

..... Directorate
Self-Assessment and Management Assurance & Statement – 2021/22 Mid-Year

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Vision, Strategy & Performance					
G There are a complimentary set of corporate and service-level plans and strategies in place which set out a Council vision and key objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P These strategies are aligned to national and regional Government strategy and entail collaborative planning with key partners.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P These strategies are being followed and they are achieving their aims and objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P These strategies are sustainable, seek to reduce or prevent problems from occurring and are informed by and are adaptable to future trends.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P These strategies involve local people, staff, trade unions, local businesses and key stakeholders in their development and implementation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
G These strategies are supported by service plans, which are consistent with and are contributing to the overall aims and objectives of the Council and sustainable ways of working.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P These service plans are being followed and they are achieving their aims, objectives and performance targets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P Performance targets and outcomes to deliver corporate and service aims and objectives are identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P Performance data is collected for all key areas of service delivery and for corporate priorities and objectives. It is used to measure and report performance and to drive improvement actions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P Performance and outcomes are benchmarked with appropriate comparators to ensure value for money and continuous improvement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G There is effective democratic oversight and challenge of corporate and portfolio service direction and performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.	
G All staff have had an annual appraisal and are clear as to their objectives and training and development needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
G All new staff undertake induction training.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Improvement Actions to improve effectiveness and ensure strong / embedded application	Improvement Actions				Completion Date	Responsible Officer
	1.					
	2.					
	3.					
	4.					
5.						

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Organisational Governance, Ethics and Values					
G There are comprehensive and maintained frameworks and codes in place for governance, ethics and values.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G These frameworks and codes are applied and observed consistently.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G The application of ethics and values is evident in the way options are appraised and decisions are made.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G There is productive working with external regulators and sound compliance with their recommendations and proposals for improvement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G All decisions are assessed for impact and documented to give due consideration to equality and the sustainability of services and encompass the needs of future generations and people with protected characteristics.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
Improvement Actions to improve effectiveness and ensure strong / embedded application	Improvement Actions			Completion Date	Responsible Officer
	1.				
	2.				
	3.				
	4.				
	5.				

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Organisational Leadership					
G There is strong and effective political leadership.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G There is strong and effective professional leadership.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G There is a strong and effective working relationship between political and professional leadership.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G There is a clear understanding of political and professional leadership roles and responsibilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G There is an organisational operating model and a preferred working culture, which is effective.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P There are arrangements and training in place to develop leadership capacity and capability to meet present and future needs and demands and which supports sustainable ways of working.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
Improvement Actions to improve effectiveness and ensure strong / embedded application	Improvement Actions			Completion Date	Responsible Officer
	1.				
	2.				

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
	3.				
	4.				
	5.				

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Customer & Community Engagement and Involvement					
G There are comprehensive and maintained strategies / plans / policies in place for customer and community engagement and involvement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P Customer and community feedback and involvement are effectively used in reviewing performance and shaping services.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P There is good performance in meeting customer services standards and targets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P There is good engagement with stakeholders, including people with protected characteristics, in framing policy and in the making of key service policy decisions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
Improvement Actions to improve effectiveness and ensure strong / embedded application	Improvement Actions			Completion Date	Responsible Officer
	1.				
	2.				
	3.				
	4.				
5.					

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Resources Planning & Management					
G There are comprehensive and maintained plans / strategies in place for workforce, finance, procurement and assets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P These strategies are achieving their aims and objectives at a corporate level and are complementary to and help resource and contribute to the Council’s aims and objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P These strategies are achieving their aims and objectives at service level.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P These strategies are sustainable, seek to reduce or prevent problems from occurring and are informed by and are adaptable to future trends.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P The procurement strategy and approach seek to maximise the social, economic, environmental and cultural impact of spending decisions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G There are robust mechanisms in place to deliver the budget with strong and effective budget monitoring and control.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				
G There are robust mechanisms in place to deliver all savings and income targets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				
G Borrowing and unplanned use of reserves is kept under control and a safe and adequate level of financial reserves is being maintained.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				
P The economic, efficient and effective use of resources is balanced with the achievement of wider social, cultural, economic and environmental benefits beyond narrow least cost transactions, e.g., the use of sustainable supply chains.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				
G Risks and impact from budget setting and savings proposals are monitored to identify any adverse impact, including adverse impact on equality and on the well-being of current and future generations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				
P A workforce strategy enabling a workforce that is fit for the future, flexible and resilient and with sufficient capability and capacity to meet current and future demands.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
P Workforce development and training that provides staff with the right behaviours and skills to support high performance and continued professional development now and in the future.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P A workforce strategy that seeks to develop and maintain a diverse and inclusive workforce and actively challenges and addresses accessibility and equality barriers and issues.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P Workforce policies and a working environment that promotes and supports employee health and well-being.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P Assets are managed and utilised to maximise the economic, efficient and effective use of resources to achieve aims and objectives and maximise social, economic, cultural and environmental well-being now and in the future.					
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
Improvement Actions to improve effectiveness and ensure strong / embedded application	Improvement Actions			Completion Date	Responsible Officer
	1.				
	2.				
	3.				
	4.				

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Risk Management & Business Continuity					
G There is a comprehensive and maintained risk management policy and framework in place.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P The Risk Management policy and framework supports sustainable ways of working and the achievement of corporate and service level aims and objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G Business Continuity plans are in place and are regularly updated and tested.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P The Risk Management Policy / Framework and Business Continuity Plans have proved effective in real-time and/or test scenario settings.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G The Risk Management Framework and Policy and Business Continuity Plans are adaptable to change and provide future resilience.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G All relevant risks, including to projects and to service, directorate and corporate priorities and objectives, are identified, evaluated, responded to, recorded, escalated, controlled and monitored and reported promptly and in line with the Council's approved Risk Management Policy and Framework.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				
Improvement Actions to improve effectiveness and ensure strong / embedded application	Improvement Actions			Completion Date	Responsible Officer
	1.				
	2.				
	3.				
	4.				
	5.				

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Partnership / Collaboration Governance					
P There is active and effective engagement in local, regional and national partnerships and collaborations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P Partnerships and collaborations are helping to achieve corporate and service level aims and objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G There are sound and effective governance arrangements in place for the partnerships and collaborations for which the council is (co) responsible.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P The key partnerships and collaborations for which the service / council is (co) responsible perform well against their aims and objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
Improvement Actions to improve effectiveness and ensure strong / embedded application	Improvement Actions			Completion Date	Responsible Officer
	1.				
	2.				
	3.				
	4.				
	5.				

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Internal Control Environment					
G Internal control systems are in place throughout functions, partnerships and collaborations, 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 and risks. • Staff awareness of procedural rules. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				
Improvement Actions to improve effectiveness and ensure strong / embedded application	Improvement Actions			Completion Date	Responsible Officer
	1.				
	2.				
	3.				
	4.				

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Compliance with Policies, Rules Legal and Regulatory Requirements					
<p>G There is sound compliance with policies, rules, legal and regulatory requirements.</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"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
<p>G There are robust arrangements in place to promptly identify and 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"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
<p>G Any data breach is reported immediately to the IGU and any recommendations made by the Data Breach Panel implemented.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
<p>Improvement Actions to improve effectiveness and ensure strong / embedded application</p>	Improvement Actions			Completion Date	Responsible Officer
	1.				
	2.				
	3.				
	4.				
5.					

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Fraud & Financial Impropriety					
G Functions, partnerships and collaborations: <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"/>
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				
Improvement Actions to improve effectiveness and ensure strong / embedded application	Improvement Actions			Completion Date	Responsible Officer
	1.				
	2.				
	3.				
	4.				

Appendix B

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Programme and Project Assurance					
G All programmes and projects 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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				
G All programmes and projects are managed using robust project and programme management methodology and in accordance with corporate guidelines and procedural rules with appropriate highlighting of potential risks/breaches.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)				
Improvement Actions to improve effectiveness and ensure strong / embedded application	Improvement Actions			Completion Date	Responsible Officer
	1.				
	2.				
	3.				
	4.				
	5.				

Self-Assessment & Assurance	1. Not in place No evidence of effective delivery.	2. Limited Application and effectiveness Some evidence of application, but the effectiveness of delivery is limited.	3. Mixed Application and effectiveness Mixed evidence of effective application, with some good evidence and some gaps in application or evidence.	4. Strong Application and effectiveness Clear evidence of effective application.	5. Embedded Clear evidence of effective and embedded application.
Innovation & Change Management					
P The Council has a proven track record for innovation and change management.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P Change and transformation programmes are making the Council fit for the future and are contributing to the Council’s aims and objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G Chosen innovation and change programmes and projects are implemented efficiently and effectively against time, budget, quality and performance objectives and targets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
P There are arrangements in place and evidence to show that staff, customers and stakeholders can and are making innovations and suggestions for improvement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
G Risks and impact from transformational activity are monitored to identify any adverse impact, including adverse impact on equality and on the well-being of current and future generations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How do we know? Supporting commentary & evidence (including links, reports, documentation, etc.)					
Improvement Actions to improve effectiveness and ensure strong / embedded application	Improvement Actions			Completion Date	Responsible Officer
	1.				
	2.				
	3.				

Appendix B

Self-Assessment & Assurance	1. Not in place	2. Limited Application and effectiveness	3. Mixed Application and effectiveness	4. Strong Application and effectiveness	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.	Clear evidence of effective and embedded application.
	4.				
	5.				

Annual Governance Statement 2021/22 - Significant Governance Issues

The table below summarises the Significant Governance Issues identified in the Annual Governance Statement 2020/21.

Significant issue 2020/21	Position as at 2021/22	
Budget pressures (including external and demand-led pressures and overspends) & problems living within budgets.	Address continued material uncertainty as a result of Covid and other challenges and continue a deliberately blended approach to robust monitoring of budgets, savings and transformation activity and action consistent with other Councils and policy responses at Welsh Government, UK Government and report as such to Cabinet, Council, Audit Committee and Scrutiny.	
	Commence and oversee delivery of the Achieving Better Together Transformation Programme through the Strategic Recovery Board to ensure that the Council is sustainable and financially resilient in the longer term.	
Lack of workforce capacity, capability and resilience and relying on staff goodwill.	Development of a Workforce Plan to support high performance and enable a skilled, flexible and engaged workforce as part of the Council's Achieving Better Together Transformation Plan.	
Performance Reviews, i.e. appraisals system / induction training not fit for purpose.	Recommence appraisals and continue to develop a new appraisal solution to be delivered digitally through the new Oracle Cloud solution in November 2021.	
	Address Induction training of new staff as part of the review of the	

Appendix B

	induction process and future policy reviews.	
Embed the Future Generation Act principles into the Council's processes and decision making.	Provision of training/information on the requirements of the Future Generations Act.	
Patchy Partnership Governance, including application of risk management.	Develop a plan to establish CJs resulting from the Local Government and Elections (Wales) Act.	
ICT Disaster recovery.	Resolve through the move to cloud services, particularly Oracle Cloud in November 2021.	
Continue to improve risk management arrangements	Work with responsible officers to improve the quality of risk controls.	

SIGNIFICANT GOVERNANCE & PERFORMANCE ISSUES

The following are recognised as significant Governance & Performance issues which have occurred during the financial period 2021/22 within the Directorate for which I am responsible, which may be considered appropriate for inclusion in the Council’s Annual Governance Statement 2021/22 and / or Annual Self-assessment 2021/22.

The co-ordinated responses of the Self-Assessment & Assurance Statements will be reviewed and presented to the Annual Governance & Self-Assessment Group and Corporate Management Team.

Significant Governance / Performance issue	Action implemented / proposed

Alternatively,

No significant issues identified	
----------------------------------	--

Declaration

The information and responses provided in this statement are given to the best of my knowledge for the financial year 2021/22 (To date).

Signed by:	
Designation:	
Date:	