

# 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
- Community Engagement Strategy
- Communication Strategy
- ICT Strategy
- Human Resources Strategy
- Performance Management Framework
- Schedule of Council Meetings
- Council Procedure Rules
- Record of Decisions
- Partnership Working Toolkit
- 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
- Capital Projects Methodology
- Information Governance 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
- Social Inclusion Strategy
- Equalities Plan

## 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 Committee who examine draft AGS and supporting evidence

Review of the effectiveness of the system of Internal Audit

Authority & Directorate Policies, Business Plans and Risk Registers

Corporate Group 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> </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>• Audit Committee</li> <li>• Scrutiny Function</li> </ul>	<p><b>Assurances by Directors/ Service Heads/ Schools</b></p> <ul style="list-style-type: none"> <li>• Annual Management/ Schools 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>• Annual Review of Significant Partnerships</li> <li>• Fraud Reports and investigations</li> <li>• Ombudsman reports</li> <li>• Post implantation 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 Management 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 Internal 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>• Use of Resources assessment</li> <li>• Ad hoc reports</li> </ul>
---	---	--	--	--	---	--	---	--	---

Ongoing assurance on adequacy and effectiveness of controls over key risks