

**ANNUAL SERVICE UNIT ASSURANCE ASSESSMENT
For the year ending 31st March 2012**

AREA OF ASSURANCE	Yes	Partially Agree	No	N/A See below	Areas for improvement	Action Plan in Place?	Comments
1. Controls are in place to ensure that the BCU /SUM can demonstrate compliance with legal requirements including those specific to that service.							
2. Controls are in place to ensure there is compliance with the Authority's Standing Orders, Force Orders and Standing Financial Instructions (SFI)							
3. Controls are in place to ensure there is compliance with the Authority's corporate objectives and policies, and those of the Force							
4. There is effective service planning with resources devoted to the Authority's and service-related objectives and							

Only use N/A where the question could not apply
e.g. income collection is not a function of the service unit
Or the service unit does not have any formal or informal partnerships.

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priorities.							
5. There is effective management of service delivery, with stakeholder involvement and customer feedback sought and acted upon as appropriate.							
6. There are effective performance management processes with accurate performance information generated, reported to relevant parties on a timely basis, with appropriate action taken to address performance issues.							
7. There are well defined reporting arrangements to members and senior management, including a							

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clear reporting structure and accurate and timely information provided, to ensure that decisions are taken with reference to that information and data.	Yes						
8. Management and staffing structures are clearly defined, responsibilities including job descriptions are clearly established.	Yes						
9. There is a workforce of sufficient number and competence to deliver the service.	Yes						
10. Standards of conduct within the BCU /SUM are in accordance with written codes and controls are in place to deter, prevent, detect, and therefore reduce the risk, of fraud	Yes						

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and corruption.							
11. There are effective financial planning and budgetary control procedures in place.							
12. All expenditure transactions by the BCU /SUM are properly authorized and properly and accurately recorded on a timely basis.							
13. The BCU /SUM can demonstrate it has sought value for money in the use of resources.							
14. All income is properly collected, recorded, banked and monitored, with fees and charges etc. reviewed for appropriateness on a regular basis with levels							

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properly approved.							
15. Assets are recorded and safeguarded to protect against loss or unauthorized use.							
16. Partnership arrangements are well founded, clearly defined and monitored for effectiveness.							
17. ICT systems used by the BCU /SUM are secure and satisfactory for their purpose.							
18. Business continuity arrangements are in place.							
19. Recommendations from relevant Inspectorate / audit reports are reviewed and							

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acted upon.							
20. Decisions are taken with due regard to insurance, health and safety, public safety and other risk implications.							
21. There is effective service planning and risk management with adequate identification, control and ongoing monitoring and review of BCU /SUM risks, including the maintenance of up to date risk registers.							

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The responses in Pages 1 to 8 (amend as appropriate) are certified as correct.

BCU Commander/ Service Unit Manager

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Date of signature

.....2011

E-mail E-copy to Michael Porter by 20th April 2011

Send Signed hardcopy to Head of Corporate Finance by 20th April 2011

Copy to be sent by Corporate Finance to Internal Audit by end of April 2011

Remember to keep a record of the information/evidence that you have used in coming to the conclusion in your answers above. So that you can provide this to the Internal Auditors when they visit.

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