



GOVERNANCE COMMITTEE
QUESTIONNAIRE TO ASSESS
EFFECTIVENESS OF THE GOVERNANCE
COMMITTEE

GOVERNANCE COMMITTEE QUESTIONNAIRE 2019/20

5 Replies received

ESTABLISHMENT, OPERATION AND DUTIES					
Role and remit					
Priority	Issue	Yes	No	N/A	Comments/action
1	Does the Governance Committee have written terms of reference?	5			
1	Do the terms of reference cover the core functions of a Governance committee as identified in the CIPFA guidance?	5			
1	Are the terms of reference approved by the council and reviewed periodically?	5			
1	Has the Governance Committee been provided with sufficient membership, authority and resources to perform its role effectively and independently?	5			
1	Can the Governance Committee access other committees and full council as necessary?	5			
1	Does the authority's statement on internal control include a description of the Governance committee's establishment and activities?	5			

ESTABLISHMENT, OPERATION AND DUTIES					
Role and remit					
Priority	Issue	Yes	No	N/A	Comments/action
2	Does the Governance committee periodically assess its own effectiveness?	4	1		Via Work plan
2	Does the Governance committee make a formal annual report on its work and performance during the year to full council?	3			Assume so Do we ½ yearly
Membership, induction and training					
1	Has the membership of the Governance committee been formally agreed and a quorum set?	5			
1	Is the chair independent of the executive function?	5			
1	Has the Governance Committee chair either previous knowledge of, or received appropriate training on, financial and risk management, accounting concepts and standards, and the regulatory regime?	3			Don't know Don't know
1	Are new Governance Committee members provided with an appropriate induction?	4	1		As needed- check new members
1	Have all members' skills and experiences been assessed and training given for identified gaps?	3	1		Not to my knowledge
1	Has each member declared his or her business interests?	5			
2	Are members sufficiently independent of the other key committees of the council?	5			
Meetings					
1	Does the Governance Committee meet	5			

	regularly?				
--	------------	--	--	--	--

ESTABLISHMENT, OPERATION AND DUTIES					
Role and remit					
Priority	Issue	Yes	No	N/A	Comments/action
1	Do the terms of reference set out the frequency of meetings?	4			Don't know
1	Does the Governance Committee calendar meet the authority's business needs, governance needs and the financial calendar?	4			Don't know
1	Are members attending meetings on a regular basis and if not, is appropriate action taken?	4	1		Not all
1	Are meetings free and open without political influences being displayed?	5			
1	Does the authority's S151 officer or deputy attend all meetings?	5			
1	Does the Governance Committee have the benefit of attendance of appropriate officers at its meetings?	5			
INTERNAL CONTROL					
1	Does the Governance Committee consider the findings of the annual review of the effectiveness of the system of internal control (as required by the Accounts & Audit Regulations) including the review of the effectiveness of the system of internal audit	5			
1	Does the Governance Committee have responsibility for review and approval of the SIC and does it consider it	5			

	separately from the accounts?				
--	-------------------------------	--	--	--	--

ESTABLISHMENT, OPERATION AND DUTIES					
Role and remit					
Priority	Issue	Yes	No	N/A	Comments/action
1	Does the Governance Committee consider how meaningful the Annual Governance Statement is?	5			
1	Does the Governance committee satisfy itself that the system of internal control has operated effectively throughout the reporting period?	5			
1	Has the Governance Committee considered how it integrates with other committees that may have responsibility for risk management?	4	1		Maybe this could be done better
1	Has the Governance Committee (with delegated responsibility) or the full council adopted "Managing the Risk of Fraud – Actions to Counter Fraud and Corruption?"	5			
1	Does the Governance Committee ensure that the "Actions to Counter Fraud and Corruption" are being implemented?	5			
2	Is the Governance Committee made aware of the role of risk management in the preparation of the internal Audit plan?	5			
2	Does the Governance Committee review the authority's strategic risk register at least annually?	5			

ESTABLISHMENT, OPERATION AND DUTIES					
Role and remit					
Priority	Issue	Yes	No	N/A	Comments/action
2	Does the Governance Committee monitor how the authority assesses its risk?	5			I would like to see the risk assessment
2	Do the Governance Committee's terms of reference include oversight of the risk management process?	5			
FINANCIAL REPORTING AND REGULATORY MATTERS					
1	Is the Governance Committee's role in the consideration and/or approval of the annual accounts clearly defined?	5			
1	Does the Governance Committee consider specifically: • the suitability of accounting policies and treatments • major judgments made • large write-offs • changes in accounting treatment • the reasonableness of accounting estimates the narrative aspects of reporting?	5			
1	Is a Governance Committee meeting scheduled to receive the external Auditor's report to those charged with governance including a discussion of proposed adjustments to the accounts and other issues arising from the Governance?	5			
1	Does the Governance Committee review management's letter of representation?	4			Don't know

2	Does the Governance Committee annually review the accounting policies of the authority?	4			
---	---	---	--	--	--

ESTABLISHMENT, OPERATION AND DUTIES

Role and remit					
Priority	Issue	Yes	No	N/A	Comments/action
2	Does the Governance Committee gain an understanding of management's procedures for preparing the authority's annual accounts?	3	1		
2	Does the Governance Committee have a mechanism to keep it aware of topical legal and regulatory issues, for example by receiving circulars and through training?	3	1		

INTERNAL GOVERNANCE

1	Does the Governance Committee approve, annually and in detail, the internal Governance strategic and annual plans including consideration of whether the scope of internal Governance work addresses the authority's significant risks?	3			?
1	Does internal Audit have an appropriate reporting line to the Governance committee?	4			
1	Does the Governance Committee receive periodic reports from the internal Governance service including an annual report from the Head of Internal Audit?	4			
1	Are follow-up audits by internal audit monitored by	4			

	the Governance Committee and does the committee consider the adequacy of implementation of recommendations?				
--	---	--	--	--	--

ESTABLISHMENT, OPERATION AND DUTIES					
Role and remit					
Priority	Issue	Yes	No	N/A	Comments/action
1	Does the Governance Committee hold periodic private discussions with the Head of Internal Audit?	1	2		Not sure If requested
1	Is there appropriate cooperation between the internal and external Auditors?	4			
1	Does the Governance committee review the adequacy of internal audit staffing and other resources?	4			We are changing Internal Auditors in 2020
1	Has the Governance committee evaluated whether its internal audit service complies with CIPFA's Code of Practice for Internal Governance in Local Government in the United Kingdom?	3	1		
2	Are internal Audit performance measures monitored by the Governance committee?	4			
2	Has the Governance committee considered the information it wishes to receive from internal audit?	3	1		
EXTERNAL GOVERNANCE					
1	Do the external Auditors present and discuss their Governance plans and strategy with the	5			

	Governance committee (recognizing the statutory duties of external Audit)?				
1	Does the Governance Committee hold periodic private discussions with the external Auditor?	1	1		Not so far As requested

ESTABLISHMENT, OPERATION AND DUTIES					
Role and remit					
Priority	Issue	Yes	No	N/A	Comments/action
1	Does the Governance Committee review the external Auditor's annual report to those charged with governance?	4	1		Not sure
1	Does the Governance Committee ensure that officers are monitoring action taken to implement external audit recommendations?	5			
1	Are reports on the work of external audit and other inspection agencies presented to the committee, including the annual audit and inspection letter?	5			
1	Does the Governance Committee assess the performance of external audit?	2	1		Not sure
1	Does the Governance Committee consider and approve the external Governance fee?	4			?
ADMINISTRATION					
Agenda management					
1	Does the Governance committee have a designated clerk from Corporate and Community Services?	4			

1	Are agenda papers circulated in advance of meetings to allow adequate preparation by Governance committee members?	5			
2	Are outline agendas planned one year ahead to cover issues on a cyclical basis?	3			? Don't know

ESTABLISHMENT, OPERATION AND DUTIES					
Role and remit					
Priority	Issue	Yes	No	N/A	Comments/action
2	Are inputs for Any Other Business formally requested in advance from committee members, relevant officers, internal and external Governance?	3	1		Don't know
Papers					
1	Do reports to the Governance Committee communicate relevant information at the right frequency, time, and in a format that is effective?	5			
2	Does the Governance Committee issue guidelines and/or a proforma concerning the format and content of the papers to be presented?	4			Don't know
Actions arising					
1	Are minutes prepared and circulated promptly to the appropriate people?	5			
1	Is a report on matters arising made and minuted at the Governance committee's next meeting?	5			
1	Do action points indicate who is to perform what and by when?	4			?

OVERALL AIMS	
Issue	Comments
Please give details of any strategic or wide-ranging issues which the Governance Committee has considered in the past.	This is the overall function of the Governance Committee Cannot answer as only been on Committee 8 months Difficult to comment as Committee's first year
Please give details of any strategic or wide-ranging issues which the Governance Committee should consider.	Overspend in W&R Covers all Council business already Recent changes from Executive to Committee structure need to be reviewed Difficult to comment as Committee's first year
How do you think the Committee could tackle the problems?	Difficult to comment as Committee's first year
How do you feel the Governance Committee has made a difference (to any issues)?	It audits/signs off the works of those doing the audits Difficult to comment as Committee's first year Not known
Are there any areas in which you believe the Committee has failed to deliver?	No None I am aware of No Difficult to comment as Committee's first year
How could this have been resolved or improved?	Difficult to comment as Committee's first year
How would you improve the Committee and its work?	Not been a member long enough to comment I do not know enough to comment Difficult to comment as Committee's first year