

## Appendix 1

### Assurance statement from Chief Officers

The Senior Managers' Assurance Statements for the financial year ending 31 March 2016 accompany this Chief Officer's Statement. Annual Manager's Assurance Statements provide an important element of the corporate governance arrangements and are an integral part of the framework that supports the production of the Annual Governance Statement.

The Assurance Statements take the form of a standard template. The templates identify each Senior Manager's area of responsibility. The Manager's review of their area includes a schedule of the key activities in place which provide assurance about the overall effectiveness of internal controls.

The Senior Managers' assurance statements indicate that a sound system of internal control was and is in place.

The following areas of improvement have been identified by Senior Managers in their assurance statements:

- Develop contract monitoring and control processes in relation to the PPP contract

On the basis of the opinions of the senior managers and our ongoing oversight of action plans and operations, we are satisfied that the Authority's financial, governance, and operational assurance arrangements are adequate and are operating effectively and that the improvements identified will further enhance our assurance arrangements.

Hugh Peart, Clerk and Monitoring Officer

Ian O'Donnell, Treasurer

Keith Townsend, Chief Technical Officer

Chief Officers meeting dated 9/9/2016

## Assurance Statement – Finance and Performance: Jay Patel

The table below identifies the key areas of responsibility within Finance and Performance operations and the main activities to ensure the effectiveness of the internal control environment within these areas.

<b>FINANCE</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
Payment of invoices	<ul style="list-style-type: none"> <li>• LB Ealing service provider</li> <li>• Robust supplier set up procedures</li> <li>• Invoice processing and payment procedures</li> <li>• Restricted system access for approval of invoices</li> <li>• Segregation of duties between spending managers and invoice processors</li> <li>• Delegated authorisation limits</li> <li>• Recording and reconciliation of payments</li> <li>• Restricted access to banking facilities</li> <li>• Restricted number of bank account signatories and dual signatory requirements for payments &gt; £50k</li> <li>• Monthly bank reconciliations and accounts payable reconciliation with review and authorisation</li> <li>• Reporting of accounts payable KPIs</li> </ul>
Salary management	<ul style="list-style-type: none"> <li>• LBE payroll service provider</li> <li>• Defined policies and procedures</li> <li>• Restricted system access for viewing, approval etc of payroll information</li> <li>• Monthly salary budget monitoring and reporting</li> <li>• Payroll reports checking and approval before processing</li> <li>• Adhering to Single Status guidelines</li> <li>• Applying NJC and Chief Officer pay scales</li> </ul>
Income collection	<ul style="list-style-type: none"> <li>• Invoicing procedure</li> <li>• Debt monitoring and collection</li> <li>• Debt recovery and chasing processes</li> <li>• Checks trade customers before opening credit accounts</li> <li>• Monthly bank reconciliation and accounts receivable reconciliation with review and authorisation</li> <li>• Reporting accounts receivable KPIs</li> </ul>
Budgets	<ul style="list-style-type: none"> <li>• Budgets built from the bottom up using detailed service data</li> </ul>


	<ul style="list-style-type: none"> <li>• Budget holders detailed involvement preparing annual budgets</li> <li>• Using Boroughs provided data for budget setting and monitoring</li> <li>• Budget Challenge session</li> <li>• Budget approval by Officers and WLWA</li> <li>• Borough consultation on budget</li> <li>• Monthly budget monitoring and reporting to Authority</li> </ul>
Financial planning	<ul style="list-style-type: none"> <li>• Long term financial models with sensitivity analysis approved by Authority</li> <li>• Treasury Strategy and performance reported to Authority</li> <li>• LB Ealing service provider for Treasury activities under an SLA</li> <li>• Standard forms and authorisations</li> <li>• Cashflow management and forecasting</li> <li>• Ready access to funds at short notice</li> <li>• Treasury processes</li> </ul>
Governance	<ul style="list-style-type: none"> <li>• Regular review, update and approval of the range of governance policies</li> <li>• Administration of governance arrangements through service level arrangements</li> <li>• Forward planning for the Authority, Chief Officer and Borough Partnership meetings</li> </ul>
Compliance	<ul style="list-style-type: none"> <li>• Production and external audit of annual financial statements</li> <li>• Routine submission of regulatory returns</li> <li>• Expenditure published on WLWA website</li> <li>• Disclosure and reporting of Authority meetings and completion of statutory returns to government</li> </ul>
Audit	<ul style="list-style-type: none"> <li>• Internal audit provided by external independent organisation (LB Hillingdon)</li> <li>• External auditors appointed by the Audit Commission and currently conducted by Deloitte</li> <li>• Audit Committee meetings</li> </ul>
<b>INFORMATION TECHNOLOGY</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
Infrastructure	<ul style="list-style-type: none"> <li>• Supplied and maintained by LB Ealing with their protocols and large scale security</li> </ul>



	<ul style="list-style-type: none"> <li>• Service Level Agreements and support desk service</li> </ul>
Business continuity	<ul style="list-style-type: none"> <li>• Data on managed servers with comprehensive back-up/business continuity processes</li> <li>• Virtualisation – access systems from any location</li> </ul>
Applications	<ul style="list-style-type: none"> <li>• Full range of functionality</li> <li>• Access to IT expertise to develop approach and consider alternatives</li> </ul>
Strategy	<ul style="list-style-type: none"> <li>• Updated and approved IT strategy with 3 year action plan</li> </ul>
Data protection	<ul style="list-style-type: none"> <li>• Permission based access to systems with secure login cards</li> <li>• Access to files restricted on the basis of business needs</li> <li>• Using encrypted USB drives</li> <li>• Very low volume of personal data</li> </ul>
<b>HUMAN RESOURCES</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
Establishment	<ul style="list-style-type: none"> <li>• Establishment agreed during budgeting process each year</li> <li>• Changes to establishment approved by WLWA Officers</li> </ul>
Recruitment	<ul style="list-style-type: none"> <li>• Defined policies and procedures</li> <li>• Induction process</li> <li>• Probationary period</li> </ul>
Appraisal	<ul style="list-style-type: none"> <li>• Defined policies and procedures</li> <li>• Appraisal conducted annually</li> <li>• Organisation wide training plans developed annually</li> </ul>
HR advise and support	<ul style="list-style-type: none"> <li>• Range of policies regularly reviewed</li> <li>• SLA for provision by Hounslow Council for advice on more complex issues</li> </ul>
Staff Liaison	<ul style="list-style-type: none"> <li>• Bimonthly meetings with recognised trade union</li> </ul>
<b>PERFORMANCE</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
Key Performance Indicators	<ul style="list-style-type: none"> <li>• Defined manager responsibilities for particular KPIs</li> <li>• Regular reporting of KPIs and analysis/corrective action where appropriate</li> <li>• Range of indicators tailored for individual user/group needs</li> </ul>
Compliance	<ul style="list-style-type: none"> <li>• Monthly reporting of tonnage information to Boroughs</li> </ul>

	<ul style="list-style-type: none"> <li>• Agreed processes for information flows from Boroughs and service providers</li> <li>• Validation procedures and cross checks linking to spending patterns</li> <li>• Submission of statutory Waste Data Flow returns</li> </ul>
<b>RISK</b>	
Risk	<ul style="list-style-type: none"> <li>• Defined Risk Management Strategy with defined roles, responsibilities and activities</li> <li>• Maintaining Risk Register and reviewing regularly at Chief Officer meetings and Audit Committee meetings</li> </ul>
Insurance	<ul style="list-style-type: none"> <li>• Reviewed and renewed annually for adequacy of cover</li> <li>• Professional advice and procurement support from Harrow Council</li> </ul>
Contracts	<ul style="list-style-type: none"> <li>• Updated and approved procurement and contract regulations</li> </ul>
<b>MANAGEMENT STRUCTURES AND REPORTING ARRANGEMENTS</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
Communication processes	<ul style="list-style-type: none"> <li>• Regular team meetings ensuring staff are kept informed of management decisions</li> <li>• 1-2-1s and support on an individual basis</li> <li>• Publication and consultation on changing procedures and policies</li> <li>• Cross functional working groups and inter departmental meetings</li> <li>• Bimonthly meeting with staff representatives</li> </ul>
Performance management	<ul style="list-style-type: none"> <li>• 1-2-1s and appraisals</li> </ul>
Training and development	<ul style="list-style-type: none"> <li>• Needs evaluated as part of appraisal process</li> <li>• Training arranged according to business needs and organisational training plan produced following the annual appraisal process</li> </ul>
<b>STRATEGY AND PLANNING</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
Operational business plans	<ul style="list-style-type: none"> <li>• Joint Waste Management Strategy</li> <li>• Approved Medium Term Business Plans and long term financial model</li> <li>• Annual Budgeting process</li> <li>• Annual Procurement Plans</li> </ul>

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<b>Key actions to improve the effectiveness of the internal control environment</b>
Develop contract monitoring and control processes in relation to the PPP contract

<b>Assurance Statement</b>	
As a Senior Manager, I have responsibility for maintaining a system of sound internal controls within my areas of responsibility that support the achievement of WLWA's objectives and for reviewing their effectiveness.	
I have reviewed the effectiveness of the system of internal control and summarised the key areas of responsibility and activities in the table above. I am satisfied that a sound system of internal control has been in place throughout the financial year and is ongoing.	
Jay Patel Head of Finance	Sign: 
	Date: 17/8/16

<b>Director's Statement</b>	
I have considered the list of areas of responsibility and activities set out above and from meetings of the Operations Management Team and Chief Officers together with my knowledge of day to day activities, risk register and reporting during the year am satisfied with the accuracy of the statement above.	
Barry Lister Senior Assistant Director 	Sign: 
	Date: 17/2/16

## Assurance Statement – Operations: Barry Lister

The table below identifies the key areas of responsibility within Operations and the main activities considered to ensure the effectiveness of the control environment within these areas.

<b>AUTHORITY MANAGEMENT</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
Deputise for Director	<ul style="list-style-type: none"> <li>• Act as Interim Head of Paid Service pending appointment and commencement of new MD</li> <li>• Stand-in for Director/MD as needed</li> <li>• Delegations</li> </ul>
General Management	<ul style="list-style-type: none"> <li>• Authority Reports</li> <li>• WLWA Officer Meetings</li> <li>• Operational team meetings</li> <li>• Agresso</li> <li>• iTrent</li> </ul>
<b>WASTE DISPOSAL</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
Waste Disposal	<ul style="list-style-type: none"> <li>• Ensure suitable arrangements in place for all waste streams.</li> <li>• Management of operational processes</li> <li>• On-going monitoring</li> <li>• Review performance</li> </ul>
Borough liaison	<ul style="list-style-type: none"> <li>• Regular meetings</li> <li>• Notify service changes</li> <li>• Assist with collection arrangements/contracts</li> <li>• Direct when necessary</li> <li>• Manage and assist with service changes</li> <li>• Liaise and interface with borough contractors</li> <li>• Partner for mutual benefits</li> </ul>
Budgets	<ul style="list-style-type: none"> <li>• Assess financial requirements</li> <li>• Develop projected spending profiles</li> <li>• Ensure budgets approved and in place</li> <li>• Profile ongoing expenditure</li> <li>• Monitor expenditure v budget</li> <li>• Adjust budgets</li> <li>• Provide reports and feedback</li> </ul>
Forward planning	<ul style="list-style-type: none"> <li>• Track future needs and requirements</li> <li>• Development of Waste Management Plans and Policies</li> </ul>

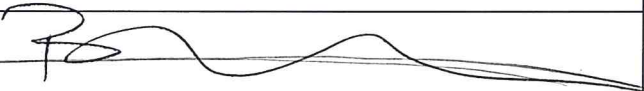
	<ul style="list-style-type: none"> <li>• Business Plan</li> <li>• Review future service requirements</li> <li>• Management of change</li> </ul>
Contingency/Business Continuity Provisions	<ul style="list-style-type: none"> <li>• Determine potential need</li> <li>• Arrangements in place</li> <li>• Keep under review options available</li> <li>• Implement as required</li> </ul>
Tonnage and related data	<ul style="list-style-type: none"> <li>• Review accuracy of data</li> <li>• Review data and data analysis</li> <li>• Disseminate information</li> <li>• Monitor trends</li> <li>• Respond to information</li> </ul>
Outside Agencies	<ul style="list-style-type: none"> <li>• Liaison with outside agencies – i.e. Mayor of London, GLA, EA, WIDP, LWARB, WRAP.</li> <li>• Partner in new initiatives</li> <li>• Co-operate and collaborate.</li> </ul>
<b>CONTRACT MANAGEMENT</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
Market testing	<ul style="list-style-type: none"> <li>• Investigating options</li> <li>• Review market</li> <li>• Market Intelligence</li> <li>• Develop contacts</li> <li>• Interviews and meetings</li> <li>• Benchmarking</li> <li>• Focus groups</li> <li>• Networking</li> </ul>
Procurements	<ul style="list-style-type: none"> <li>• Assess requirements</li> <li>• Market Review</li> <li>• Procurement strategy development</li> <li>• Documentation compilation</li> <li>• Initiate, control and manage procurement process</li> <li>• Compliance with Standing Orders, Financial Regulations etc.</li> <li>• Compliance with legislative and regulatory requirements</li> <li>• UK and EU Contract requirements met</li> <li>• Tender enquiries monitored and managed</li> <li>• Safe Tender receipt and opening</li> <li>• Tender Evaluation and assessment</li> <li>• Reporting</li> <li>• Recommendations</li> <li>• Contract preparations</li> </ul>
Contract Implementation	<ul style="list-style-type: none"> <li>• Arrange and authorise</li> </ul>




	<ul style="list-style-type: none"> <li>Orders/contracts</li> <li>• Review Permits, Licences, permissions, etc.</li> <li>• Check Insurances</li> <li>• Pre-contract meetings</li> </ul>
Contract Monitoring & Management	<ul style="list-style-type: none"> <li>• Contractor liaison</li> <li>• Contract Management meetings</li> <li>• KPI review</li> <li>• Regular contract meetings internal and external</li> <li>• Record changes, variations etc.</li> <li>• Verify invoice data v weighbridge records</li> <li>• Authorise verified invoices and payments</li> </ul>
Contract/Procurement Register	<ul style="list-style-type: none"> <li>• Compile</li> <li>• Review and monitor</li> <li>• Amended and update</li> </ul>
<b>SITE &amp; OPERATIONS MANAGEMENT &amp; HR</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
Site & Operations Management & staffing	<ul style="list-style-type: none"> <li>• Agree staffing levels</li> <li>• Review staffing needs</li> <li>• Job descriptions and Person Specifications</li> <li>• Recruitment</li> <li>• Performance management</li> <li>• Monitor and authorise annual leave</li> <li>• Monitor and manage sickness absence</li> <li>• Monitor and authorise expense claims</li> <li>• Annual appraisals &amp; performance management</li> <li>• Health &amp; Safety reviews and management</li> <li>• Training needs and plans</li> <li>• Staff development</li> <li>• Staff Briefings</li> <li>• Trade Union liaison</li> <li>• Site security</li> </ul>
Plant & equipment	<ul style="list-style-type: none"> <li>• Agree requirements</li> <li>• Option reviews</li> <li>• Budget provisions</li> <li>• Procurement process</li> <li>• Lease and purchase agreements</li> <li>• Servicing &amp; maintenance provision</li> <li>• Operational performance</li> </ul>

	<ul style="list-style-type: none"> <li>• Weight &amp; Measures compliance</li> </ul>
Repairs & maintenance	<ul style="list-style-type: none"> <li>• Annual &amp; Forward planning</li> <li>• Prioritising</li> <li>• Compile and agree budgets</li> <li>• Responsive maintenance management</li> </ul>
Public Interface	<ul style="list-style-type: none"> <li>• Information dissemination accuracy</li> <li>• Payments</li> <li>• Access (inc. DDI)</li> <li>• Fol responses</li> <li>• Enquiry &amp; complaint management and recording</li> </ul>
<b>INFORMATION TECHNOLOGY</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
Site Infrastructure	<ul style="list-style-type: none"> <li>• Needs analysis</li> <li>• Provision of suitable &amp; operationally competent and compliant equipment</li> <li>• Suitable software systems</li> <li>• Back-up systems</li> <li>• Security</li> <li>• Reliability monitoring</li> <li>• Electronic Payment transactions</li> <li>• Reconciliations</li> </ul>
Applications	<ul style="list-style-type: none"> <li>• Use of outside expertise</li> </ul>
Data protection	<ul style="list-style-type: none"> <li>• Personal discrete log-ins</li> <li>• Access restrictions</li> <li>• Encryption as suitable</li> <li>• Data storage</li> </ul>
Website	<ul style="list-style-type: none"> <li>• Accurate &amp; current information</li> <li>• Regular updates</li> <li>• Fol advice &amp; responses</li> </ul>
<b>PERFORMANCE</b>	
<b>Key areas of responsibility</b>	<b>Activities</b>
KPI's	<ul style="list-style-type: none"> <li>• Established structure of reporting</li> <li>• Regular reporting and review for remedial actions</li> </ul>
Compliance	<ul style="list-style-type: none"> <li>• Monthly reports to boroughs</li> <li>• On-gong review of data</li> <li>• Regular contract meetings</li> <li>• Remedial actions</li> </ul>
<b>RISK</b>	
Risk	<ul style="list-style-type: none"> <li>• Defined strategy outlining roles and responsibilities</li> <li>• Risk register reviewed regularly</li> </ul>

	<ul style="list-style-type: none"> <li>• Remedial action implementation</li> </ul>
<b>Key actions to improve the effectiveness of the internal control environment</b>	
Develop contract monitoring and control processes in relation to the PPP contract	

<b>Assurance Statement</b>	
<p>As a Senior Manager, I have responsibility for maintaining a system of sound internal controls within my areas of responsibility that support the achievement of WLWA's objectives and for reviewing their effectiveness.</p> <p>I have reviewed the effectiveness of the system of internal control and summarised the key areas of responsibility and activities in the table above. I am satisfied that a sound system of internal control has been in place throughout the financial year and is ongoing.</p>	
Barry Lister Senior Assistant Director	Sign: 
	Date: 17/8/16

<b>Head of Finance Statement</b>	
<p>I have considered the list of areas of responsibility and activities set out above and from meetings of the Operations Management Team and Chief Officers together with my knowledge of day to day activities, risk register and reporting during the year am satisfied with the accuracy of the statement above.</p>	
Jay Patel Head of Finance	Sign: 
	Date: 17/8/16