Area of Responsibility	Response/Evidence	Confirmed [* Delete as appropriate]	Additional Comments
Section 1 - Policy, Objectives and Plans			
1.1 Are all staff in the service aware and have access to the Corporate Performance Plan (Spotlight)?	*TMBC Website http://www.tmbc.gov.uk/cgi-bin/buildpage.pl?mysql=1096*	[Yes/No*]	
1.2 Do your service Performance Plans contribute to the Council's Corporate Objectives	*Service performance plans*	[Yes/No*]	
1.3 Do your service Performance Plans reflect the Council's Corporate Objectives	*Service performance plans*	[Yes/No*]	
1.4 Are all staff in the service aware and have access to their Service Performance Plan?	*Service performance plans*	[Yes/No*]	
Section 2 - Compliance			
2.1 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?	*Service delivery is provided in line with legislative policy or best known practice.*	[Yes/No*]	
2.2 Are there procedures in place to ensure processes are amended appropriately for changes in legislation and/or best practice guidance, and/or policy?	*The service has procedures in place to ensure updating of service provision brought by changes in legislation or best practice guidance.*	[Yes/No*]	
2.3 Is there a procedure in place to ensure that all high priority recommendations made in Internal Audit reports are acted upon and the action taken is reported to Internal Audit?	*The service has procedures to ensure that action plans are completed and returned to Internal Audit within the required timescale and that improvement actions are implemented as agreed.*	[Yes/No*]	
2.4 Are there controls in place to ensure that all services are delivered within the rules of the Constitution?	*All appropriate staff have access to the relevant documentation to ensure compliance.* *Internal controls are in place to minimise an accidental or deliberate breach of the Constitution.*	[Yes/No*] [Yes/No*]	
2.5 Are staff aware of councils Anti-Fraud Policies, Confidential Reporting Code and Internet and email Policy?	*All staff have been made aware of the policies and have declared their knowledge of their existence.*	[Yes/No*]	
2.6 Have you had any suspicion of fraud and/or error within your service?		[Yes/No*]	If yes please provide evidence of your contact with Chief Internal Auditor
2.7 Are you aware of any failings in internal controls that are relied upon to prevent fraud and error?		[Yes/No*]	If yes please provide evidence of your contact with Chief Internal Auditor
2.8 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)?	*All staff have been given guidance on their responsibilities under the DPA and FOI+ Acts.*	[Yes/No*]	

	Area of Responsibility	Response/Evidence	Confirmed [* Delete as appropriate]	Additional Comments
2.9	Are there proper management review procedures of the following key information?			
	(a) Review of new/revised/renegotiated contracts	*All contracts are processed within the rules set out in the Council Constitution and Procurement Guide.*	[Yes/No*]	
	(b) Review of performance information.	*Accurate and timely information is provided to the IDU for facilitate the production of performance monitoring.*	[Yes/No*]	
	(c) Review of complaints	*All complaints are dealt with according to the Council's complaints procedure.*	[Yes/No*]	
	(d) Review of service plans and implementation of progress	*All service plans are frequently reviewed and updated.*	[Yes/No*]	
	(e) Recommendations from relevant Inspectorate/audit reports	*All inspectorate or audit reports have been considered and action taken where appropriate.*	[Yes/No*]	
Section 3 - Staffing and Management Structures				
3.1	Does your Service have a clear management structure along with clear responsibilities for service provision	*Management Structures linked to objectives within service plans.*	[Yes/No*]	
3.2	Do all staff in the service have clearly defined responsibilities?	*Key responsibilities for staff are defined within the Performance Appraisal System.*	[Yes/No*]	
3.3	Are all staff aware of the extent and limitations of their responsibilities?	*Staff responsibilities are discussed at induction and performance appraisals and are supported by the policies and procedures of the Council.*	[Yes/No*]	
3.4	Are there controls to ensure that services are delivered by adequately trained and skilled staff and procedures in place to ensure these skills remain up to date?	*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*]	
3.5	Are there controls to ensure positions are offered to individuals with necessary skills, qualifications and backgrounds appropriate to the position offered?	*All appointments supported by a Job Description and Person Specification that forms part of the selection process.*	[Yes/No*]	
		All qualifications been subject to verification.	[Yes/No*]	
		All references been taken up.	[Yes/No*]	
3.6	Are all authorisations for approval of transactions/payments clearly defined?	*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*]	Please provide date of last review
3.7	Are these authorisations clearly communicated at all levels?		[Yes/No*]	

	Area of Responsibility	Response/Evidence	Confirmed [* Delete as appropriate]	Additional Comments
Section 4 - Performance Management				
4.1	Are there controls to ensure that all of the business system output is fit for purpose i.e. accurate, complete and relevant?	*All business system output regularly reviewed for appropriateness.*	[Yes/No*]	
		Action is taken to seek improvements where deficiencies are identified.	[Yes/No*]	
4.2	Are there procedures to ensure timely responses to queries?	*Regular review of letter response times taken place.*	[Yes/No*]	
		Appropriate action been taken where delays are identified.	[Yes/No*]	
		All non-letter contact been dealt with in a timely manner.	[Yes/No*]	
Section 5 - Risk Management, Disaster Recovery and Business Continuity				
5.1	In respect of risk registers:			
	(a) Are there procedures in place to ensure that they are reviewed?	*The Risk Registers are reviewed on a six-monthly basis and are forwarded to the Insurance Officer.*	[Yes/No*]	please give date of last review
		All new risks or events identified are considered for inclusion in the risk register.	[Yes/No*]	
	(b) Are significant risk movements reported to Management Team?	*Any risks that are identified as entering the "red zone" are reported to Management Team at the earliest opportunity*	[Yes/No*]	
		Any events that highlight risks are reported to the appropriate channel e.g. Insurance Officer, Health & Safety Officer Management Team etc.	[Yes/No*]	
	(c) Are actions implemented and progress monitored?	*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*]	
	(d) Staff are aware of the risk register for their service and the actions to be taken	*All staff are frequently reminded of the Risk Management Strategy and action to be taken when risks are identified.*	[Yes/No*]	
5.2	In respect of Disaster Recovery / Business Continuity			
	(a) Are there adequate Disaster Recovery Plans/Business Continuity Plans to ensure that services can be resumed in case of emergency?	*Service has participated in the Business Continuity Plan process.*	[Yes/No*]	please give date of last review
	(b) Are these contingency procedures well communicated?	*Staff are aware of their roles within the Business Continuity Plan.*	[Yes/No*]	

Area of Responsibility	Response/Evidence	Confirmed [* Delete as appropriate]	Additional Comments
Section 6 - Financial Management			
Income			
6.1 Are there controls to ensure all income (i.e. fees, charges etc) is:			
(a) at appropriate levels/rates?	*All fees and charges have been subjected to regular review and approved the appropriate body under the scheme of delegation.*	[Yes/No*]	please give date of last review
(b) collected?	*Action has been taken to ensure that all monies due to the Council have been identified, billed where necessary, collected promptly.*	[Yes/No*]	
(c) banked intact?	*All money collected is banked intact and fully accounted for on a prompt basis.*	[Yes/No*]	
Expenditure			
6.2 Are there controls to ensure all expenditure is properly authorised?	*All expenditure and orders have been processed within the Financial Procedure Rules contained within the Constitution.*	[Yes/No*]	
Assets			
6.3 Are there controls to ensure that all assets are:			
(a) properly recorded?	*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*]	
	All property and land holdings been recorded on the Terrier.	[Yes/No*]	
(b) safeguarded?	*Where equipment is used by a number of individuals sufficient controls exist to identify the movement of the asset.*	[Yes/No*]	
Financial Information			
6.4 Are there controls to ensure the accuracy of financial information held within the service?	*Does the service ensure that all financial information is recorded on to the Council's financial accounting system?*	[Yes/No*]	
6.5 Are there proper controls to ensure that all changes (whether in service requirements, customer base, legislation etc) are properly dealt with?	*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*]	
6.6 Are there proper management review procedures in place to confirm adequate budget monitoring and review	*Budget monitoring is undertaken on an ongoing basis against the current budget held by the Council's accounting system.*	[Yes/No*]	
	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*]	
	All budget variations above £5,000 have been reported to the Director of Finance by the Chief Officer.	[Yes/No*]	

Area of Responsibility	Response/Evidence	Confirmed [* Delete as appropriate]	Additional Comments
Section 7 - Group Accounts			
7.1 Is the service aware of any Partnership agreements that give rise to consideration of inclusion under group accounts? (See attached flowchart for guidance)	*All partnerships identified been evaluated as to their effect on Group Accounts.*	[Yes/No*]	

Signed _____   Dated _____

To be returned to David Buckley - Chief Internal Auditor no later than **FRIDAY APRIL 8th 2011** so any issues arising can be reported to Members at the Audit Committee on April 12th 2011