

Assurance Statement				
Ref	Statement	Response	If no, please explain	Actions to be taken
1	Internal Control Environment, Risk and Resilience Requirements	Assessment of compliance	If not fully compliant, please explain	Improvement actions
1.1	I have internal controls and procedures in place throughout the Board that are proportionate, robust, monitored and operating effectively.	Compliant		
1.2	I have risk management arrangements in place to identify the key risks to the organisation (and the Council).	Compliant		
1.3	I have effective controls and procedures in place to record and manage the risks identified above to a tolerable level or put in place actions to mitigate them.	Compliant		
1.4	I have effective controls and procedures in place to manage the risks in delivering services through contracted parties and/or other partners.	Compliant		
1.5	I have an effective monitoring framework to review the effectiveness of the Board's risk management, internal controls and procedures.	Compliant		
1.6	I have appropriate resilience arrangements in place including business continuity plans and arrangements that mitigate the risks facing our essential activities.	Compliant		
1.7	I have risk management arrangements in place to identify the risk(s) of any actual or prospective legal action being taken against the Board, or any matter which may actively lead to legal dispute with the Board.	Compliant		
1.8	I have risk management arrangements in place to identify any matters which give rise to a significant risk of reputational damage to the Board (and the Council).	Compliant		
2	Performance Requirements	Assessment of compliance	If not fully compliant, please explain	Improvement actions
2.1	I have arrangements in place for reporting to the Board when performance monitoring identifies weaknesses or significant deficiencies that ensures improvement measures are implemented and monitored.	Compliant		
2.2	I have arrangements in place to encourage 'customer' feedback and engagement e.g. customer surveys, complaints procedure, social media presence, etc.	Partially compliant	We have an established complaints procedure and social media presence, the Board does not have direct engagement in terms of customer feedback to rate performance	The Corporate Leadership Team shall consider introducing new engagement methods
3	Policies and Regulatory Requirements	Assessment of compliance	If not fully compliant, please explain	Improvement actions
3.1	I have arrangements in place to ensure all staff are made aware of and fully understand the implications of all relevant existing and new Board policies and procedures.	Compliant		
3.2	I have arrangements in place for monitoring staff compliance with Board policies and procedures.	Compliant		
3.3	I ensure all staff are made aware of their responsibilities in relation to information governance legislation e.g. Data Protection Act 2018 and Freedom of Information (Scotland) Act 2002.	Compliant		
3.4	Staff are made aware of their responsibilities under relevant H&S policies and procedures and the organisation has appropriate arrangements in place for the identification and provision of H&S training necessary for all job roles, including induction training.	Compliant		

3.5	I have competencies, processes and controls in place to ensure that all areas operate in compliance with all applicable H&S laws and regulations.	Compliant		
3.6	I have effective arrangements in place to ensure there is full compliance with Scottish, UK and EU legislation and regulations.	Compliant		
4	Financial Control Requirements	Assessment of compliance	If not fully compliant, please explain	Improvement actions
4.1	The operation of financial controls in my organisation is effective in ensuring the valid authorisation of financial transactions and maintenance of accurate accounting records.	Compliant		
4.2	I am confident that the arrangements in place to monitor expenditure/budget variances would identify control problems or variances that could have an effect on the Annual Accounts.	Compliant		
4.3	I have arrangements in place to ensure all material commitments and contingent liabilities (i.e. undertakings, past transactions or events resulting in future financial liabilities) are notified to the Chief Financial Officer(s).	Compliant		
4.4	I have arrangements in place to review and protect assets against theft, loss and unauthorised use; identify any significant losses; and, ensure the adequacy of insurance provision in covering the risk of loss across the company.	Compliant		
4.5	I have an effective monitoring framework in place that identifies any problems in complying with our funding/operating agreements that could have an impact on the Annual Accounts.	Compliant		
4.6	I am confident that the arrangements in place to monitor the Board's internal control environment, risk management or asset valuation would identify any weaknesses that could have an impact on the Annual Accounts.	Compliant		
5	Workforce Control Requirements	Assessment of compliance	If not fully compliant, please explain	Improvement actions
5.1	I have robust controls in place to ensure that statutory workforce requirements are met.	Compliant		
5.2	I regularly consult and engage with recognised trade unions.	Compliant		
6	Change and Project Management Requirements	Assessment of compliance	If not fully compliant, please explain	Improvement actions
6.1	I ensure all projects and programmes have a clear business justification, that as a minimum articulate outcomes and benefits; have appropriate governance in place to support delivery; effective controls in place to track delivery progress and to take corrective action if required; have a robust benefits management framework in place; and ensure that a formal closure process is undertaken.	Compliant		

7	Commercial and Contract Management Requirements	Assessment of compliance	If not fully compliant, please explain	Improvement actions
7.1	I have effective arrangements in place to ensure that all goods, services and works are procured and contracts managed in compliance with relevant legislation, policies and procedures.	Compliant		
8	National Agency Inspection Reports (where applicable)	Assessment of compliance	If not fully compliant, please explain	Improvement actions
8.1	I have arrangements in place to ensure our reporting regime identifies any significant deficiencies or other causes for concern and that they are reported to the Board.		N/A	
9	Internal Audit, External Audit and Review Reports	Assessment of compliance	If not fully compliant, please explain	Improvement actions
9.1	I have arrangements in place to ensure that any high, medium or significant control deficiencies are all reported to the Board or relevant sub-committee and that all recommendations have been (or are being) implemented and that this is monitored effectively.	Compliant		
10	Outstanding Issues From Previous Years	Assessment of compliance	If not fully compliant, please explain	Improvement actions
10.1	All outstanding issues or recommendations from previous years have been addressed satisfactorily.	Compliant		
11	Additional Information	Assessment of compliance	If not fully compliant, please explain	Improvement actions
11.1	Apart from the topics raised above, there have been no significant control problems or other matters affecting my organisation to an extent that these should be considered when signing the Annual Governance Statement.	Compliant		