

**From:** [McCoy, Laura](#) on behalf of [Mills, John \(DETI\)](#)  
**To:** [Stewart, Chris \(DETI\)](#)  
**Cc:** [McIlwrath, Linda](#); [Coyne, Terence](#); [Morrison, Rosemary](#); [Shaw, Matthew](#); [Neth, Energy](#)  
**Subject:** FW: PS DETI 128/14 - Six Monthly Assurance Statements - Energy Response  
**Date:** 20 October 2014 16:07:09  
**Attachments:** [Annex A - HOG Pro Forma.doc](#)  
[ANNEX B to be signed by HOD - Sept 14.DOCX](#)  
[Markets Branch - Annex C - Sept 14.DOCX](#)  
[Sustainables - Annex C - Sept 14.DOCX](#)  
[Co-ordination - Annex C - Sept 14.DOCX](#)  
**Importance:** High

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Please see attached Energy Division six monthly assurance statement from John Mills.

Regards,

## Laura McCoy

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**From:** Hill, Janice **On Behalf Of** McCormick, Andrew (DETI)  
**Sent:** 10 October 2014 13:14  
**To:** Rooney, Eugene; Stewart, Chris (DETI); 'Alastair Hamilton'; [d.thomson@nitb.com](mailto:d.thomson@nitb.com); Morrison, Keith; [aodonnell@consumercouncil.org.uk](mailto:aodonnell@consumercouncil.org.uk); Cooper, Trevor; Kerr, Jackie; Johnston, Wendy; Mills, John (DETI); McLean, Diarmuid; Thompson, Mike; Brush, Paul; Murphy, Shane  
**Cc:** Chittock, Mel (InvestNI); Mc Auley, Damian (InvestNI); Kathryn Thomson; Burns, Louis; Brankin, Bernie; Conliffe, David; Connolly, Jackie; Dolan, Elaine; McFarlane, Iain; Coyne, Terence; Woods, Michael (DETI); Morrison, Rosemary; Shaw, Matthew; David Beck; [dleeson@consumercouncil.org.uk](mailto:dleeson@consumercouncil.org.uk); D Magee; Nelson, Louise; 'nmurray@consumercouncil.org.uk'; Smyth, David (InvestNI); 'j.daly@nitb.com'; 'nicola.quinn@intertradeireland.com'; [sclarke@tourismireland.com](mailto:sclarke@tourismireland.com); 'amyles@tourismireland.com'  
**Subject:** PS DETI 128/14 - Six Monthly Assurance Statements  
**Importance:** High

Please see attached request from Andrew McCormick.

Many thanks

Janice

## Janice Hill

Permanent Secretary  
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**ANNEX A****Department of Enterprise, Trade and Investment: Six Monthly Assurance Statement on the System of Internal Control - Period Ended 30 September 2014****Scope of Responsibility**

1. As the Senior Civil Servant responsible for Policy Group / Management Services Group, I have responsibility for maintaining a sound system of internal control that supports the achievement of the Department of Enterprise, Trade and Investment's policies, aims and objectives, whilst safeguarding the public funds and Departmental assets for which I am responsible.

**The Purpose of the System of Internal Control**

2. The system of internal control is designed to manage risk to a reasonable level rather than eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness.
3. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of my Group's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically. The system of internal control has been in place for the six months ended 30 September 2014 in the Group for which I am responsible and accords with Department of Finance and Personnel guidance.

**Capacity to Handle Risk**

4. My Group is carrying out appropriate procedures to ensure that it identifies its objectives and risks and a control strategy has been devised for each of the significant risks. As a result, risk ownership has been allocated to appropriate staff.

**The Risk and Control Framework**

5. The Departmental Board, of which I am a member, has ensured that procedures are in place for verifying that risk management and internal control are regularly reviewed and reported on. As well as regular reports to the Departmental Board, risk management and internal control are regularly reviewed by the Departmental Audit Committee. Risk management is continually being incorporated into the corporate planning and decision-making processes of my Group.
6. The Departmental Board and Departmental Audit Committee receive periodic reports concerning internal control. The appropriate steps

are being taken to manage risks in significant areas of responsibility and monitor progress on key projects.

7. The Department's key objectives and risks are regularly assessed to ensure consistency of treatment.
8. The Department has an Internal Audit Service, which operates to Public Sector Internal Audit Standards. Regular reports are submitted which include the Head of Internal Audit's independent opinion on the adequacy and effectiveness of the Department's system of internal control together with recommendations for improvement.

**Review of Effectiveness**

9. As Head of Group I am responsible for reviewing the effectiveness of the system of internal control within my Group. My review of the effectiveness of the system of internal control is informed by the work of the internal auditors and the executive managers within the Department who have responsibility for the development and maintenance of the internal control framework, and comments made by external auditors in their management letters and other reports.

**Significant Internal Control Problems**

10. *[Insert Details of Significant Internal Control Problems of which the signatory is aware]*

**Head of Group**

**Date:**

**ANNEX B**

**SIX MONTHLY ASSURANCE STATEMENT FOR COMPLETION BY HEADS OF DIVISION/UNIT**

**From: John Mills**

**Date: 20 October 2014**

**To: Chris Stewart**

1. Internal Control covers the policies, processes, tasks, behaviours and other aspects of an organisation's activities with derive from management action (rather than being imposed externally) and which are designed to:
  - Facilitate the achievement of objectives;
  - Ensure effective and efficient operation;
  - Protect and safeguard public funds and assets; and
  - Ensure compliance with legislation and other regulations.
2. The system of internal control is designed to manage rather than eliminate the risk of failure to achieve policies, aims and objectives. It can therefore only provide reasonable (and not absolute) assurance regarding its effectiveness.
3. I acknowledge that I am personally responsible for developing and maintaining effective internal control within my Division/Unit. I am also responsible for reviewing the effectiveness of the system of internal control within the Division/Unit. My review of the effectiveness of the system of internal control is informed by the work of the internal auditors and the executive managers within the Division/Unit who have responsibility for the development and maintenance of the internal control framework, and comments made by external auditors in their management letters and other reports.
4. I confirm that:
  - I am aware of the requirements of internal control and the development of systems to manage and control risk;

- Throughout the six month period, internal control has been adequate, except for the areas noted below; and
- I am not aware of any significant weaknesses in control or of any irregularities in accounting practice which need to be drawn to your attention, except as noted below.

**Significant Internal Control Problems**

A few “partly” entries have been made around 1) completion of PPEs (not significant); 2) legislative authority and 3) transposition of EU Directives. In the latter two cases, the assessment reflects ongoing work which is not completed and does not represent a significant internal control issue.



**Head of Energy Division**

**Date: 20 October 2014**