DRAFT OVERVIEW OF CORPORATE GOVERNANCE ASSURANCE FRAMEWORK   APPENDIX 3

FULL COUNCIL

Leader, Chief Executive, Monitoring Officer and S151 Officer sign AGS on behalf of Full Council

AUDIT COMMITTEE (AC)
Provide independent assurance on the adequacy and effectiveness of the Council's governance arrangements, including the effectiveness of the risk management and the associated control environment. Report bi annually to Full Council on its work

Delegated Authority to approve AGS on behalf of Full Council

Pension Fund Committee
Oversee the management of the pension fund, including risk, governance and internal control issues

ANNUAL GOVERNANCE STATEMENT (AGS)

Cabinet:
Receive quarterly reports on performance and risk management to inform key decisions

Key Sources of Assurance

Internal Audit

Independent opinion on

- compliance with key internal control processes
- the effectiveness of the process for gaining assurance on internal control and risk management
- the effectiveness of controls to manage significant areas of risk

Annual effectiveness review reported to Audit Committee

Risk Management:

Outcomes from formal risk assessment and evaluation as documented in Corporate and Service Risk Registers

Service Risk Managers, supported by corporate risk officers, ensure service strategic risk registers are regularly monitored

The CRMG ensures cross cutting directorate risks are incorporated into the Council's Corporate Strategic Risk Register

External Audit:

- Independent overview of the effectiveness of the financial control environment including financial reporting, internal control and risk management and VFM conclusion.

- Control improvements highlighted in Annual Governance Report and Annual Audit Letter

Internal Management Arrangements
Day to day management of services, Performance management framework, project/programme management arrangements, processes and procedures, partnership governance framework, quality assurance process, complaints process, etc

CMT
Provide a forum for identifying and addressing cross cutting issues that may impact on control environment and risk
Endorse AGS prior to AC

Change Co-Ordination Group;
Challenges annual evaluation of effectiveness of corporate governance arrangements and prepares draft AGS supported by risk and governance manager

Corporate Directors Annual Assurance Statements:
Inform draft AGS

Other external sources of assurance:

Outcomes from reviews of services by external inspectors e.g.

- Ofsted
- CQC
- RIPA inspection (2011)
- IiP Standard Accreditation (2011)
- HMRC (2010)
- H & S Executive
- Quality Management Standards
- Audit Commission Housing Inspection 2010

Overview and Scrutiny:

Review and and/or scrutinise decisions made or action taken
Assist in policy development and review
Review and scrutinise performance
Make recommendations to Cabinet
Annual Report to Full Council on its work

Standards Committee:

Promote and maintain high standards of member conduct

Working groups:
IPG, 4th Tier Performance Group, Information Security Forum, Information Governance Group
Strategic Procurement Network,
MOWG, Performance clinics, 4th Tier Workshops etc
Provide a forum for identifying and addressing cross cutting issues that may impact on control environment and risk management