Appendix A

ANNUAL GOVERNANCE STATEMENT (AGS) FRAMEWORK

Governance Framework – Key Documents/Functions

- Sustainable Community Strategy
- Local Area Agreement
- Constitution
- Corporate Plan
- Service Planning Framework
- Business Transformation Projects
- Consultation Strategy
- Communication Strategy
- ICT Strategy
- Human Resources Strategy
- Performance Management Framework
- Schedule of Council Meetings
- Council Procedure Rules
- Record of Decisions
- Code of Conduct for Members
- Members' Induction and Training Programme
- Code of Conduct for Employees
- Officer and Member Protocols
- Confidential Reporting Policy
- Code of Corporate Governance
- Risk Management Strategy
- Anti-fraud and Corruption Policy
- Procurement Strategy
- Contract Procedure Rules
- Medium Term Financial Plan/Budgets
- Treasury Management Framework
- Annual Statement of Accounts
- Financial Procedure Rules
- Scheme of Delegation
- Complaints Process
- Equalities Plan
- Local Assessment of Complaints regime for District & Parish Councillors

Annual Governance Statement

Signed by the Leader of the Council and Chief Executive and published with the Statement of Accounts

Independent review and approval by Audit Sub-Committee who examine draft AGS and supporting evidence

Authority & Directorate Policies, Business Plans and Risk Registers

Corporate Group with responsibility for drafting AGS after evaluating assurances and supporting evidence

Review of the effectiveness of the system of Internal Audit

Performance Management & Data Quality

- Embedded system
- Operates throughout the organisation
- Internal and external reviews
- Action orientated
- National/Local KP's
- Periodic progress reports

Risk Management

- Risk Management Strategy
- Embedded in planning processes and project/ partnership methodologies
- Effectiveness evaluated
- Outcomes reported to Committee
- Training Programme

Legal and Regulatory Assurance

- Monitoring Officer
- Sections of Committee Reports
- Legal Advice
- Constitution

Members' Assurance

- Standards Committee
- Audit Sub-Committee
- Scrutiny Function

Assurances by Directors/ Service Heads/

- Periodic Reports

Other Sources of Assurance (including third party)

- Reports by Inspectors
- Service Review reports
- Annual Review of Significant Partnerships
- Fraud Reports and investigations
- Ombudsman reports
- Post implementation reviews of projects
- Investors in people Accreditation

Financial Management

- Medium Term Financial Plan
- Revenue Budget and Capital Programme
- Revenue and Capital Management reports
- Treasury Management
- Statement of Accounts
- Compliance with Codes of Accounting Practice
- Statutory returns
- Grant Claims

Internal Audit

- Operates under approved Strategy and Terms of Reference
- Approved risk based plans
- Periodic and annual reports to Audit Sub-Committee, including Internal Audit Manager's opinion
- CIPFA Code compliance assessment
- External Audit Review

External Audit

- Annual Plan
- Annual Governance Report
- Annual Audit and Inspection Letter
- Audit Opinion and VFM conclusion
- Use of Resources assessment
- Ad hoc reports

Ongoing assurance on adequacy and effectiveness of controls over key risks