

Ref	Assurances Required			Assurance Currently Available		
	Key Control area	Nature of assurance required	Source	First level of Assurance	Second Level of Assurance	Third level of Assurance
				Senior and operational management	Compliance reviews, risk management, scrutiny reviews	Internal and External Audit, Inspectorates, External Assurance Providers
AF1a	Formulation of 5 year Business Plan commencing 2014/15	The Council has clear political direction, vision, priorities and outcomes in the 14/15 Business Plan to direct resource use. Necessary efficiency savings should be identified and incorporated into the plan.	Corporate Risk Register (1a)	<ul style="list-style-type: none"> • Directors Assurance Statements • Monthly Integrated Resources and Performance Report to General Purposes Committee • Regular meetings with Director of Finance/ S151 Officer, Committee Chairs and relevant Directors to track exceptions and identify remedial actions 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process. Carried out by SMT • Engagement of Committees in the creation of the 2015/16 Business Plan 	<ul style="list-style-type: none"> • Internal Audit Review - Service Transformation - February 2014 - Substantial Assurance • Internal Audit Review - Business Planning 2013/14 - Substantial Assurance • Internal Audit Review - Business Planning 2014/15 - March 2014 - Substantial Assurance • Internal Audit Review - Early Help Project - Embedded Assurance Review- July 2014 - Moderate Assurance • Internal Audit Review - Programme and Project Management - January 2015 - Moderate Assurance
AF1b	Current Business Plan Delivery	The Council is able to achieve required savings and meet statutory responsibilities or budget targets	Corporate Risk Register (1b)	<ul style="list-style-type: none"> • Directors Assurance Statements • Monthly Integrated Resources and Performance Report to General Purposes Committee • Regular meetings with Director of Finance / S151 Officer, Committee Chairs and relevant Directors to track exceptions and identify remedial actions • Budget holders' monthly meetings with Finance Manager • LGSS governance arrangements include representation on SMT • Peer Reviews and complaints / consultation processes • Treasury Management to GPC 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process. Carried out by SMT 	<ul style="list-style-type: none"> • Internal Audit Review - ASC 2012/13 Saving Delivery Framework - January 2013 - Moderate Assurance • Internal Audit Review - Transforming Economy, Transport and Environment - February 2013 - Substantial Assurance • Internal Audit Review - Embedded Assurance - ETE Directorate Transformation Closure / Post Implementation - December 2013 - Substantial Assurance. • Internal Audit Review - Budgetary Control - January 2014 - Substantial Assurance • Local Government Association - Corporate Peer Challenge - October 2013 • Internal Audit Review - Delivery of Business Plan Savings 2014/15 - December 2014 - Substantial Assurance • Internal Audit Review - Programme and Project Management - January 2015 - Moderate Assurance • Internal Audit Review - Budgetary Control - October 2014 - Substantial Assurance • Internal Audit Review - Capital Programme - February 2015 -
AF2	Shared Services Programme	The quality, responsiveness and standard of LGSS services meets CCC requirements.	Corporate Risk Register (2)	<ul style="list-style-type: none"> • Directors Assurance Statements • LGSS Joint Committee structure including CCC Councillor representation • CCC representation on LGSS Management Board • LGSS Strategic Plan 2013/14 - 2017/18 • LGSS representation on SMT to ensure LGSS meets current and future council needs • New LGSS SLA and linked KPIs, which are reported to SMT 	<ul style="list-style-type: none"> • Resources and Performance Overview and Scrutiny Committee Review of Shared Services Savings within Integrated Plan - February 2013 • Quarterly updates on progress from LGSS Director of Finance/Operating Director with mitigation update as part of corporate risk reporting process • LGSS Overview and Scrutiny Group review of LGSS Marketing Strategy - February 2013 	<ul style="list-style-type: none"> • Internal Audit Review - Budget Monitoring and Control - May 2013 - Substantial Assurance • Internal Audit - Main Financial Systems (Accounts Payable, Accounts Receivable, Payroll, General Ledger and Cash Management) - May 2013 - Moderate Assurance • LGA - Corporate Peer Challenge - October 2013 • Internal Audit Review - LGSS Service Delivery - March 2014 - Moderate Assurance

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				Senior and operational management	Compliance reviews, risk management, scrutiny reviews	Internal and External Audit, Inspectorates, External Assurance Providers
AF3	Workforce recruitment and retention	The Council has a highly motivated, skilled and flexible workforce working to flexible terms and conditions who are able to deliver effective services	Corporate Risk Register (3)	<ul style="list-style-type: none"> • Directors Assurance Statements • Workforce strategy and development plans • Comprehensive HR and OD Policies • Increased use of statistical data to shape activity relating to recruitment • Staff Training • Employee support through health and well being and counselling service agenda 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process • HR & OD Performance Report - March 2013 • Resources & Performance Overview and Scrutiny Committee review of The Council's use of Consultants and Interim Managers - March 2013 • Resources & Performance Overview and Scrutiny Committee review of Zero Hours Contracts - March 2014 • Exit interviews from staff leaving the service to monitor their reasons for leaving 	<ul style="list-style-type: none"> • Internal Audit Review - Embedded Assurance - ETE Directorate Transformation Closure / Post Implementation Review - December 2013 - Substantial Assurance. • Internal Audit Review - Workforce Retention and Knowledge Management - June 2014 - Substantial Assurance
AF4	Procurement and Contract Management	Strong and consistent procurement and contract management arrangements are in place to aid the delivery of value for money through procurement activities aided by effective training for contract managers.	Corporate Risk Register (4)	<ul style="list-style-type: none"> • Directors Assurance Statements • Central Contract Register • Contract Regulations and Procurement Best Practice Guidance available on intranet system • Procurement Training is compulsory before users can access the system. • Cambridgeshire Procurement Strategy 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process • Contract Review Group (CRG) review proposed new contracts over £500k not subject to Project Board structure • Resources & Performance Overview and Scrutiny Committee review of The Council's use of Consultants and Interim Managers - March 2013. Update March 2014. • Resources & Performance Overview and Scrutiny Committee review 'Getting Maximum Value for Money in Procuring Goods, Services and Works' - June 2010. Update March 2014. 	<ul style="list-style-type: none"> • Internal Audit Review - Embedded Assurance - Public Health - March 2013 - Moderate Assurance • Internal Audit Review - Procurement (Schools) - June 2013 - Limited Assurance • Internal Audit review - Embedded Assurance - Science Park Station - January 2014 - Substantial Assurance • Internal Audit Review - Local Highway Improvements - December 2013 - Moderate Assurance • Internal Audit Review - Embedded Assurance - Connecting Cambridgeshire - Superfast Broadband (Review 2 - Delivery) - December 2013 - Substantial Assurance • Internal Audit Review - Use of e-auctions - February 2014 - Substantial Assurance • Internal Audit Review - Use of Consultants/Agency Workers - April 2014 - Moderate Assurance • Internal Audit Review - Procurement - May 2014 - Moderate Assurance • Internal Audit Review - Highways Service Contract - August 2014 - Substantial Assurance • Internal Audit Review - Streetlighting - July 2014 - Limited Assurance • Internal Audit Review - Public Health Commissioning and Contracting - August 2014 - Substantial Assurance
AF5	Infrastructure Funding Shortage	Sufficient funding is obtained from all available sources including Section 106 payments and other planning contributions to deliver key infrastructure / services / developments.	Corporate Risk Register (9)	<ul style="list-style-type: none"> • Directors Assurance Statements • A prudential borrowing strategy is in place to fund infrastructure where appropriate. • Maximisation of securing developer contributions is achieved through County Council input to Section 106 negotiations. • Framework for bidding for transport funds under LTP • Huntingdonshire District Council and East Cambridgeshire District Council implementation of Community Infrastructure Levy • A14 Local Finance Contribution • City Deal for Greater Cambridge • Lobbying Central Government 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process • Cabinet review of Street lighting PFI Implementation - May 2012 • Overview and Scrutiny Committee review of Northstowe S106 Agreement • Enterprise, Growth and Community Infrastructure Overview and Scrutiny review of Ely Crossing - Options Assessment - July 2012 • Enterprise, Growth and Community Infrastructure Overview and Scrutiny Review of Street Lighting PFI contract - Sept 2013 	<ul style="list-style-type: none"> • Internal Audit Review - Building Schools for the Future Programme - Embedded Assurance Review - October 2012 - Substantial Assurance • Internal Audit Review - Section 106 - January 2013 - Substantial Assurance • Internal Audit Review - Schools Capital - October 2012 - Substantial Assurance • Internal Audit Review - Street Lighting PFI - December 2012 - Limited Assurance • Internal Audit Review - Highways Maintenance - December 2012 - Moderate Assurance • Internal Audit Review - Local highways Improvement Scheme - December 2013 - Moderate Assurance • Internal Audit Review - Embedded Assurance - Science Park Station - January 2014 - Substantial Assurance • Internal Audit Review - Investing in Local Transport Solutions - June 2014 - Moderate Assurance

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AF6	Increased demand for services arising from financial and social pressures on individuals, families and communities	Vulnerable families and different community groups are well supported and their different needs understood whilst issues of community cohesion are fully addressed.	Corporate Risk Register (14)	<ul style="list-style-type: none"> • Directors Assurance Statements • Community Cohesion Strategy and Action Plan • 'Together for Families Programme' • Welfare Reform Strategy Group joint planning and monitoring • Children's Social Care Demand Management Action Plan 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process • Review of Cambridgeshire Local Assistance Scheme • Work to identify triggers for social care needs 	<ul style="list-style-type: none"> • Internal Audit Review - Community Cohesion - August 2012 - Limited Assurance • Internal Audit Review - Support for Parents Project - August 2013 - Substantial Assurance • Internal Audit Review - Personal Budgets for Children - January 2015 - Substantial Assurance • Internal Audit Review - Early Help Project - Embedded Assurance Review - July 2014 - Moderate Assurance
AF7	Safeguarding Vulnerable Children and Adults	Robust systems are in place to safeguard vulnerable children and adults, preventing harm to them in accordance with statutory requirements.	Corporate Risk Register (15) Strategic Objective 2	<ul style="list-style-type: none"> • Directors Assurance Statement • Multi-agency Safeguarding Boards • Safeguarding Procedures, monitored during on-going supervision, and via CYPS Quality Framework arrangements including case audits. • Cambridgeshire Post-Ofsted Action Plan • 'Together for Families' Programme • CFA Performance & Quality Assurance Board monthly report • Early Years and Childcare Quality Framework • Countywide Older People Strategy • Transforming Lives Project and development of the Draft Transforming Lives Strategy • Development of Draft Cambridgeshire Adult Carers' Strategy • Revised Fairer Contributions Policy 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process • Cabinet Review of Ofsted Inspection of Arrangements for the Protection of Children - Improvement Plan - October 2012 • Overview and Scrutiny review of Domestic Abuse and Adults Skills Strategy - July 2012 • Children and Young People Overview and Scrutiny review of Safeguarding Arrangements - March 2012 • Safeguarding and Standards Unit • Governments Adoption Scorecard Threshold Met • Better Care Fund Plan Working Party of Members formed to regularly review and monitor the development of the Better Care Fund Plan and report to Committee quarterly. 	<ul style="list-style-type: none"> • Ofsted Inspection of Local Authority Arrangements for the Protection of Children - August 2014 - Rated as Good • Internal Audit Review - Looked after Children and Corporate Parenting - March 2014 - Substantial Assurance • Internal Audit Review - Safe Recruitment in Schools - September 2013 - Moderate Assurance • Internal Audit Review - Learning Disability Provider Services - Arrangements for Managing Service User Finances - January 2013 - Limited Assurance • Safeguarding Peer Review - October 2013 • Internal Audit Review - Safeguarding Vulnerable Adults - April 2013 - Limited Assurance • Internal Audit Review - SEN Placement Strategy - Substantial Assurance • Internal Audit Review - Children in Entertainment - October 2013 (Consultancy review) • Internal Audit Review - Transfer of Older People's Services (CCS) - December 2013 - Substantial Assurance • Internal Audit Review - Embedded Assurance - Early Help - July 2014 - Moderate Assurance • Internal Audit Review - Personal Budgets for Children - January 2015 - Substantial Assurance • Internal Audit Review - Safe Recruitment in Schools - June 2014 - Moderate Assurance • Internal Audit Review - Adoption Service Partnership - Embedded Assurance Review - March 2015 - Substantial Assurance
AF8	Lack of capacity to resource future demand for Children and Adults services	Any increase in needs of children or adults who are looked after or who have learning disabilities and difficulties are met with required budgetary provision.	Corporate Risk Register (16)	<ul style="list-style-type: none"> • Directors Assurance Statements • Safeguarding measures in place to identify service users and close liaison between multi agency partners to help manage any unanticipated increase in need • Special Educational Needs and Disability Strategy • Cambridgeshire Post-Ofsted Action Plan • Joint Strategic Needs Assessment provides information regarding demographics and need, which is used to inform service planning • Cambridgeshire Children's Trust • Domestic Abuse Strategy • Adult Safeguarding Training available to all who work with adults and older people across Cambridgeshire. 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process • Children and Young People Overview Scrutiny review of Child Poverty Strategy - April 2012 • Use of trend data to identify children's needs at the earliest opportunity • Report to Children and Young People Overview Scrutiny Committee - Demographic Forecasting and Pupil Place Planning - September 2013 • Report to Children and Young People Overview Scrutiny Committee - Early years and childcare sufficiency for Cambridgeshire - September 2013 • Annual report to Committee from the Local Safeguarding Children Board • Annual report to Committee from the Adults Safeguarding Board 	<ul style="list-style-type: none"> • Internal Audit Review - Embedded Assurance - SEND Strategy - October 2012 - Moderate Assurance • Ofsted - Unannounced inspections of Adult Placement Scheme - Fenland / East Cambridgeshire - Dec 2012 and Cambridge in Nov 2012 - All 5 key standards met • Internal Audit Review - Budgetary Control - January 2014 - Substantial Assurance • Internal Audit Review - Looked after Children and Corporate Parenting - March 2014 - Substantial Assurance • Internal Audit Review - Transfer of Older People's Services (CCS) - December 2013 - Substantial Assurance • Internal Audit Review - Personal Budgets for Children - January 2015 - Substantial Assurance • Internal Audit Review - Delayed Discharges - October 2014 - Moderate Assurance • Internal Audit Review - Adoption Services Partnership - Embedded Assurance Review - March 2015 - Substantial Assurance • Internal Audit Review - Budgetary Control - October 2014 - Substantial Assurance

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				Senior and operational management	Compliance reviews, risk management, scrutiny reviews	Internal and External Audit, Inspectorates, External Assurance Providers
AF9	Compliance with legislative and regulatory requirements	Robust arrangements are in place to ensure that staff remain aware of changes to legislative / regulatory requirements and take necessary actions as required in a timely manner	Corporate Risk Register (20)	<ul style="list-style-type: none"> • Directors Assurance Statement • Chief Executive sign-off • Scheme of delegation • Monitoring Officer • Code of Corporate Governance • LGSS Legal team up to date with legislation and brief Corporate Leadership team on any changes • Health and Safety policy and processes • The Policy Network maintains an overview of emerging requirements 	<ul style="list-style-type: none"> • Overview and Scrutiny review of Member led review of Communication - September 2012 • Safeguarding and Standards Unit 	<ul style="list-style-type: none"> • Internal Audit Review - Transfer of Roles and Responsibilities - June 2012 - Substantial Assurance • Internal Audit Review - Embedded Assurance - Public Health - July 2013 - Substantial Assurance • Ofsted Reviews - Inspection of CCC Fostering - June 2012 - Rated as Good • Inspection of Youth Offending work - May 2012 - Minimum Improvement needed in 2 areas, Moderate Improvement needed in 1 • Internal Audit Review - Looked After Children and Corporate Parenting - March 2014 - Substantial Assurance • Internal Audit Review - Procurement - May 2014 - Moderate Assurance • Internal Audit Review - Information Governance - October 2014 - Moderate Assurance • Internal Audit Review - Information Governance in Public Health - February 2015 - Substantial Assurance
AF10	Business Disruption	The Authority has appropriate arrangements in place to deal with large scale incidents including:- <ul style="list-style-type: none"> • industrial action • pandemics • adverse weather • loss of use of assets, utility services, staff, premises, suppliers, IT, equipment or data Ensuring key services for vulnerable people are maintained and disruptions to services as a whole are minimised	Corporate Risk Register (21)	<ul style="list-style-type: none"> • Directors Assurance Statement Service continuity plans • Corporate and service business continuity plans • Multi-agency collaboration through the Cambridgeshire & Peterborough Local Resilience Forum (CPLRF) • Periodic testing of Business Continuity Plans • Business Continuity Policy 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process • Business Continuity Planning toolkit 	<ul style="list-style-type: none"> • Internal Audit Review - Emergency Planning - May 2012 - Moderate Assurance • Internal Audit Review - Business Continuity - January 2012 - Limited Assurance • Internal Audit Review - EDRM - May 2012 - Moderate Assurance • Internal Audit Review - Office Base - June 2012 - Moderate Assurance • Internal Audit Review - Business Continuity - February 2015 - Moderate Assurance
AF11	Cambridgeshire Future Transport Programme	The programme delivers effective, efficient and responsive passenger transport services around Cambridgeshire, meeting accessibility needs of residents.	Corporate Risk Register (22)	<ul style="list-style-type: none"> • Directors Assurance Statements • Governance group in place to oversee the programme. • Cambridge Future Transport community engagement programme 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process • Economy and Environment Committee oversight of CFT programme and consultation of the Chair and Vice Chair on individual investments 	<ul style="list-style-type: none"> • Internal Audit Review of Micro Franchise Project - March 2012 - Moderate Assurance • Internal Audit Review - Investing in Local Transport Solutions Community Engagement Programme - February 2013 - Moderate Assurance
AF12	Major Fraud and/or Corruption	The Council has appropriate anti fraud measures in place to prevent reputational damage and financial loss.	Corporate Risk Register (23)	<ul style="list-style-type: none"> • Directors Assurance Statements • Anti Fraud and Corruption Policy & Fraud Response Plan • Whistle Blowing Policy • System of Internal Audit • Code of conduct • Fraud and Corruption Intranet page 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process 	<ul style="list-style-type: none"> • National Fraud Initiative Work Programme Investigation Activity • Anti Fraud and Corruption Policy & Fraud Response Plan and Awareness Activities - March 2013 • Internal Audit Review - Key Financial Systems - April 2014 - Substantial Assurance • Internal Audit Review - Pensions Administration - July 2013 - Moderate Assurance • Internal Audit Review - Payroll - July 2013 - Moderate Assurance • Internal Audit - post-investigation reports

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AF13	Information Management, Data Accuracy and compliance with the Data Protection Act	Staff are equipped with the training, skills, systems and tools to enable them to meet the statutory standards for information management. Information and data held in systems is accurate, up to date, comprehensive and fit for purpose enabling managers to make confident and informed decisions.	Corporate Risk Register (24)	<ul style="list-style-type: none"> • Directors Assurance Statements • Information Strategy in place • Records Management policies and retention schedules in place • IT Strategy 2013 - 2017 • Tools including Encrypted laptops and USB sticks utilised for security 	<ul style="list-style-type: none"> • Quarterly updates on progress with mitigation update as part of corporate risk reporting process 	<ul style="list-style-type: none"> • Internal Audit Review - Information Sharing - January 2012 - Moderate Assurance • Internal Audit Review - Consultation and Use of Intelligence - January 2013 - Moderate Assurance • Internal Audit Review - Capita One - February 2012 - Limited Assurance • Internal Audit Review - EDRM - May 2012 - Moderate Assurance • Internal Audit Review - Office Base - June 2012 - Moderate Assurance • Internal Audit Review - Project Trinity - Embedded Assurance - November 2012 - Moderate Assurance • Internal Audit Review - Information Governance Council-Wide - October 2014 - Moderate Assurance • Internal Audit Review - Infomation Governance in Public Health - February 2015 - Substantial Assurance
AF15	Focusing on the purpose of the authority, the outcomes for the community and creating / implementing a vision for the local area	<p>Strategic Leadership is exercised. Clear communication of the authorities purpose and vision and outcomes for citizens.</p> <p>Users receive a high quality service whether directly, or in partnership by commissioning.</p>	<ul style="list-style-type: none"> • Six Chartered Institute of Public Finance and Accounts (CIPFA) / Society of Local Authority Chief Executives (SOLACE) key principles • Annual Governance Statement • Code of Corporate Governance 	<ul style="list-style-type: none"> • Chief Executive sign-off of Business Plan and Annual Governance Statement. • Business Planning Process, and associated public consultation • Online channels and social media to engage with the public • Cambridgeshire Public Service Board • The Policy Network • Health and Wellbeing Strategy 	<ul style="list-style-type: none"> • Community Impact Assessments (CIA) 	<ul style="list-style-type: none"> • Review of Annual Governance Statement • Internal Audit Review - Localism and Community Engagement Programme - Embedded Assurance - September 2012 - Moderate Assurance • Internal Audit Review - Public Health - Embedded Assurance - July 2013 - Substantial Assurance • LGA - Corporate Peer Challenge - October 2013 • 2013/14 Internal Audit Plan - Business Planning - Substantial Assurance • Internal Audit Review - Business Planning 2014/15 - March 2014 - Substantial Assurance • Internal Audit Review - Delivery of Business Plan Savings 2014/15 - December 2014 - Substantial Assurance
AF16	Members and Officers working together to achieve a common purpose with clearly defined functions and roles	<p>There is effective leadership throughout the Council.</p> <p>Clarity about executive and non-executive functions and of the roles and responsibilities of the scrutiny function exist.</p> <p>A constructive working relationship exists between elected members and officers.</p> <p>Responsibilities of members and officers are carried out to a high standard.</p>	<ul style="list-style-type: none"> • Six CIPFA / SOLACE key principles • Annual Governance Statement • Code of Corporate Governance 	<ul style="list-style-type: none"> • Directors Assurance Statement • Scheme of delegation • Chief Executive sign off of Business Plan and Annual Governance Statement. • Member development training and mentoring • Regular Group Leader / Spokes / Senior Officer meetings 		<ul style="list-style-type: none"> • Review of Annual Governance Statement • Internal Audit Review Scheme of Delegation - June 2012 - Moderate Assurance • Internal Audit Review - Democratic Services - July 2013 - Substantial Assurance • 2013/14 Internal Audit Plan - Business Planning - Substantial Assurance • Internal Audit Review - Business Planning 2014/15 - March 2014 - Substantial Assurance • Internal Audit Review - Delivery of Business Plan Savings 2014/15 - December 2014 - Substantial Assurance

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AF17	Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour	<p>Authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.</p> <p>Organisational values are put into practice and are effective.</p>	<ul style="list-style-type: none"> • Six CIPFA / SOLACE key principles • Annual Governance Statement • Code of Corporate Governance 	<ul style="list-style-type: none"> • Directors Assurance Statement • Review for Annual Governance Statement • Member and Officer Codes of Conduct • Annual Governance Statement • Whistle blowing Policy • Fraud and Corruption Intranet site • Bribery Act guidance online leaflet • Section 151 Officer Responsibilities • Council Constitution • Register of Interests • Contract Regulations • Monitoring Officer 	<ul style="list-style-type: none"> • Staff Ethical Governance Framework • Constitution and Ethics Committee 	<ul style="list-style-type: none"> • Review of Annual Governance Statement • LGSS Anti-Fraud Policy and Response Plan • Internal Audit Review - Democratic Services - July 2013 - Substantial Assurance • Internal Audit Review - Members Expenses - May 2013 - Moderate Assurance • Internal Audit Fraud Awareness Activities - March 2013 • Internal Audit Review - Ethics - September 2014 - Substantial Assurance
AF18	Taking informed and transparent decisions which are subject to effective scrutiny and managing risk	<p>Rigorous and transparent decisions are taken.</p> <p>Outcomes of constructive scrutiny are acted on.</p> <p>Good quality information, advice and support, ensure services are delivered effectively and are what the community want / need.</p> <p>An effective Risk Management system is in place.</p> <p>Legal powers are used to the full benefit of citizens and communities.</p>	<ul style="list-style-type: none"> • Six CIPFA / SOLACE key principles • Annual Governance Statement • Code of Corporate Governance 	<ul style="list-style-type: none"> • Directors Assurance Statement • Risk Management Team reporting to SMT / GPC • Register of Interests • Declaration of interests in meetings • Committee minutes and agendas 	<ul style="list-style-type: none"> • Corporate Risk Management Arrangements (oversight by GPC and Audit and Accounts Committee) 	<ul style="list-style-type: none"> • Review of Annual Governance Statement • Internal Audit Review - Consultation and Use of Intelligence - January 2013 - Moderate Assurance • 2013/14 Internal Audit Plan - Business Planning - Substantial Assurance • Internal Audit Review - Business Planning 2014/15 - March 2014 - Substantial Assurance • Internal Audit Review - Delivery of Business Plan Savings 2014/15 - December 2014 - Substantial Assurance
AF19	Developing the capacity and capability of Members and Officers to be effective	<p>Members and officers have the skills, knowledge and resources required to perform well in their roles.</p> <p>The capabilities of people with governance responsibilities are developed and their performance evaluated as individuals and as a group.</p> <p>New talent for membership of the authority is encouraged, balancing continuity and renewal.</p>	<ul style="list-style-type: none"> • Six CIPFA / SOLACE key principles • Annual Governance Statement • Code of Corporate Governance 	<ul style="list-style-type: none"> • Directors Assurance Statement • Members' Corporate Seminars • Induction programme for Members • Corporate Induction and Development Policies • Member development training and mentoring • East of England Charter For Elected Member Development 		<ul style="list-style-type: none"> • Review of Annual Governance Statement • Internal Audit Review - Democratic Services - July 2013 - Substantial Assurance • Internal Audit Review - Looked After Children and Corporate Parenting - May 2014 - Substantial Assurance

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AF20	Engaging with local people and other stakeholders to ensure robust public accountability	<p>A robust overview and scrutiny function which effectively engages local people and all local institutional stakeholders. Constructive accountability relationships are developed.</p> <p>An active and planned approach to dialogue with and accountability to the public, ensures effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning.</p>	<ul style="list-style-type: none"> • Six CIPFA / SOLACE key principles • Annual Governance Statement • Code of Corporate Governance 	<ul style="list-style-type: none"> • Directors Assurance Statements • Community Engagement Strategy and Action Plan • Adult Social Care Service User Experience Survey • Public consultation on 2015/16 Business Plan budget • Public Question Time and Petitions 	<ul style="list-style-type: none"> • Freedom of Information and Information Governance 	<ul style="list-style-type: none"> • Review of Annual Governance Statement • Internal Audit review of Localism and Community Engagement Programme - September 2012 - Moderate Assurance • Internal Audit Review - Consultation and Use of Intelligence - January 2013 - Moderate Assurance • 2013/14 Internal Audit Plan - Business Planning - Substantial Assurance • Internal Audit Review - Business Planning 2014/15 - March 2014 - Substantial Assurance • Internal Audit Review - Delivery of Business Plan Savings 2014/15 - December 2014 - Substantial Assurance
AF21	A mechanism has been established for identifying statutory obligations.	<p>Responsibilities for statutory obligations are formally established.</p> <p>Record held of statutory obligations. Effective procedures to identify, evaluate, communicate, implement, comply with, and monitor legislative change, exist and are used.</p> <p>Effective action is taken where areas of non-compliance are found in either mechanism or legislation.</p>	<ul style="list-style-type: none"> • Annual Governance Statement 	<ul style="list-style-type: none"> • Directors Assurance Statements • Constitution Review by Monitoring Officer • Policy Network 		<ul style="list-style-type: none"> • Internal Audit Review - Transfer of Roles and Responsibilities - July 2012 - Substantial Assurance
AF22	A mechanism is in place to establish corporate objectives.	<p>Consultation with stakeholders on priorities and objectives.</p> <p>The authority's priorities and organisational objectives have been agreed (taking into account feedback from consultation).</p> <p>Priorities and objectives are aligned to principal statutory obligations and relate to available funding.</p> <p>Objectives are reflected in departmental plans and are clearly matched with associated budgets.</p> <p>The authority's objectives are clearly communicated to staff and to all stakeholders.</p>	<ul style="list-style-type: none"> • Annual Governance Statement 	<ul style="list-style-type: none"> • Directors Assurance Statements • Business Planning workshops with businesses, voluntary and community groups • Public consultation on 2015/16 Business Plan budget 		<ul style="list-style-type: none"> • LGA - Corporate Peer Challenge - October 2013 • 2013/14 Internal Audit Plan - Business Planning - Substantial Assurance • Internal Audit Review - Business Planning 2014/15 - March 2014 - Substantial Assurance • Internal Audit Review - Business Plan Savings 2014/15 - December 2014 - Substantial Assurance
AF23	Effective corporate governance arrangements are embedded.	<p>Code of corporate governance established.</p> <p>Review and monitoring arrangements in place.</p> <p>Committee charged with governance responsibilities.</p> <p>Governance training provided to key officers and all members.</p> <p>Staff, public and other stakeholder awareness of corporate governance.</p>	<ul style="list-style-type: none"> • Annual Governance Statement 	<ul style="list-style-type: none"> • Directors Assurance Statements • Code of Corporate Governance • Corporate Governance Monitoring Officer 		<ul style="list-style-type: none"> • Covered in Review for Annual Governance Statement. • Internal Audit Review - Scheme of Delegation - June 2012 - Moderate Assurance

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				Senior and operational management	Compliance reviews, risk management, scrutiny reviews	Internal and External Audit, Inspectorates, External Assurance Providers
AF24	Effective performance management arrangements are in place.	<p>Comprehensive and effective performance management systems operate routinely.</p> <p>Key performance indicators are established and monitored.</p> <p>The authority knows how well it is performing against its planned outcomes.</p> <p>Performances data is used to support decisions that drive improvements in outcomes.</p> <p>The authority continuously improves its performance management.</p>	Annual Governance Statement	<ul style="list-style-type: none"> • Directors Assurance Statements • Performance Management Framework • Corporate Risk Register reported to and reviewed by GPC / SMT • Monthly Finance and Performance Reports • Risk and Performance Reviews in DMT's 		<ul style="list-style-type: none"> • Annual Governance Statement • Internal Audit Review - Performance Management - February 2012 - Moderate Assurance • Internal Audit Review - Budgetary Control - January 2014 - Substantial Assurance • LGA - Corporate Peer Challenge - October 2013 • Internal Audit Review - Budgetary Control - October 2014 - Substantial Assurance
AF25	Identification of the principal risks to achievement of objectives	<p>The authority has successfully implemented clear policies, structures and processes for risk management.</p> <p>The authority has developed a programme of risk management training for relevant staff.</p> <p>The corporate risk management board (or equivalent) adds value to the risk management process.</p> <p>A corporate risk officer has been appointed with the necessary skills to analyse issues and offer options and advice.</p> <p>Risk management is embedded throughout the authority.</p> <p>Risks in partnership working are fully</p>	Annual Governance Statement	<ul style="list-style-type: none"> • Directors Assurance Statements • Corporate Risk Management Process - Oversight and reporting to GPC Quarterly. • Corporate Risk Register 		<ul style="list-style-type: none"> • Annual Governance Statement • 2014/15 Internal Audit Plan and Reports
AF26	Identify key controls to manage principal risks	<p>Financial regulations / contract standing orders/ whistle blowing policy / counter fraud and corruption policy / codes of conduct / register of interests / scheme of delegation / corporate complaints policy / corporate health and safety document / corporate procurement policy are in place.</p> <p>Business/service continuity plans are in place and subject to regular testing and regular review.</p> <p>The corporate/ departmental risk registers includes expected key controls to manage principal risks.</p> <p>The authority's internal control framework is subject to regular independent assessment.</p>	Annual Governance Statement	<ul style="list-style-type: none"> • Directors Assurance Statements • Head of Audit Annual Opinion • Risk Management Procedures • Corporate Risk Register 		<ul style="list-style-type: none"> • Annual Governance Statement • 2014/15 Internal Audit Plan and Reports

Ref	Assurances Required			Assurance Currently Available		
	Key Control area	Nature of assurance required	Source	First level of Assurance	Second Level of Assurance	Third level of Assurance
				Senior and operational management	Compliance reviews, risk management, scrutiny reviews	Internal and External Audit, Inspectorates, External Assurance Providers
AF27	Obtain assurance on the effectiveness of key controls	<p>The authority has determined appropriate internal and external sources of assurance. Appropriate key controls on which assurance is to be given have been identified and agreed.</p> <p>Departmental assurances are provided. External assurance reports are collated centrally</p> <p>Effectiveness of the Internal Audit Arrangements.</p> <p>Corporate Governance Arrangements. Performance monitoring arrangements.</p>	Annual Governance Statement	<ul style="list-style-type: none">• Directors Assurance Statements• Head of Audit Annual Opinion		<ul style="list-style-type: none">• Annual Governance Statement• 2014/15 Internal Audit Plan and Reports