

# ANNUAL GOVERNANCE STATEMENT (AGS) FRAMEWORK

## Governance Framework – Key Documents/Functions

- Sustainable Community Strategy
- Constitution
- Corporate Service Planning and Performance Management Framework
- Communications and Engagement Strategy
- ICT Strategy
- Workforce Strategy
- 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 Approach
- Anti-Fraud and Corruption Policies
- Capital Projects Methodology
- Information Governance Policies
- Procurement Strategy
- Contract and Property Procedure Rules
- Medium Term Financial Plan/Budgets
- Treasury Management Framework
- Annual Statement of Accounts
- Financial Procedure Rules
- Scheme of Delegation
- Complaints Process
- Equalities Plan
- Business Continuity Plans
- Health and Safety Policy

## 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 overseeing the drafting of the AGS after evaluating assurances and supporting evidence

<p><b>Performance Management &amp; Data Quality</b></p> <ul style="list-style-type: none"> <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 Approach embedded in planning processes and project/partnership methodologies</li> <li>• Outcomes reported to Committee</li> </ul>	<p><b>Information Governance</b></p> <ul style="list-style-type: none"> <li>• Corporate Information Governance Policies</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>• 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 Assurance Sources</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>• Annual Complaints Reports</li> <li>• Ombudsman reports</li> <li>• Post implementation reviews of projects</li> <li>• ICT Strategy implementation reports</li> <li>• Annual Xentrall Shared Services Report</li> <li>• Annual Health &amp; Safety Report</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 Financial Value Standard (SFVS)</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>• Public Sector Internal Audit Standards (PSIAS) compliance assessment</li> <li>• External Review</li> </ul>	<p><b>External Audit</b></p> <ul style="list-style-type: none"> <li>• Annual Plan</li> <li>• Annual Audit Letter</li> <li>• Audit Results Report including audit opinion on Statement of Accounts and VFM Conclusion</li> <li>• Ad hoc reports</li> </ul>
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Ongoing assurance on adequacy and effectiveness of controls over key risks