

### CORE PURPOSE

“To provide an exceptional service, that is valued by our customers, to make a difference together”.

### GUIDING PRINCIPLES

- To work as a united team across both councils.
- To focus on the customer to ensure that we deliver the right services in the right way.
- To be excellent and efficient in everything we do.
- To achieve the highest standards of ethical behaviour and maintain trust and confidentiality throughout.
- To create learning & development opportunities for everyone involved.

ASSURANCE SERVICES STRATEGY				
	INTERNAL AUDIT	RISK MANAGEMENT	EMERGENCY & BUSINESS CONTINUITY PLANNING	INSURANCE
Strategy Objectives	<p>To comply in full with all aspects of the legislative and regulatory framework for Internal Audit in local government</p> <p>To prepare &amp; deliver Annual Audit Plans for each Council which are fully reflective of the risk environments that each faces</p> <p>To provide an overall Internal Audit opinion on the control environment in each Council as required in the Accounts and Audit Regulations (Amendment) 2006 (4(3))</p> <p>To adopt an inclusive and consultative style of working with officers to secure their full co-operation in addressing any significant control issues which we bring to their attention</p> <p>To maintain a formal quality system and continuously strive to retain our ISO 9000 accreditation which was first awarded in 1994</p> <p>To provide maximum added value services for our customers at optimum cost</p> <p>To work closely with External Audit and compare plans and activities so as to avoid duplication and optimise costs to each authority</p>	<p>To work with the Members and Chief Officers of each Council to review the key strategic risks and opportunities that each faces and produce a Corporate Risk Register that is fit for purpose</p> <p>To produce half-yearly and annual out-turn reports of the progress made by services to implement the agreed projects and actions and therefore provide an assessment of their impact on risk</p> <p>To work alongside the Policy &amp; Performance Teams at each council to streamline the processes for information collection and reporting</p> <p>To provide guidance on best practice for the management of risks in relation to projects, procurement and partnerships and to provide services and directorates with support in applying that guidance</p> <p>To proactively identify fraud risks in individual service areas and work with managers to address them</p>	<p>To provide both Councils with an Emergency Planning (EP) support service which effectively discharges their statutory responsibilities with regard to the Civil Contingencies Act 2004.</p> <p>To work with chief Officers to establish and maintain Business Continuity Management (BCM) response plans, which reflect best practice</p> <p>To keep the EP and BCM response plans under continuous review</p> <p>To facilitate the testing of EP and BCM response plans on a rolling basis, and ensure proper co-ordination of the EP and BCM functions</p>	<p>To work towards a convergence of insurance arrangements across both Councils to secure maximum value for money</p> <p>To manage and coordinate insurance activities on behalf of both Councils to provide a single point of contact for the processing of claims and liaising with insurers</p> <p>To develop appropriate risk mitigation strategies</p> <p>To undertake an annual review of insurance requirements</p> <p>To provide advice and guidance on insurance matters to officers at each Council</p>
Key Performance Indicators	<p>Achieve 85% satisfaction score in customer survey</p> <p>Achieve 92% satisfaction from Assurance Services staff (year-end survey)</p> <p>Obtain minimum level 3 score for relevant Key Lines of Enquiry (KLOEs) under Use of Resources 2010</p> <p>Utilise 100% of Audit time</p> <p>Use 90% of planned time used</p> <p>Complete 92% Audit Plan</p> <p>Obtain 98% agreement of management actions</p> <p>Achieve 100% implementation of priority 1 and 80% of priority agreed management actions</p> <p>Achieve 100% implementation of priority 1 and 80% of priority agreed management actions within agreed timescales</p> <p>30% of Internal Audit staff to be professionally qualified (Full Time Equivalents)</p>	<p>Achieve 85% satisfaction score in customer survey</p> <p>Achieve 92% satisfaction from Assurance Services staff (year-end survey)</p> <p>Obtain minimum level 3 score for relevant Key Lines of Enquiry (KLOEs) under Use of Resources 2010</p>	<p>Achieve 85% satisfaction score in customer survey</p> <p>Achieve 92% satisfaction from Assurance Services staff (year-end survey)</p> <p>Obtain minimum level 3 score for relevant Key Lines of Enquiry (KLOEs) under Use of Resources 2010</p>	<p>The average customer satisfaction score per insurance claim to be at least 4.7 out of 5.0.</p> <p>Achieve 85% satisfaction score in customer survey</p> <p>Achieve 92% satisfaction from Assurance Services staff (year-end survey)</p> <p>Obtain minimum level 3 score for relevant Key Lines of Enquiry (KLOEs) under Use of Resources 2010</p>
Key Actions/Projects 2010/11	<p>Update the Internal Audit Charter in respect of the new shared audit service</p> <p>Update of the Quality System &amp; retention of ISO 9001 standard</p> <p>Review the effectiveness of the system of Internal Audit in accordance with new regulatory requirements</p> <p>Support the governance policy awareness programmes at both councils</p> <p>Update the skills assessment for Internal Audit Staff in respect of the “Effective Internal Auditor” and the new core competencies</p> <p>Adapt the Meritec corporate fraud awareness package and issue to members &amp; staff at both councils</p> <p>Further develop the IDEA system interrogation package to encompass more applications</p>	<p>Review &amp; update all risk management policies &amp; procedures in place at both councils</p> <p>Oversee compliance with the latest anti-fraud guidance in Protecting the Public Purse (Audit Commission)</p> <p>Support the governance policy awareness programmes at both councils</p>	<p>Develop and implement an agreed protocol for providing Emergency Planning (EP) &amp; Business Continuity Planning (BCP) support to both councils</p> <p>Oversee and implement the EP/BCP Development Plans for both Councils</p>	<p>Arrange the procurement of a single insurance broker under a combined agreement covering both Councils</p> <p>Oversee the exercise for the procurement of new long-term insurance agreements by both councils</p>