

Self-Assurance Toolkit

Supporting the Preparation of Annual Assurance Statements

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What the GB needs to do

- Be satisfied that the organisation
 - Complies with the Regulatory Standards
 - Complies with the Charter
 - Meets all of its statutory and regulatory requirements
 - Understand where there are gaps or failings
 - Identify and implement remedies
 - Recognise where there is room for improvement
 - Have evidence to support its conclusions
 - Confirm / report to the SHR and Stakeholders

Assurance in 2021 also has to...

- Take account of the impact of 2020 / 21 on all aspects of compliance, planning, service delivery etc
- Identify any areas of non-compliance due to Covid
- Consider preparations for new duties relating to Equalities data collection and implementing a human rights approach
- Consider adoption of 2020 Model Rules
- Confirm compliance by 31 October 2021

Toolkit Version 3 (2021)

- Advice and guidance: not prescriptive or a checklist
- Minor updates and amendments to Toolkit V2 (2020)
- Supplementary 'Covid Flags' updated
- Addition of suggested AAS clause to address equalities and human rights duties
- Examples of non-compliance referred to in 'working towards compliant' SHR Engagement Plans

In 2021, review and assess...

- Impacts on:
 - Tenant and resident safety
 - Service delivery / recovery
 - Financial viability
 - Business planning
 - Staff well-being
 - Governance
 - Tenant Engagement
 - Risk

Important to Remember

- Assurance and compliance should be continuous
- Focus should be gaining / maintaining assurance and demonstrating / evidencing compliance
- Processes **support** assurance and compliance
- The GB needs to be assured – and have enough information and insight to support their assurance
- Staff and governance structures support the processes