

..... Directorate
Senior Management Assurance Statement – 2018/19 Mid-Year

Assurance Statements	1. Not in place	2. Limited Application	3. Mixed Application	4. Strong Application	5. Embedded
	No evidence of effective delivery.	Some evidence of application, but the effectiveness of delivery is limited.	Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	Clear evidence of effective application throughout the directorate on a consistent basis and, where applicable, through all collaborations and partnerships.	Clear evidence of effective application embedded into all operations and consistently applied throughout the directorate and, where applicable, through all collaborations and partnerships.
Risk Management					
1. Timely Risk Identification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All relevant risks to service, directorate and corporate priorities and objectives are identified promptly and I receive a complete and comprehensive directorate/service risk register at least quarterly.	Supporting comments, examples and exceptions.				
2. Integrated Risk Assessments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
My annual (as part of my service planning) and quarterly risk identification, assessment and review processes include effective engagement with all relevant managers across the Council, partner organisations and stakeholders, through which I ensure good awareness and use of all relevant risk information.	Supporting comments, examples and exceptions.				
3. Risk Review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Service, Directorate, Information and Corporate risks are reviewed at least quarterly to ensure all risk registers are complete, accurate and effectively assessed.	Supporting comments, examples and exceptions.				
4. Risk Mitigation and Escalation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I ensure all risks are assigned a risk owner and risks are mitigated to an acceptable level. I escalate all 'red' risks in line with the Corporate Risk Management Policy to CMT at least quarterly.	Supporting comments, examples and exceptions.				
5. Corporate Risk Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have strategies in place to ensure that all corporate risks allocated to me are managed to an acceptable risk level in a timely manner.	Supporting comments, examples and exceptions.				

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Partnership / Collaboration Governance					
<p>6. Partnership Governance, Risk Management and Control.</p> <p>Robust governance, risk management and control arrangements are in place for all partnership / collaborative arrangements.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
<p>7. Partnership Assurance</p> <p>I receive timely and complete reports from all directorate partnership and collaborative arrangements, from which I can report assurance on robust governance, risk management and control.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
Compliance with Policies, Rules Legal and Regulatory Requirements					
<p>8. Compliance</p> <p>The results of compliance and review reports demonstrate sound compliance with policies, rules, legal and regulatory requirements across my areas of responsibility.</p> <p>NB. Results must reflect the reporting of internal compliance and review functions (Procurement, Insurance, HR, Information Governance, Governance and Legal Services and Internal Audit) and external regulators / auditors.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
<p>9. Compliance Improvement</p> <p>I am aware of and deliver clear actions promptly to address all areas of non-compliance e.g. training, work instructions, systems development, application of HR policy etc.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
Programme and Project Assurance					

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<p>10. Programme and Project Initiation</p> <p>All programmes and projects for which I am responsible have robust briefs, plans and business cases which have been appropriately approved in a timely manner, and include clearly defined financial and non-financial outcomes and benefits.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
<p>11. Programme and Project Governance</p> <p>All programmes and projects for which I am responsible are managed in accordance with corporate guidelines and procedural rules with appropriate highlighting of potential risks/breach.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
Budget Monitoring					
<p>12. Budget Delivery</p> <p>Throughout my directorate, there are robust mechanisms in place to deliver the budget with strong and effective budget monitoring and control.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
<p>13. Savings / Income Target Delivery</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Throughout my directorate, there are robust mechanisms in place to deliver all savings and income targets. Risks and impact of any savings proposals are monitored to identify any adverse impact and/or equality impact.	Supporting comments, examples and exceptions.				
Planning and Decision Making					
14. Business Planning <ul style="list-style-type: none"> My directorate has worked effectively to deliver the Corporate Plan, and My Directorate Service Plan clearly sets our contribution to achieving corporate priorities and objectives and managing associated risks. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
15. Future Generations All decisions include due documented consideration of the sustainability of services and encompass future generation needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
Internal Control Environment					
16. Internal Controls Throughout directorate functions, partnerships and collaborations, control systems are in place, including: <ul style="list-style-type: none"> Clear roles and responsibilities Clear and effective authorisation processes Robust and complete policies and procedures Robust monitoring, reporting and review arrangements Timely identification and mitigation of control weaknesses Staff awareness of procedural rules 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					

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Fraud & Financial Impropriety					
<p>17. Fraud Prevention and Detection</p> <p>My directorate functions, partnerships and collaborations:</p> <ul style="list-style-type: none"> • Have robust controls in place to prevent and promptly detect fraud, bribery and corruption, and • All frauds and suspected financial irregularities are referred to the Head of Finance, Internal Audit and Corporate Fraud Team in accordance with FPR 12. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
Performance Measurement & Management					
<p>18. Performance Measurement and Management</p> <p>KPI and benchmarking data is collected for all key areas of service and are used to measure performance and to drive improvement actions and reported to CMT.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
<p>19. Performance Reviews</p> <p>All directorate staff have had an annual appraisal and are clear as to their objectives and training and development needs. My directorate ensure that all new staff undertake induction training.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments, examples and exceptions.					
<p>20. Data Security</p> <p>My directorate report any data breach immediately to the IGU and implement any recommendations made by the Data Breach Panel.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Supporting comments, examples and exceptions.					

Annual Governance Statement 2018/19 - Significant Governance Issues

The table below summarises the Significant Governance Issues identified in the Annual Governance Statement 2017/18. All issues were assigned collectively to Senior Management Team; therefore, an update from each Directorate would be beneficial in determining the current position on each issue.

Significant issue	Position as at ?
<p>1. Budgetary pressures within the Council. The Council is facing unprecedented financial pressures and budget savings have to be made by departments in a timely manner.</p>	<p>Cabinet, CMT and all Heads of service have been reminded that:</p> <ul style="list-style-type: none"> • No one is authorised to overspend against budget; • All spend must be contained within service budgets at Head of service and Director level; • Any material deviation must be escalated immediately through the monthly monitoring processes to CMT and ultimately to Cabinet if necessary to enable corrective action to be undertaken; • Corrective action requiring a policy decision will go to Cabinet with clear S151 officer advice to reduce spend back to within budget immediately; • Corrective action beyond this point will be determined by the S151 officer having due regard to the wider public interest and statutory intervention powers.
<p>2. Sustainable savings – there needs to be full consideration and robust business case underpinning savings proposals particularly relating to staff cuts. With wellbeing of future generations in mind sustainability of service, delivery together with mitigation of risks should be part of any proposals.</p>	<p>CMT/Cabinet to continue future budget discussion/proposals with sufficient and adequate information available for consideration. CMT monitors staff vacancy/recruitment on weekly basis.</p>
<p>3. Regional working–with collaboration/merger on national agenda going forward it is essential that not only are governance issues around regional working appropriate and transparent but also that regional working benefits CCS.</p>	<p>Reports to Cabinet/Council, where appropriate, setting out governance arrangements/benefits. This will include City Deal, Western Bay and ERW and any new regional collaborations.</p>
<p>4. Workforce capacity and performance- Directorates have seen a reduction in staff resources and it is</p>	<p>Staff development through workforce planning and review of the appraisal system to ensure staff are performing and are being supported in their role.</p>

Significant issue		Position as at ?
essential that workforce performance is monitored through an effective system of appraisal which supports and upskills existing officers.		
5. Delivery of Leisure Partnership Report to be done on an annual basis. This should include reference to activity with other entities within the group structure as part of the review of effectiveness of the system of internal control.	A combined Annual Leisure Partnership Report for 2015/16 and 2016/17 is scheduled to go to Council in July 2018.	
6. Major projects – significant officer time will continue to need to be dedicated to major projects to ensure transparency around decision making and good governance.	Revised programme management around Sustainable Swansea, City Deal, City Centre Regeneration, 21 st Century Schools and other significant projects with reporting to CMT by exception	

SIGNIFICANT ISSUES

The following are recognised as significant issues which have occurred during the financial period 2018/19 within the Directorate for which I am responsible, which may be considered appropriate for inclusion in the Council's Annual Governance Statement 2018/19.

The co-ordinated responses of the Assurance Statements will be reviewed and presented to Corporate Management Team.

Significant issue	Action implemented / proposed

Alternatively,

No significant issues identified	
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Declaration

The information and responses provided in this statement are given to the best of my knowledge for the financial year 2018/19 (To date).

Signed by:	
Designation:	
Date:	