

# NORTH DEVON COUNCIL ASSURANCE FRAMEWORK

- Recommendation of the policy and budgetary framework to council
- Recommend the strategic direction of the Council.
- Identify the Council's priorities
- Review of key decisions and policies
- Quarterly review of performance and annual target setting

- These statutory functions of these two officers provide a source of assurance that the Council's systems of governance and internal control are effective and being complied with
- Annual Statement completed by Section 151 and Monitoring Officer of any material matters that require reporting in AGS

- Maintenance of the Council's corporate risk register (CRR)
- Quarterly review of CRR for SMT and half yearly for Governance Committee
- Oversight of risk framework
- Reports to SMT and the Governance Committee

- Independently reviews areas of committee activity, decisions, and other function of the Council
- Results are reported back to Strategy and Resources Committee

- Quarterly review of strategic and operational risks
- Monitoring of Corporate Plan targets
- Quarterly review of performance
- Review of implementation of recommendation by external audit and other agencies

- Promoting and maintaining high standards of conduct by Members
- Assisting Members to observe the Codes of Conduct, including advice and training
- Advising the Council on the adoption or revision of the Members' Codes of conduct
- Monitoring the operation of the Council's Members' Codes of Conduct
- Overview of local planning code of conduct
- Considering allegations that a Member has failed to comply with the Code of Conduct

- Audit of accounts and governance arrangements
- Annual Audit Letter
- Reports the outputs of its work to the council and the Governance Committee
- Places assurance on the work of Internal Audit

- Receive all internal audit reports including the annual report on the level of assurance it can give to the Council's corporate governance
- Ensure effective audit follow up arrangements
- Consider the external audit reports including the annual letter and the report to those charged with governance
- Monitor the effective development and operation of risk management and corporate governance in the council
- Oversee the production of the Council's AGS and to recommend its adoption by Council
- Consider the Council's compliance with its own and other published standards and controls
- Review the annual statement of accounts

- Annual and interim reports on systems of internal control and their effectiveness
- Risk based audit approach
- Annual audit and strategic audit plan
- Review of key controls
- Planned internal audit review of risk management arrangements
- Review of service risks when audits are undertaken
- Review of systems including accuracy, completeness, timeliness and relevance of data
- Reports to SMT and the Governance Committee

- Annual report on Health and Safety to SMT

- Review by external agencies e.g. Ombudsman, Food Standards Agency, Health and Safety Executive

- Quarterly reporting and review of financial and operational performance through the Senior Management Team
- Preparation and delivery of annual Service Plans
- Review of service risks
- Implementation of audit recommendations
- Maintenance of control statements for key systems
- Monitor and review performance of service including data quality
- Annual assurance statement on application of the control framework

