

City and County of Swansea

Senior Management Assurance Statement 2017/18

This Assurance Statement is given in respect of the Council's 2017/18 Statement of Accounts. I acknowledge my responsibility in maintaining and operating my service area in accordance with the Council's policies, procedures and practices that uphold the internal control environment and governance / assurance framework.

The information provided in this statement is given to the best of my knowledge in connection with the service area for which I have responsibility. In respect of the current internal control, risk management and governance environment within my service area:

		Yes	Partly	No
1.	I confirm that I am responsible and accountable for the identification, assessment and management of risks identified within my service in accordance with the Corporate Risk Policy and Framework. Where necessary, service risks have been escalated to the Directorate or Corporate Risk Register.			
If Partly or No, please comment:				
2.	I am satisfied that mitigating controls are in place to manage the risks identified within my service and that the controls have been monitored and were operating effectively throughout the period under review.			
If Partly or No, please comment:				
3.	The operation of key controls within my service has been monitored on a regular basis to ensure that they are effective and risk is mitigated.			
If Partly or No, please comment:				
4.	Staff in my service area involved with financial matters and contracts are familiar with and fully comply with Financial Procedure Rules, Contract Procedure Rules and Accounting Instructions. Management are fully aware of their responsibilities when authorising transactions and will be held accountable for their actions.			
If Partly or No, please comment:				

		Yes	Partly	No
5.	I maintain adequate and up to date processes and work instructions relating to internal control, risk management and governance for staff to follow for the functions under my control.			
If Partly or No, please comment:				
6.	Any new system developments or service changes take account of risk and internal control as key elements of the implementation.			
If Partly or No, please comment:				
7.	Due consideration has been given to the risks and impact on the control environment in relation to any savings proposals put forward in my service area and implementation of the saving is monitored to identify and correct any adverse impact.			
If Partly or No, please comment:				
8.	Appropriate consideration has been given to risk, internal control and governance with any partnerships or collaborative working linked to my service before any agreement has been entered into by the Council			
If Partly or No, please comment:				
9.	All audit reports received from both Internal and External Audit are considered in a timely manner. Management actively monitor and ensure that action is taken to implement agreed recommendations to enhance the internal control environment			
If Partly or No, please comment:				
10.	All suspected cases of fraud or financial irregularity are referred promptly to the Chief Finance/Deputy Section 151 Officer or Chief Auditor. Investigations are undertaken in a robust manner with sanctions consistently applied that recognise the seriousness of the matter under investigation			
If Partly or No, please comment:				

Significant Issues

The following are recognised as significant issues within my service that impact on the governance and assurance framework which have occurred during 2017/18 and may be considered appropriate for inclusion in the Annual Governance Statement as issues to be addressed during 2018/19.

Significant Issue	Action implemented or proposed
No Significant Issues identified	X <i>Please tick if appropriate</i>

Good Practice

The following are examples of good practice in relation to the internal control environment and the governance / assurance framework that exist in my service area which may be considered for implementation corporately.

Example of Good Practice

With the exception of any significant issues identified above, I am satisfied that the internal control environment and governance / assurance framework in place within my service area is sufficient to manage the identified risks to an acceptable level.

Signed by:	
Designation:	
Date:	

Please return the certified statement to Tracey Meredith, Head of Legal, Democratic Services and Business Intelligence by 27 April 2018