

## Accountable Officer Governance Assurance Statement questionnaire

This questionnaire should be submitted alongside your declaration that you have complied with your appointment as set out in your Accountable Officer appointment letter and the Public Finances (Jersey) Law 2019; or express any deviations from that which have been made known or otherwise to the Principal Accountable Officer.

This questionnaire forms part of the body of evidence used for the Annual Governance Review, which as an ongoing process, and contributes to the Governance Report – part of the Annual Report and Accounts. The scope of your responsibility as Accountable Officer is outlined in your appointment letter.

Any questions in respect to the declarations should be sent to the Head of Financial Governance.

Please return your questionnaire to [governancereturn@gov.je](mailto:governancereturn@gov.je).

**Financial year 2023**      **Area of Accountable Officer responsibility:** .....

<b>Principle 1. Accountability, Decision Making and Scrutiny – Crown, Assembly, Government and States Employment Board relationships and accountability are clear and subject to appropriate scrutiny.</b>					
Question	Cross-reference to Governance Framework	2023 or ongoing?	Comply? Y/N only	Please use for additional information if you wish. Evidence need not be supplied but must be available on request.	Brief detail of known non-compliance
1. Are you clear who you are accountable to, and why? Please specify.	1.1	O			
2. Is there any document, protocol or legislation in place to define this relationship or set out how it should operate? Please attach copies here, or explain briefly how the relationship operates in practice.	1.1	O			

3. Have you been Accountable officer throughout the whole of the year? If not please attach or explain what assurances are available for the period prior to your appointment.	1.1	2023			
4. Is there a scheme of delegation in place setting out levels of decision-making/authority/areas of responsibility/accountability within your department which has been approved by the Treasurer in accordance with PFM requirements?	1.1	0			
5. Are there processes in place to ensure that key decisions in your department comply with Jersey law?	1.1	0			
6. Are there arrangements in place to ensure that all statutory obligations in your service area have been complied with? If so, please describe how this is done and how new statutory obligations or requirements are identified and implemented.	1.1	0			
7. Have formal Ministerial Instructions been made for any areas where the legal responsibilities of the Accountable Officer were considered to be infringed?	1.2	2023			
8. Are there arrangements in place to document all key decisions in	1.3	0			

your area of responsibility? Are these decisions accessible if access to them is required?					
9. Is there a forward programme of new or amended legislation to be developed for your area of responsibility?	1.5	2023			
10. Are there documented arrangements in place for the relationship of your area of responsibility with other public bodies, boards, committees and arm's length bodies? Please list the most significant of these.	1.6	0			
11. Are there arrangements in place to ensure that you meet all reporting requirements to the public and States Assembly? Please list these.	1.9	0			
12. Have any internal audit or external inspection reports (including Scrutiny, PAC and C&AG) been carried out for your service during the year? Please list.	1.12	2023			
13. Have all outstanding weaknesses and matters from any internal audit or external inspection reports (including Scrutiny, PAC and C&AG) been resolved, including those from previous years?	1.12	2023			
14. Since the last Governance Statement have you carried out	1.12	2023			

any other assurance work to ensure that systems of internal control are: (a) adequate in principle and (b) complied with in practice?					
<b>Principle 2. Planning and Performance - Planning and performance management is defined and drives achievement of intended outcomes.</b>					
Question	Cross-reference to Governance Framework	2023 or ongoing?	Comply? Y/N only	Please use for additional information if you wish. Evidence need not be supplied but must be available on request.	Brief detail of known non-compliance
1. Are there arrangements in place to ensure that all appropriate Corporate and Service policies have been disseminated to your staff? Please describe the arrangements in place.	2.2	O			
2. Is there a plan or document in place, including specific targets or performance measures, setting out the department's key objectives, aims or outcomes and explaining how these support the Common Strategic Policy, Ministerial Plans and Government Plan? Please attach the current version of this departmental plan and explain how, and how often, it is kept up to date.	2.4	2023			
3. Are there processes in place to ensure current priorities are communicated within each service/ department/ team, and are these priorities reflected in:	2.4	O			

<ul style="list-style-type: none"> <li>• Departmental or service level performance indicators/ targets?</li> <li>• Individual targets used in staff or team appraisals?</li> </ul>					
<p>4. Is team and individual performance actively managed in your area of responsibility? Please explain how.</p>	2.5	0			
<p>5. Is actual performance compared to expected performance or targets on a regular basis? How is this information reported to staff and/or management? Give recent examples of how significant performance issues have been identified, escalated and addressed.</p>	2.6	2023			
<p>6. Are there arrangements in place across your Department to minimise environmental impact in line with the Carbon Neutral Roadmap Policy EN1 'Decarbonising Government' to reduce operational emissions in line with the Paris Agreement to reach net zero by 2050? Please demonstrate.</p>	2.9	0			
<p>7. Have all officers with delegated Senior Responsible Officer (SRO) responsibility for projects, been issued with, and signed, an SRO Appointment letter?</p>	2.6	0			

8. Please confirm that for all projects, irrespective of size, the project status is reported monthly via Perform where it is required to do so by the Project Delivery Framework.	2.6	0			
9. Are departmental change portfolio reviews held monthly in accordance with principles approved by ELT and published on the <a href="#">CPMO Hub</a> ?	2.6	0			
<b>Principle 3. Organisational Design, Structure and Partnerships - The organisation's structure serves its operations and intended outcomes.</b>					
Question	Cross-reference to Governance Framework	2023 or ongoing?	Comply? Y/N only	Please use for additional information if you wish. Evidence need not be supplied but must be available on request.	Brief detail of known non-compliance
1. Is the current departmental structure for your area of responsibility properly documented? Please provide a copy.	3.1	0			
2. Has the structure and staffing complement been reviewed since the last Governance Statement? Please provide details of any changes.	3.1	2023			
3. Are there partnership or funding agreements in place for all relationships between your department and other bodies outside the Government of Jersey involving funding over	3.3	2023			

£75,000 per annum? Please list these bodies.					
4. Are arrangements in place to ensure that the Accountable Officer does not sit on the Board of any arms-length organisation (ALO) or partnership which receives funding from the Government of Jersey? If the AO attends meetings please set out briefly the capacity in which this occurs and the remit, scope and responsibilities of each role.	3.3	O			
5. Do you have policies in place to ensure that relevant information is disseminated to ALOs and partnerships through the correct channels, in a timely manner and in an appropriate format?	3.3	O			
<b>Principle 4. Ethics and Integrity - Ethics and integrity are embedded in values and operations.</b>					
Question	Cross-reference to Governance Framework	2023 or ongoing?	Comply? Y/N only	Please use for additional information if you wish. Evidence need not be supplied but must be available on request.	Brief detail of known non-compliance
1. Are there arrangements in place to ensure all staff in your area of responsibility are made aware of the Government of Jersey's ethical standards and Code of Practice on Standards in Public Service, including the rules relating to declaration of interests, and acceptance of gifts and hospitality?	4.1	O			

2. Is the gifts and hospitality register for your area of responsibility up to date?	4.1	2023			
3. Have any recent conflicts of interest identified in your department been properly managed? Please list any conflicts identified and state what action was taken to manage or mitigate those risks (e.g. staff redeployment, additional supervision, etc.)?	4.2	2023			
4. Are the number and type of complaints, comments or compliments received by your department monitored and reviewed? Please provide details of the number of each for the year.	4.4	2023			
5. Have any instances where behaviour has fallen below the ethical standards expected of staff in your department been properly dealt with? Please provide details explaining what action was taken.	4.4	2023			
6. Are there arrangements in place to ensure that expected ethical standards are met by any of the following bodies in relation to your area of responsibility? <ul style="list-style-type: none"> <li>• External providers of services on behalf of your area of responsibility</li> </ul>	4.5	0			



<ul style="list-style-type: none"> <li>• ALOs</li> <li>• Boards</li> <li>• Committees</li> <li>• Other similar bodies</li> </ul>					
<b>Principle 5. People - Development of capacity and leadership capability contribute to individual and organisational achievements.</b>					
Question	Cross-reference to Governance Framework	2023 or ongoing?	Comply? Y/N only	Please use for additional information if you wish. Evidence need not be supplied but must be available on request.	Brief detail of known non-compliance
1. Is your area of responsibility able to recruit/retain staff with the required skills to provide existing services? Please list those skills which are in shortest supply and which posts are currently most difficult to recruit or fill?	5.1	2023			
2. Is all recruitment undertaken fairly, equitably, impartially and consistently taking account of fairness, equity and diversity – involving the Jersey Appointments Commission as required?	5.2	0			
3. Do all staff in your area of responsibility have up-to-date Job Descriptions and agreed development plans (using the States' and Government's current appraisal system)?	5.3	0			
4. Are there arrangements in place to ensure all HR policies are followed within your area of responsibility?	5.3	0			

5. Have exit interviews been offered for all staff leaving your responsibility where it is a requirement to do so?	5.3	0			
6. Is all staff sickness reported in accordance with Government policy?	5.4	0			
7. Have all staff recruited within the past 12 months received proper induction?	5.4	2023			
8. Are there arrangements in place to ensure that staff appointed to positions requiring a qualification actually hold the relevant qualification?	5.4	0			
9. Are there arrangements in place to ensure that you receive regular (at least annual) feedback from staff working within your area of responsibility e.g. a staff survey?	5.5	0			
10. Is there a workforce plan for your area of responsibility which includes succession planning?	5.6	0			
<b>Principle 6. Public Finances - The organisation values and safeguards financial integrity, accountability and strong public financial management.</b>					
Question	Cross-reference to Governance Framework	2023 or ongoing?	Comply? Y/N only	Please use for additional information if you wish. Evidence need not be supplied but must be available on request.	Brief detail of known non-compliance
1. Have you complied with the Public Finances Manual (including completion of any exemptions and breaches)	6.3	2023			

during the year? Please list exemptions and breaches.					
2. Have all budgets loaded been supported by appropriate authorisation such as Government Plan approval or formal decision of the Minister for Treasury and Resources?	6.3	2023			
3. Are there arrangements in place to ensure that staff responsible for managing budgets are aware of the requirement that all expenditure incurred is in line with the purpose for which budget approval was given? Please explain where and from whom budget holders would obtain guidance in this respect?	6.3	0			
4. Has clear responsibility been assigned for all budgets within your service/department?	6.3	0			
5. Have individual managers with responsibility for budgets received appropriate financial training?	6.3	0			
6. Are all relevant staff in your area of responsibility aware of and have access to the Government of Jersey's Public Finances Manual, Procurement procedures and other financial procedures or guidance notes?	6.3	0			

7. Were identified efficiency savings delivered in the year?	6.3	2023			
8. Are asset registers and inventories in place and maintained in accordance with the Public Finances Manual?	6.3	0			
9. Are there arrangements in place to regularly review actual financial performance against budgets? Please explain what these arrangements are.	6.4	0			
10. Have any significant (+10%) overspends during the year been managed? Please explain how these have been managed and reported.	6.4	2023			
11. Are all fees and charges regularly reviewed?	6.5	0			
12. Are invoices raised promptly for all income due?	6.5	0			
13. Is debt collection effective and are write-off levels low?	6.5	0			
14. Are all levels of fees and charges clearly published in an appropriate and accessible format?	6.5	0			
<b>Principle 7. Communication and Engagement - The organisation communicates and engages with all parties in a way that is accessible, open and responsive.</b>					
Question	Cross-reference to Governance Framework	2023 or ongoing?	Comply? Y/N only	Please use for additional information if you wish. Evidence need not be supplied but must be available on request.	Brief detail of known non-compliance
1. Are there processes in place to ensure proactive, transparent,	7.3	2023			

timely and responsive communication with staff and service users in line with corporate communications policy? Please give details of the main channels of communication and briefly give examples of any action taken recently to improve communication with specific target groups.					
2. Are there arrangements in place to ensure engagement with relevant individuals and bodies in decision-making and policy development, where it is appropriate to do so?	7.5	0			
<b>Principle 8. Risk Management, Fraud and Insurance - The organisation identifies and manages its risks to deliver effective accountability and outcomes.</b>					
Question	Cross-reference to Governance Framework	2023 or ongoing?	Comply? Y/N only	Please use for additional information if you wish. Evidence need not be supplied but must be available on request.	Brief detail of known non-compliance
1. Are there one or more risk registers in place for your department/ service/ /business unit? Please explain how these registers are reviewed and kept up to date.	8.2	0			
2. Are there arrangements in place for staff in your area to feed issues into the corporate risk register where appropriate?	8.2	0			
3. Do risk registers include consideration of all types of risk	8.2	0			

including fraud risks, partnership risks, information management, business continuity, health and safety and opportunity risks?					
4. Have appropriate risk owners been nominated to ensure that actions are taken to monitor and manage all risks identified?	8.2	0			
5. Are arrangements in place to ensure all risks that can be insured are covered by the States' external policy or internal insurance arrangements?	8.2	0			
6. Are the corporate <a href="#">Health &amp; Safety Minimum Standards</a> that are relevant to the department, understood, implemented and aligned to departmental standards/requirements?	8.2	0			
7. Have you identified improvement opportunities as an outcome of your <a href="#">Health &amp; Safety Assurance Questionnaire</a> completion?	8.2	0			
8. Have critical and priority services been identified and continuity plans developed and approved for these areas?	8.3	0			
9. Are business continuity plans regularly reviewed and tested?	8.3	0			
10. Were any failures in risk management arrangements during the year resulting in adverse media coverage, loss of	8.4	2023			

States' assets or injury to staff discussed at a senior level to consider lessons learned? Please list any such incidents.					
11. Have all frauds and financial irregularities identified been referred to the Chief Internal Auditor in accordance with the Anti-Fraud and Corruption Strategy and Fraud Response Plan?	8.6	2023			
12. Have specific fraud risks been identified and have mitigating actions been identified and put in place?	8.6	0			
13. Have anti-money laundering and anti-corruption arrangements been put in place, including compliance with the Corruption (Jersey) Law 2006, the Anti-Money Laundering Policy and the Anti-Fraud and Corruption Policy?	8.6	0			
<b>Principle 9. Information Governance - The organisation manages its information responsibly and effectively.</b>					
Question	Cross-reference to Governance Framework	2023 or ongoing?	Comply? Y/N only	Please use for additional information if you wish. Evidence need not be supplied but must be available on request.	Brief detail of known non-compliance
1. Are all staff in your service/department are aware of policies in relation to the use of States equipment and systems	9.1	0			

(e.g. IS Security Policy, internet and email usage and phone usage)?					
2. Has your area complied with Data Protection (Jersey) Law 2018 requirements during the year, including subject access requests (SARs)? Please give the number of SARs made and complied with during the year.	9.1	2023			
3. Have actions been taken to manage information security risks? Please list any significant breaches of IS policies during the year and what action was taken in response. For minor breaches please provide summary information only (e.g. number of each type).	9.1	2023			
4. Are robust arrangements in place to monitor compliance with Freedom of Information (Fol) legislation? Please give the number of Fol requests in the year, and how many of these were fully complied with.	9.1	2023			
5. Are all the required Information Sharing Agreements in place, including with other departments and for all partnering and contractor activities or services undertaken in the last financial year?	9.1	2023			



6. Are you satisfied that all staff and contractors (that you were responsible for) that have left the employment of your service during the financial year have been removed from accessing States IS systems?	9.1	2023			
7. Have all staff been trained in the use of relevant IS systems? Please provide brief details of training provided in the year and attendance levels.	9.2	2023			

Please list items which may be considered “significant” for inclusion in the States’ Annual Governance Statement. These may be those which:	<b>BOX A</b> - Please declare below any significant control or governance issues that should be considered as part of the States of Jersey Governance Statement:	<b>BOX B</b> – Please set out (a) actions taken or planned to be taken to address any significant control or governance issues listed in Box A; and actions taken to address any significant control or governance issues listed in last year’s departmental or Corporate Governance Statements.
Have seriously prejudiced or prevented achieving a key States objective;		
Have resulted in the need to seek additional funding to allow it to be resolved;		
Have required a significant diversion of resources;		
Have had a material impact on the accounts;		

The Public Accounts Committee (PAC) has advised that it should be considered as significant;		
Have resulted in significant public interest or has seriously damaged reputation;		
Have resulted in formal actions being taken by senior officers (e.g. the States Treasurer);		
Have received significant adverse commentary in external inspection reports that has not been able to be addressed in a timely manner.		

I confirm that this document provides a fair and accurate reflection of the system of internal control and governance arrangements operating within my area of responsibility during the past year.

Name of Accountable Officer:.....Signature:.....Date:.....

Name of officer completing the self-assessment ..... Signature:.....Date:.....