### Stage 1 Progression Overview– Assurance Statement for Governors 2021-22

## Introduction

As Prison Governor/ Director of [ HMP ] I have responsibility for maintaining an effective system of internal control that supports the achievement of HMPPS policies, aims and objectives, whilst ensuring the prison progresses through Covid recovery. 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 of effectiveness.

This report gives my assessment around the key systems for which I am responsible in support of the HMPPS National Framework for Prison Recovery.

I acknowledge that this is the gateway to allowing autonomy in the delivery of recovery and into reform, and have sufficient controls in place to manage the risks and sufficient plans are in place to ensure;

1. Local unions are engaged and involved in reviews of local delivery
2. Local Health Partners are involved in local decisions and controls to manage Covid.
3. Ongoing controls are in place to manage the risk of Covid as set out in the Stage 1 Safe Operating Procedure (SOP).
4. Backlogs in delivery are well managed and plans are in place to prioritise and reduce risk.
5. Regime delivery is in accordance with the National Framework for Prison Recovery.
6. Local resilience plans to manage any future outbreaks are in place in line with national guidance.

I confirm that the following things have been completed in conjunction with the assurance statement:

* Local recovery plan has been reviewed and closed.
* Regime Review Tool has been utilised in planning for Stage 1 regime and a Regime Summary produced.
* Regime Management Plan (RMP) and local operating procedures updated to take into account any changes of numbers in line with the relaxation of COVID-19 controls as set out by the Stage 1 SOP.

## Evaluation

My review of the system of internal control is based on an ongoing process to identify the principal risks to the achievement of HMPPS policies, aims and objectives, to evaluate the nature and extent of those risks and how well we are managing them. My review of effectiveness is informed by senior managers in the prison who have responsibility for the development and maintenance of the operational delivery. I also take account of the work of stakeholders and partners, as appropriate.

I am satisfied that I am aware of the strengths and weaknesses of the internal control systems within the systems and processes for which I am responsible.

The following systems or processes within my area of the Assurance Framework have caused me concerns which I need to bring to your attention: [any areas included in this section must be included in a completed assurance framework template. A template is attached below]

*(Examples of systems or processes of concern might include backlog of Staff training, Annual Leave, Recruitment Concerns, Risks to COVID controls etc. together with a short explanation of why)*

 *Eg. Recruitment Concerns – I am x% below TSF, the pipeline for new staff indicates this position will remain until QX 2022, and my attrition is X%. This is a risk for regime delivery.*



## Overall Assessment

On the basis of my review, I can[not] give a [reasonable/partial] assurance that the system of internal control in the prison is adequate to achieve the recovery objectives. This is on the basis that, where exposure to risk has been identified in high risk areas, actions have been put in place to deal with the risk.

Prison Governor/ Prison Director:

Governor Name / Prison:

Governors Sign off:

Date:

PGD Name / Group:

PGD sign off:

Date:

One completed and signed off by the Governor/Director and PGD, this should be forwarded to the Executive Director and COVID-19 Gold for final collation.