

Appendix 1

Assurance statement from Chief Officers

The Senior Managers' Assurance Statements for the financial year ending 31 March 2017 were reviewed by the Managing Director and 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 with no significant issues or indeed any requiring disclosure in the Annual Governance Statement.

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

- Continue developing 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

Emma Beal, Managing Director

Chief Officers meeting dated 7/9/2017

Assurance Statement – Finance: 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.

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


Budgets	<ul style="list-style-type: none"> • Budgets built from the bottom up using detailed service data • Budget holders detailed involvement preparing annual budgets • Using Boroughs provided data for budget setting and monitoring • Budget Challenge session • Budget approval by Officers and WLWA including levies and charges • Borough consultation on budget • Monthly budget monitoring and reporting to Authority
Financial planning	<ul style="list-style-type: none"> • Long term financial models with sensitivity analysis approved by Authority • Operational long term business modelling informing business plan and activities • Treasury Strategy and performance reported to Authority • LB Ealing service provider for Treasury activities under an SLA • Standard forms and authorisations • Cashflow management and forecasting • Ready access to funds at short notice • Treasury processes • Financial guidance document and advice for managers undertaking projects • Use of independent financial advisors to support decision making
Governance	<ul style="list-style-type: none"> • Regular review, update and approval of the range of governance policies • Administration of governance arrangements through service level arrangements with the London Borough of Harrow • Forward planning for the Authority, Chief Officer and Borough Partnership meetings
Compliance	<ul style="list-style-type: none"> • Production and external audit of annual financial statements • Routine submission of regulatory returns • Expenditure published on WLWA website • Disclosure and reporting of Authority meetings and completion of statutory returns to government
Audit	<ul style="list-style-type: none"> • Internal audit provided by external

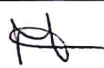
	<p>independent organisation (LB Hillingdon)</p> <ul style="list-style-type: none"> • External auditors appointed by the Audit Commission and currently conducted by Deloitte • Audit Committee meetings
INFORMATION TECHNOLOGY	
Key areas of responsibility	Activities
Infrastructure	<ul style="list-style-type: none"> • Supplied and maintained by LB Ealing with their protocols and large scale security • Service Level Agreements and support desk service • Use of managed services
Business continuity	<ul style="list-style-type: none"> • Data on managed servers with comprehensive back-up/business continuity processes • Virtualisation – access systems from any location
Applications	<ul style="list-style-type: none"> • Full range of functionality • Access to IT expertise to develop approach and consider alternatives
Strategy	<ul style="list-style-type: none"> • Updated and approved IT strategy with 3 year action plan
Data protection	<ul style="list-style-type: none"> • Permission based access to systems with secure login cards • Access to files restricted on the basis of business needs • Using encrypted USB drives • Very low volume of personal data
HUMAN RESOURCES	
Key areas of responsibility	Activities
Establishment	<ul style="list-style-type: none"> • Establishment agreed during budgeting process each year • Changes to establishment approved by WLWA Officers
Recruitment	<ul style="list-style-type: none"> • Defined policies and procedures • Induction process • Probationary period
Appraisal	<ul style="list-style-type: none"> • Defined policies and procedures • Appraisal conducted annually • Organisation wide training plans developed annually
HR advice and support	<ul style="list-style-type: none"> • Range of policies regularly reviewed • SLA for provision by Hounslow Council for advice on more complex issues
Staff Liaison	<ul style="list-style-type: none"> • Meetings with recognised trade union

PERFORMANCE	
Key areas of responsibility	Activities
Key Performance Indicators	<ul style="list-style-type: none"> • Defined manager responsibilities for particular KPIs • Regular review and reporting of KPIs and analysis/corrective action where appropriate • Range of indicators tailored for individual user/group needs
Compliance	<ul style="list-style-type: none"> • Monthly reporting of tonnage information to Boroughs • Agreed processes for information flows from Boroughs and service providers • Validation procedures and cross checks linking to spending patterns • Submission of statutory Waste Data Flow returns
RISK	
Risk	Activities
Risk	<ul style="list-style-type: none"> • Defined Risk Management Strategy with defined roles, responsibilities and activities • Maintaining Risk Register and reviewing regularly at Chief Officer meetings and Audit Committee meetings • Regular review of risk strategy
Insurance	<ul style="list-style-type: none"> • Reviewed and renewed annually for adequacy of cover • Professional advice and procurement support from Harrow Council
Contracts	<ul style="list-style-type: none"> • Updated and approved procurement and contract regulations
MANAGEMENT STRUCTURES AND REPORTING ARRANGEMENTS	
Key areas of responsibility	Activities
Communication processes	<ul style="list-style-type: none"> • Regular team meetings ensuring staff are kept informed of management decisions • 1-2-1s and support on an individual basis • Publication and consultation on changing procedures and policies • Cross functional working groups and inter departmental meetings • Meetings with staff representatives
Performance management	<ul style="list-style-type: none"> • 1-2-1s and appraisals
Training and development	<ul style="list-style-type: none"> • Needs evaluated as part of appraisal process

	<ul style="list-style-type: none"> • Training arranged according to business needs and organisational training plan produced following the annual appraisal process
STRATEGY AND PLANNING	
Key areas of responsibility	Activities
Operational business plans	<ul style="list-style-type: none"> • Contributing to Joint Waste Management Strategy • Delivering the approved Medium Term Business Plans and long term financial model • Annual Budgeting process • Annual Procurement Plans

Key actions to improve the effectiveness of the internal control environment
Continue developing contract monitoring and control processes in relation to the PPP contract
Continue involvement in all major projects

Assurance Statement	
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: 29/8/17

Managing Director's Statement	
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.	
Emma Beal Managing Director	Sign: 
	Date: 30 August 2017

Assurance Statement – Contracts and Operations - Ken Lawson

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

AUTHORITY MANAGEMENT	
Key areas of responsibility	Activities
General Management	<ul style="list-style-type: none"> • Authority Reports • WLWA Officer Meetings • Operational team meetings • Agresso • iTrent
WASTE DISPOSAL	
Key areas of responsibility	Activities
Waste Disposal	<ul style="list-style-type: none"> • Ensure suitable arrangements in place for all waste streams. • Management of operational processes • On-going monitoring • Review performance
Borough liaison	<ul style="list-style-type: none"> • Regular meetings • Notify service changes • Assist with haulage arrangements/contracts • Manage and assist with service changes • Liaise and interface with borough contractors • Partner for mutual benefits
Budgets	<ul style="list-style-type: none"> • Assess financial requirements • Develop projected spending profiles • Ensure budgets built for approval • Profile ongoing expenditure • Monitor expenditure v budget • Adjust budgets • Provide reports and feedback
Forward planning	<ul style="list-style-type: none"> • Track future needs and requirements • Assist with development of Waste Management Plans and Policies • Business Plan • Review future service requirements • Management of change
Contingency/Business Continuity Provisions	<ul style="list-style-type: none"> • Determine potential need • Arrangements in place • Keep under review options available • Implement as required

Tonnage and related data	<ul style="list-style-type: none"> • Ensure accuracy of data • Compile data analysis • Review data • Disseminate information • Monitor trends • Respond to information
Outside Agencies	<ul style="list-style-type: none"> • Partner in new initiatives • Co-operate and collaborate.
CONTRACT MANAGEMENT	
Key areas of responsibility	Activities
Market testing	<ul style="list-style-type: none"> • Investigating options • Review market • Market Intelligence • Develop contacts • Interviews and meetings • Benchmarking • Focus groups • Networking
Procurements	<ul style="list-style-type: none"> • Assess requirements • Market Review • Documentation compilation • Initiate, control and manage procurement process • Compliance with Standing Orders, Financial Regulations etc. • Compliance with legislative and regulatory requirements • UK and EU Contract requirements met • Tender enquiries monitored and managed • Safe Tender receipt and opening • Tender Evaluation and assessment • Reporting • Recommendations • Contract preparations
Contract Implementation	<ul style="list-style-type: none"> • Arrange Orders/contracts • Review Permits, Licences, permissions, etc. • Check Insurances • Pre-contract meetings
Contract Monitoring & Management	<ul style="list-style-type: none"> • Contractor liaison • Contract Management meetings • KPI compilation and reviews • Regular contract meetings internal and external • Record changes, variations etc.

	<ul style="list-style-type: none"> • Verify invoice data v weighbridge records • Authorise verified invoices and payments • Management of PPP contract
Contract/Procurement Register	<ul style="list-style-type: none"> • Compile • Review and monitor • Amended and update
SITE & OPERATIONS MANAGEMENT & HR	
Key areas of responsibility	Activities
Site & Operations Management & staffing	<ul style="list-style-type: none"> • Review staffing needs • Job descriptions and Person Specifications • Recruitment • Performance management • Monitor and authorise annual leave • Monitor and manage sickness absence • Monitor and authorise expense claims • Annual appraisals & performance management • Health & Safety reviews and management • Training needs and plans • Staff development • Staff Briefings • Site security
Plant & equipment	<ul style="list-style-type: none"> • Option reviews • Budget provisions • Procurement process • Lease and purchase agreements • Servicing & maintenance provision • Operational performance • Weight & Measures compliance
Repairs & maintenance	<ul style="list-style-type: none"> • Annual & Forward planning • Prioritising • Compile and agree budgets • Responsive maintenance management
Public Interface	<ul style="list-style-type: none"> • Information dissemination accuracy • Payments • Access (inc. DDI) • FoI responses • Enquiry & complaint management and recording

PERFORMANCE	
Key areas of responsibility	Activities
KPI's	<ul style="list-style-type: none"> • Established structure of reporting • Regular reporting and review for remedial actions
Compliance	<ul style="list-style-type: none"> • Monthly reports to boroughs • On-gong review of data • Regular contract meetings • Remedial actions
RISK	
Risk	<ul style="list-style-type: none"> • Risk register reviewed regularly • Remedial action implementation

Key actions to improve the effectiveness of the internal control environment

- Ensure contract monitoring and control processes are maintained.
- Investigate the use of suitable contract management software
- Develop contract manual

Assurance Statement

As a member of senior management team, I have responsibility for maintaining a system of sound internal controls within my areas of responsibility that support the achievement of WLWA's business plan objectives and service delivery to ensure 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.

Senior Contract Manager

Sign:



Ken Lawson

Date

30/08/2017

Director's Statement

Managing Director



Emma Beal

30 August 2017

