

- Governance Framework – Key Documents/Functions**
- Partnership Community Strategy
  - Local Area Agreement
  - Constitution
  - Corporate Plan
  - Performance Plan
  - Service Planning Framework
  - Portfolio Holder Statements
  - Business Transformation Projects
  - Community Engagement Strategy
  - Communication Strategy
  - ICT Strategy
  - Human Resources Strategy
  - Dignity and Respect Policy
  - Performance Management Framework
  - Schedule of Council Meetings
  - Core Values
  - Council Procedure Rules
  - Record of Decisions
  - Partnership Guidance
  - Code of Conduct for Members
  - Members Induction and Training Programme
  - Code of Conduct for Employees
  - Officer and Member Protocols
  - Register of Interests
  - Confidential Reporting Policy
  - Code of Corporate Governance
  - Risk Management Strategy
  - Risk Registers and Control Frameworks
  - Counter-Fraud and Anti Corruption Strategy
  - Whistle Blowing Policy
  - Capital Appraisal Process
  - Information Governance Policy
  - Procurement Strategy
  - Contract Rules
  - Financial Rules
  - Medium Term Financial Plan/Budgets
  - Treasury Management Framework
  - Annual Statement of Accounts
  - Scheme of Delegation
  - Delegations to Officers
  - Complaints Process
  - Voluntary Sector Compact
  - Social Inclusion Strategy
  - Equalities and Diversity Policy and Action Plan
  - Business Continuity Plan
  - Health and Safety Policy

**Annual Governance Statement**  
Signed by the Leader of the Council, Chief Executive and Director of Resources and published with the Statement of Accounts

Independent review and approval by Audit Committee who examine draft AGS

Review of the Effectiveness of the system of Internal Audit

Authority and Directorate Policies, Business Plan and Risk Registers

Council Management Team with responsibility for drafting AGS after evaluating assurances and supporting evidence

<p><b>Performance Management &amp; Data Quality</b></p> <ul style="list-style-type: none"> <li>Embedded system</li> <li>Operates throughout the organisation</li> <li>Internal and external reviews</li> <li>Action orientated</li> <li>National/Local KPIs</li> <li>Periodic progress reports</li> <li>Corporate Performance Management Group</li> <li>Data Quality Strategy</li> </ul>	<p><b>Risk Management</b></p> <ul style="list-style-type: none"> <li>Risk Management Strategy</li> <li>Embedded in planning processes and project/partnership methodologies</li> <li>Effectiveness evaluated</li> <li>Outcomes reported to Committee</li> <li>Training Programme</li> </ul>	<p><b>Information Governance</b></p> <ul style="list-style-type: none"> <li>Corporate Information Governance Policy</li> <li>Training Programme</li> <li>Outcomes reported to Committee</li> </ul>	<p><b>Legal and Regulatory Assurance</b></p> <ul style="list-style-type: none"> <li>Monitoring Officer's reports</li> <li>Sections of Committee Reports</li> <li>Legal Advice</li> </ul>	<p><b>Members' Assurance</b></p> <ul style="list-style-type: none"> <li>Standards Committee</li> <li>Scrutiny Function</li> </ul>	<p><b>Assurances by Directors/Service Heads</b></p> <ul style="list-style-type: none"> <li>Annual Management Assurance Statements</li> <li>Periodic Reports</li> </ul>	<p><b>Other Sources of Assurance (including third-party)</b></p> <ul style="list-style-type: none"> <li>Reports by Inspectors</li> <li>Service Review reports</li> <li>Fraud Reports and Investigations</li> <li>Ombudsman reports</li> <li>Post Implementation reviews of projects</li> <li>Investors in People Accreditation</li> </ul>	<p><b>Financial Management</b></p> <ul style="list-style-type: none"> <li>Medium Term Financial Plan</li> <li>Revenue Budget and Capital programme</li> <li>Revenue and Capital Monitoring reports</li> <li>Treasury Management</li> <li>Schools Accredited under FMSIS Standard</li> <li>Statement of Accounts</li> <li>Compliance with Codes of Accounting Practice</li> <li>Statutory returns</li> <li>Grant Claims</li> </ul>	<p><b>Internal Audit</b></p> <ul style="list-style-type: none"> <li>Operates under approved Strategy and Terms of Reference</li> <li>Approved risk based plans</li> <li>Periodic and annual reports to Audit Committee, including Head of Audit's opinion</li> <li>CIPFA Code compliance assessment</li> <li>External Audit Review</li> </ul>	<p><b>External Audit</b></p> <ul style="list-style-type: none"> <li>Annual Plan</li> <li>Annual Governance Report</li> <li>Annual Audit and Inspection Letter</li> <li>Audit Opinion and VFM conclusion</li> <li>Comprehensive Area Assessment</li> <li>Use of Resources assessment</li> <li>Ad hoc reports</li> </ul>
--	---	--	--	---	--	---	---	---	--

ONGOING ASSURANCE ON ADEQUACY AND EFFECTIVENESS OF CONTROLS OVER KEY RISKS

