Area Of Assurance	Number That Agreed / Disagree That Effective Controls Are In Place
1. Controls are in place to ensure employees are aware and comply with legal requirements, the Council's Constitution and corporate policies.	All 22 managers agreed that effective controls are in place
2. A clear up to date business plan is in place which should: • Include Service objectives and priorities with demonstrable links to the Council's overall objectives. • Include demonstrable links to agreed revenue and capital resources, which clearly link to the agreed budget, Medium Term Financial Strategy and Change Programme. • Include information on business continuity arrangements such as workforce strategy and asset management. • Consider, assess and monitor all strategic and operational risks relating to the Service. • Be reviewed on an annual basis to measure progress against objectives and relevant performance targets.	20 managers agreed that effective controls are in place 2 managers agreed partial compliance and identified actions for further improvement including aligning business plans with the Council Plan
3. There are effective data quality and performance management processes with accurate and adequate performance information generated. These are reported on a timely basis, with appropriate action taken to address performance issues.	19 managers agreed that effective controls are in place 3 managers agreed partial compliance and identified actions for further improvement in publishing performance data to reduce duplication and incorporate new responsibilities
4. There are well defined reporting arrangements to Councillors and senior management, including a clear reporting structure with adequate, accurate and timely information being provided, to ensure that decisions are taken with reference to relevant information and data.	All 22 managers agreed that effective controls are in place
5. Management and staffing structures are clearly defined and responsibilities including job descriptions are clearly established. There is a competent and adequately trained workforce to deliver the objectives and priorities of the Service, including up to date A&D reviews for all employees, effective management of succession planning and retention/recruitment of appropriate skills.	All 22 managers agreed that effective controls are in place

Area Of Assurance	Number That Agreed / Disagree That Effective Controls Are In Place
6. All Partnership Arrangements: • Have clearly defined, written and agreed governance arrangements in place. • Have clear objectives and priorities. Are regularly monitored for effectiveness, and to ensure financial and non-financial performance is being achieved. • Has evaluated and documented risks to the partnership and the Council. • Has a clear exit strategy in place.	All 22 managers agreed that effective controls are in place
7. Standards of conduct within the Service are in accordance with corporate codes and policies. Controls are in place to deter, prevent, detect, and reduce the risk of fraud and corruption (including bribery), such as employee training/awareness sessions. Employees are fully aware of the Council's Counter-Fraud and Whistleblowing Policy and all suspected frauds and financial irregularities are referred to Internal Audit. All employees promote the values of the Council and uphold high standards of conduct and behavior.	All 22 managers agreed that effective controls are in place
8. There are effective financial planning and budgetary control procedures in place and these support the principles outlined in the Medium Term Financial Strategy and clearly link to the Business Plan and agreed Savings targets.	All 22 managers agreed that effective controls are in place
9. Financial Regulations are understood and complied with by all employees who ensure: • All expenditure transactions are properly recorded and authorised in Agresso, particularly in regard to confirmation orders, timely payment of invoices and non-order invoices. • All income is promptly collected and banked; ensuring fees and charges have been applied at the approved rate. • All assets are recorded and protected from loss.	21 managers agreed that effective controls are in place 1 manager agreed partial compliance and identified the number of non-order invoicing being raised as an area for improvement
10. The Service can demonstrate that the effective application of the Council's Commissioning Framework has resulted in the delivery of improved outcomes, the achievement of value for money and that, where this has been delivered via a procurement process, compliance with the Council's Contract Procedure Rules can be evidenced.	All 22 managers agreed that effective controls are in place

Area Of Assurance	Number That Agreed / Disagree That Effective Controls Are In Place
11. Trading opportunities have been considered in accordance with Governance Framework for Decision Making on Traded Activities.	19 managers agreed that effective controls are in place 1 manager agreed partial compliance and 1 manager disagreed. Opportunities to increase training are being explored and will be developed once new structures are embedded. 1 manager stated this question was not applicable to their service.
12. ICT systems used by the Service are secure and operate satisfactorily for their purpose. Employees are fully aware of information security and adhere to Council policy.	All 22 managers agreed that effective controls are in place
13. There are effective business continuity arrangements in place which are reviewed and tested on a regular basis. There are effective plans in place to manage change and ensure business continuity during any transition period.	18 managers agreed that effective controls are in place 4 managers agreed partial compliance and identified actions for further improvement including updates to Business Continuity Plans and testing of the revised Business Continuity Plans.
14. Recommendations from relevant external Inspectorates and Internal Audit reports are monitored by management and are implemented by the agreed date.	All 22 managers agreed that effective controls are in place
15. Decisions are taken with due regard to all: • Financial implications • Human Resource implications • Property Implications • Risk Management implications • Equality and Diversity implications • Crime and Disorder implications • Health implications • Sustainability implications • Human Rights implications • Area and Ward implications • Consultation, communication and engagement The risks of not achieving milestones associated with the Change Programme have been identified and are being managed.	All 22 managers agreed that effective controls are in place

Area Of Assurance	Number That Agreed / Disagree That Effective Controls Are In Place
16. There is effective management of risk within the Service including the effective identification, recording, control and ongoing monitoring of risks associated with the achievement of Service objectives, with appropriate oversight by Group Management Teams. This includes the different internal and external sources of assurance of these risks and any gaps in assurance provision. Strategic risks are also regularly reviewed to ensure they remain valid and support the achievement of Vision 2030 and the Council Plan.	All 22 managers agreed that effective controls are in place
17. The Service has identified its sources and flows of information including rights of access. Threats and risks to information assets owned by the Service have been assessed and recorded with corresponding action plans for reducing risks where appropriate.	All 22 managers agreed that effective controls are in place