

Appendix A

Senior Manager Assurance Assessments 2014/15

The following questions were asked in the Senior Managers Assurance Statement questionnaire. In all cases managers gave 100% agreement that effective controls are in place. No managers identified future enhancements to further improve existing controls.

1. Controls are in place to demonstrate that there is compliance with legal requirements, governance arrangements and corporate policies.
2. There is effective service planning with resources used to ensure that the Police and Crime Plan and the Chief Constable's Delivery Plan are both fully supported.
 - Plans are reviewed on a regular basis to measure progress against relevant performance targets.
3. There are effective data quality and performance management processes with accurate and sufficient information generated, which is reported to relevant parties on a timely basis and with appropriate action taken to address performance issues.
4. There are well defined reporting arrangements to senior management, including a clear reporting structure and with accurate and timely information provided to ensure decision making is taken on a sound basis.
5. Management and staffing structures are clearly defined, responsibilities including job descriptions are clearly established and there is a workforce of adequate competence and number to deliver the service.
6. Standards of conduct within the Area Command/Department are in accordance with written codes and controls are in place to deter, prevent, detect, and therefore reduce the risk, of fraud and corruption (including bribery).
7. There are effective financial planning and budgetary control procedures in place.
8. Compliance with Financial Regulations can be demonstrated by:
 - All expenditure transactions are properly recorded and authorised
 - All income is promptly collected and banked and charged at the approved rate.
 - All assets are recorded and protected from loss.
9. The Area Command/Department can demonstrate it has sought value for money in the use of resources.
10. Partnership arrangements are well founded with clearly defined governance arrangements and are adequately monitored for effectiveness.

11. ICT systems used by the Area Command/Department are secure and satisfactory for their purpose and adequate business continuity arrangements are in place.
12. Recommendations from relevant Inspectorate/audit reports are reviewed and acted upon.
13. Decisions are taken with due regard to insurance, health and safety, information governance, community safety and other risk implications.
14. There is effective risk management within the Area Commands/Department with adequate identification, control and ongoing monitoring and review of service, operation based and strategic risks.
15. The Area Command/Department has identified its sources and flows of information including rights of access. Threats and risks to information assets owned by the Area Command/Department have been assessed and recorded with corresponding action plans for reducing risks where appropriate.