

DISTRICT COUNCIL OF TANDRIDGE

Officer Governance [Self-Assessment Questionnaire 2023-24](#) in support of the Certificate of Assurance for the [Annual Governance Statement 2023 - 2024](#)

Officer: Lidia Harrison

Job title: Head of Legal Services & Monitoring Officer

	Yes	No	N/A	Comment/Detail
General				
Have you had to consider making improvements to controls or governance? (please give details) (This could be following a specific incident or following advice from Internal Audit)	Yes			
Business Planning				
Does your service have plans that are based on the authority's vision and strategic objectives?	Yes			
Have plans, priorities and targets been developed in consultation with key stakeholders (including the local community, employees and members)?	Yes			
Are these plans, priorities and targets clearly communicated?	Yes			

Are these plans incorporated into the service and Council budget / Medium Term Financial Strategy?	Yes			
Is risk management incorporated into the business planning process?	Yes		N/a	
When decisions are made, do decision makers receive sufficient information and analysis of a variety of options (where applicable) including risks associated with these options?				
Do you have a Business Continuity Plan in place? And how often is it reviewed?		No		Work will be undertaken in the 24/25 year to draft a BCP for the Legal & Democratic Services Department.
Project Management				
Have officers that manage projects had project management training?			N/a	
Where monies are received from an external body, (e.g. Government funding or any other grant etc) are Project Managers aware of the additional regulations that must be observed?			N/a	
Do you assess value for money once major projects have been delivered?			N/a	

Budgeting				
Are there systems and procedures in place to monitor budgets and is there an appropriate reporting mechanism?	Yes			
Are responsibilities for budget management and control clear?	Yes			
Are the finances available to the service sufficient to deliver service objectives?	No			
Expenditure				
Are your officers aware of Financial Regulations and Contract Standing Orders?	Yes			
Is procurement activity undertaken in accordance with Contract Standing Orders / Financial Regulations and completed by officers with the necessary delegated authority?	Yes			
Are all invoices and claims for reimbursement e.g. travel claims, P-Cards, etc. examined to confirm that expenditure is correct, necessary and has been incurred?	Yes			
Is there sufficient separation of duties? (i.e. a system that would not allow an officer to order & receive goods and also authorise the payment of an invoice.)	Yes			
Where necessary are all contracts and service level agreements with external suppliers in place and at the beginning of any contract term?	Yes			

Do you have access to a P-Card?	Yes			
Human Resources				
Do you comply with the Recruitment process/ policy?	Yes			
Are you aware of when to complete a HR/ Finance recruitment form? Do you update it in time?	Yes			
Do you ensure new Officers complete all induction programmes and training?	Yes			
Are effective communication procedures in place to keep officers informed of new and existing corporate and departmental policies / procedures / issues?	Yes			
Do officers have the knowledge, skills and tools to complete their tasks and support achievement of any service objectives?	Yes			
Are the procedures in place for sickness / absence monitoring complied with? Are absence reviews carried out to the required timescales?	Yes			
Is leave i.e. annual / flexi / special / other leave recorded and monitored?	Yes			
Are all appraisals completed and returned to HR?	Yes			
Are regular check-ins with officers booked in and completed?	Yes			

Information Governance				
Do your officers comply with the Council's IT Security Policies?	Yes			
Have all officers completed and updated all their e-learning packages e.g IT Security and Data Protection/GDPR?	Yes			
Has there been any breach of Data security during the past year?	No			
Do you have effective arrangements in place to ensure compliance with Data Protection requirements for both electronic and paper information?	Yes			
Health and Safety				
Is health and safety assessed for your service area?	Yes			
If yes, how frequently do you complete these?			N/a	
Does your service have processes in place to ensure compliance with the Health & Safety Policy?		No		
Risk Management				
Do you have a process in operation to identify, manage and update risk for your service area?	Yes			

Are risk management procedures embedded into your service area?	Yes			
How often do you review service risks and when did you last update the risk register?	Yes			
What are the top 3 risks in your service and how do you manage these risks?				
Codes of Conduct				
Are your officers aware of the Officer Code of Conduct and how do you ensure that they observe the Code?	Yes			
Are your officers aware of the Member Code of Conduct?	Yes			
Are there appropriate ethical standards in place and are these monitored?	Yes			
Anti-Fraud, Bribery and Corruption				
Are officers aware of and understand the Council's Anti-Fraud, Bribery and Corruption Policy?	Yes			
Are whistleblowing procedures embedded into the service?	Yes			
Have you received any referrals under the Whistle Blowing Policy?		No		
What are the top 3 fraud risks your service is exposed			N/a	

to and how do you manage these?				
Legislation				
Are officers aware of legal and regulatory requirements that must be observed?	Yes			
Do officers observe all specific legal and regulatory requirements?	Yes			
How do you ensure that you and your officers are aware of any new or amended legislation / regulations and that appropriate action is taken to implement these?				
Do you complete checks to ensure your officers comply with those regulations?	Yes			
Complaints				
Is there an effective complaints procedure in place to deal with problems in service delivery?	Yes			
Have you received any complaints about service delivery?		No		
Have you received any compliments / awards regarding your service delivery?	Yes			

Areas for improvement

Please list any areas of improvement that you have identified in relation to the assurance areas above and the other aspects of corporate governance for your service. This will be used to inform the publication of this year's annual governance statement and action plan. For more information please see the Council's Local Code of Corporate Governance (draft available from Lidia Harrison: lharrison@tandridge.gov.uk and sgray@tandridge.gov.uk)

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The information provided in this form is given to the best of my knowledge in connection with the service areas for which I have direct responsibility.

Certified (name & e-signature):
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Date:
