs of customer requirements, legislation etc and are they included within the risk register for the service. [Yes/No*]</p>	
<p>17. (a) Are there adequate Disaster Recovery Plans/Business Continuity Plans to ensure that services can be resumed in case of emergency? (b) Are these contingency procedures well communicated?</p>	<p>1. Service has participated in the Business Continuity Plan process. [Yes/No*]</p> <p>2. Staff are aware of their roles within the Business Continuity Plan. [Yes/No*]</p>	

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<p>COMPLIANCE</p>	<p>RESPONSE/EVIDENCE [* Delete as appropriate]</p>	<p>ADDITIONAL COMMENTS [where measures are required to enhance the adequacy of existing internal controls]</p>
<p>18. Are there controls to ensure that all services are delivered within the framework of compliance with relevant legislation and/or best practice guidance, and/or policy?</p>	<p>1. Service delivery is provided in line with legislative policy or best known practice. [Yes/No*]</p>	
<p>19. Are there procedures in place to ensure processes are amended appropriately for changes in legislation and/or best practice guidance, and/or policy?</p>	<p>1. The service has procedures in place to ensure updating of service provision brought by changes in legislation or best practice guidance. [Yes/No*]</p>	
<p>20. Are there controls in place to ensure that all services are delivered within the rules of the TMBC Constitution?</p>	<p>1. All appropriate staff have access to the relevant documentation to ensure compliance. [Yes/No*]</p> <p>2. Internal controls are in place to minimise an accidental or deliberate breach of the Constitution. [Yes/No*]</p>	
<p>21. Are there controls in place to ensure that all information held/disclosed is done so in accordance with relevant legislation (e.g. Data Protection Act)?</p>	<p>1. Relevant staff have been given guidance on their responsibilities under the DPA and FOI+ Acts. [Yes/No*]</p>	

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<p>GROUP ACCOUNTS</p>	<p>RESPONSE/EVIDENCE [* Delete as appropriate]</p>	<p>ADDITIONAL COMMENTS [where measures are required to enhance the adequacy of existing internal controls]</p>
<p>22. Is the service aware of any Partnership agreements that give rise to consideration of inclusion under group accounts? (See attached flowchart for guidance)</p>	<p>1. All partnerships identified been evaluated as to their effect on Group Accounts. [Yes/No*]</p>	