

ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.27	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Integrated front line service delivery	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C E & E	
NATURE OF ASSURANCE REQUIRED	Demonstration of improved efficiencies in the deliver of front line school services	
SOURCE(S)	SRR 4.10	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Delivering through Localities programme Neighbourhood investment plans Business transformation programme MTFS Business process re-engineering	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	Inspection (Service Management)	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

Priority areas per Sustainable Community Strategy

E = Creating the UK's environmental capital

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L = Delivering substantial and truly sustainable growth

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With the overarching requirement of delivering value for money (E & E)

ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.28	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Equality and diversity	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C E & E	
NATURE OF ASSURANCE REQUIRED	Effective management of children in care	
SOURCE(S)	SRR 4.11	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Caseload management and reduction in external suppliers Integrated young peoples service Joint Commissioning Strategy Implementation of placement strategy Committee reports on progress	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	-	
EXTERNAL ASSURANCE	Joint Area Review	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.29	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Childrens Services National Indicators (Adult Learning)	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	C	
NATURE OF ASSURANCE REQUIRED	Effective action plans in place to deliver / monitor improved performance in relation to adult learning and skills targets	
SOURCE(S)	SRR 4.12	
RESPONSIBLE OFFICER	Director of Children Services	
RESPONSIBLE PORTFOLIO HOLDER	Children Services	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Local Area Agreement (see AF.05) 3 year action plan developed Adult Learning and Skills Strategy	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Annual data surveys of a selection of adults	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

REFERENCE	AF.30	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Maintaining services within City Services	
LEVEL OF ASSURANCE: Not applicable DELETED		

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.31	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Arms Length Management Organisation	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Delivery of an improved business model for PCC and exploration of opportunities to win work from other organisations.	
SOURCE(S)	SRR 5.02	
RESPONSIBLE OFFICER	Commercial Services Director	
RESPONSIBLE PORTFOLIO HOLDER	Cabinet Advisor for City Services	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Project Board / Project Plan established	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: ALMO Review of potential mechanisms, 2011 deadline proposed	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.32	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Highways infrastructure conditions	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E	
NATURE OF ASSURANCE REQUIRED	The Council invests in transport infrastructure and services accommodating growth and managing existing levels of congestion	
SOURCE(S)	SRR 6.01	
RESPONSIBLE OFFICER	Head of Environment, Transport and Engineering	
RESPONSIBLE PORTFOLIO HOLDER	Environment Capital and Culture	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Peterborough Local Transport Plan (2nd version 2008) Partnership / contracting arrangements with WS Atkins Links with Opportunity Peterborough Travel Choice initiative / promotion of walking / cycling	
EXTERNAL	CPA Corporate Assessment 2006	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Highways	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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REFERENCE	AF.33	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Environmental capital aspirations	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E	
NATURE OF ASSURANCE REQUIRED	Overall enhancement of the cleanliness of the city	
SOURCE(S)	SRR 6.02	
RESPONSIBLE OFFICER	Executive Director of Operations	
RESPONSIBLE PORTFOLIO HOLDER	Environment Capital and Culture	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Enforcement Strategy on fly tipping Policy on abandoned vehicles / supermarket trolleys etc Carbon footprint benchmarking Heat loss and home insulation surveys	
EXTERNAL	CPA Corporate Assessment 2006	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Environmental Management Audit	
EXTERNAL ASSURANCE	Comprehensive Area Assessment (Managing Resources results)	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.34	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Climate change	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E	
NATURE OF ASSURANCE REQUIRED	Council is able to ensure the well being of the community in the event of severe climate change Council is prepared and has adapted for the impact of climate change	
SOURCE(S)	SRR 6.03	
RESPONSIBLE OFFICER	Executive Director of Operations	
RESPONSIBLE PORTFOLIO HOLDER	Environment Capital and Culture	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Climate Change Strategy adopted Carbon neutral development sites identified Cabinet reports Carbon footprint benchmarking Heat loss and home insulation surveys	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Review required of strategy (March 2009) Internal Audit Plan 2009/2010: Environmental Management Audit	
EXTERNAL ASSURANCE	Comprehensive Area Assessment. Climate change incorporated within sustainability impact assessments used within the Use of Resources Assessments from April 2009 onwards.	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.35	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Social demographic change	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	H	
NATURE OF ASSURANCE REQUIRED	Council is able to meet the demands / deliver services to an ever increasing elderly population	
SOURCE(S)	SRR 7.01	
RESPONSIBLE OFFICER	Chief Executive Chief Executive (GPPCP)	
RESPONSIBLE PORTFOLIO HOLDER	Health & Adult Social Care	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Services delivered by PCT - funding arrangements transferred Regular review of accountability agreement and funding constraints MTFS	
EXTERNAL	External Audit undertakes reviews at both bodies	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Review of pooled budgets by CHIAS Analysis of credit crunch impact on service demands	
EXTERNAL ASSURANCE	-	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.36	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Financial management and strategy	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Robust financial management arrangements bring in a balanced budget. Council's ability to sustain plans for future growth and development of service objectives and initiatives	
SOURCE(S)	SRR 8.01	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Resources	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Director / Heads of Service self assessment statements Budgetary control reviews form standard area of review for annual main financial systems Corporate budgetary control systems in place and fully embedded across organisation Medium Term Financial Strategy which reflects priorities Internal Audit Annual Opinion (Audit Committee Sept 2009) External Audit: Review of accounts closure (Sept 2009)	
EXTERNAL	Use of Resources scores overall =3 (Jan 2009) <ul style="list-style-type: none"> • External Audit: Report to Management 2007/2008 • 	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Various ongoing reviews based on managed audit approach (e.g. Budgetary Control, Main Systems etc.) Business transformation programme Credit crunch analysis Impact of any changes Central Government funding levels	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.37	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Procurement	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Ensure business transformation projects and procurement follow best practice to achieve anticipated efficiencies and savings and improve value for money across the Council	
SOURCE(S)	SRR 8.02	
RESPONSIBLE OFFICER	Head of Business Transformation	
RESPONSIBLE PORTFOLIO HOLDER	Resources	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<p>Business Transformation Team established (October 2006)</p> <p>Review of procurement practices (Contract Standing Orders July 2007)</p> <p>Introduction of e-procurement arrangements and further development of purchasing cards (April 2008)</p> <p>Professional Services Partnership set up to ensure continuity and potential economies of scale</p> <p>Cash savings removed from budgets and held centrally for appropriate distribution and / or reduction to bottom line</p> <p>Business Efficiency Panel reports (from April 2008 - May 2009)</p> <p>VfM Strategy March 2008</p> <p>Links to invest to save bids</p>	
EXTERNAL	<p>External Audit: Review of business transformation processes and a number of post project implementations</p> <p>External Audit: Report to Management 2007/2008</p> <p>External Audit overview of PSP contract</p>	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Procurement	
EXTERNAL ASSURANCE	External Audit: Follow up of Business Transformation 2009/2010	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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REFERENCE	AF.38	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	CPA and CAA transitions	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Effective response to inspection outcomes and delivery of appropriate improvement plans within required timescales	
SOURCE(S)	SRR 8.03	
RESPONSIBLE OFFICER	Deputy Chief Executive Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Resources	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Previous inspection reports and regular reviews Regular Briefings to members / timetable of achievements Strategic Improvement Team monitor actions and regular reports provided to CMT / Cabinet	
EXTERNAL	Joint Area Assessment Commission for Social Care Inspection OFSTED CPA Corporate Assessment 2006 Direction of Travel assessment	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Collation of use of resources pack for new arrangements for Comprehensive Area Assessment. Ongoing compilation until June 2009. Initial scores established September 2009. Action plans to be established to take forward	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.39	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Estate utilisation to ensure asset disposal programme effective	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	The financing of the capital programme assumes a certain degree of capital receipts. Improvements, savings and asset sales targets are achieved	
SOURCE(S)	SRR 8.04	
RESPONSIBLE OFFICER	Head of Strategic Property	
RESPONSIBLE PORTFOLIO HOLDER	Resources	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Committee reports to Cabinet covering Asset Management Strategy, Accommodation Strategy, and Asset Disposals. Linked to Medium Term Financial Strategy	
EXTERNAL	Use of Resources assessment, Management of Asset Base (KLOE extract)	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Property Asset Management Credit crunch impact on property disposals (depressed property market values)	
EXTERNAL ASSURANCE	Comprehensive Area Assessment (Managing Resources)	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.40	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Waste management and recycling	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E	
NATURE OF ASSURANCE REQUIRED	Council seeks a mutually acceptable contract / solution allowing it to deliver waste management and sustainable recycling targets within budget projections	
SOURCE(S)	SRR 8.05	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Resources	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<p>Implementation of Waste Strategy including treatment facilities (reports to Cabinet on proposals)</p> <p>Joint Municipal Waste Management Strategy for Cambridgeshire and Peterborough 2008 - 2022</p> <p>65% Plus initiative</p> <p>Alternative options available and business case developed (sustainability requirements factored in). Gateway review of processes</p>	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<p>Continued reduction in landfill targets met</p> <p>Internal Audit Plan 2009/2010: Environmental Management Audit</p> <p>Internal Audit Plan 2009/2010: Performance Indicators (Recycling)</p>	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.41
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Democratic processes
ASSURANCE REQUIRED	
STRATEGIC PRIORITY	E & E
NATURE OF ASSURANCE REQUIRED	Effective scrutiny processes in place for decision making processes
SOURCE(S)	SRR 8.06
RESPONSIBLE OFFICER	Executive Director of Resources
RESPONSIBLE PORTFOLIO HOLDER	Resources
ASSURANCE CURRENTLY AVAILABLE	
INTERNAL	Approved Constitution, regularly reviewed Member briefings Scrutiny Panels established Committee membership based upon political balance of council
EXTERNAL	External Audit review of Scrutiny Arrangements
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED	
INTERNAL	Ongoing reviews of Constitution Annual Governance Statement 2008/09 (2009-05 Effective Governance) identified areas for improvement. Proposal to establish officer driven Governance Board to coordinate / enhance efforts in these areas.
EXTERNAL ASSURANCE	-
LEVEL OF ASSURANCE	
FULL ASSURANCE	MODERATE
	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.42	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Corporate manslaughter	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Clear arrangements in place to coordinate health and safety	
SOURCE(S)	SRR 8.07	
RESPONSIBLE OFFICER	All Directors Executive Director of Operations Solicitor to the Council	
RESPONSIBLE PORTFOLIO HOLDER	Resources	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Regular updates to CMT Realignment with business continuity	
EXTERNAL	-	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Internal Audit Plan 2009/2010: Health & Safety	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.43	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Investments	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	E & E	
NATURE OF ASSURANCE REQUIRED	Clear Investment Strategy in place to mitigate risks	
SOURCE(S)	SRR 8.08	
RESPONSIBLE OFFICER	Executive Director of Resources	
RESPONSIBLE PORTFOLIO HOLDER	Resources	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Investment Strategy as part of Treasury Management report within n MTFS Regular reports to Cabinet Icelandic Banks report to Scrutiny Committee	
EXTERNAL	External Audit: Report to Management 2007/2008 Statement of Accounts 2008/2009	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Annual Governance Statement 2008/09 (2009-04 Collapse of Icelandic Banks and loss of investment). Ongoing works to follow up Internal Audit Plan 2009/2010: Treasury	
EXTERNAL ASSURANCE	External Audit: Report to Management 2008/2009 Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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REFERENCE	AF.44	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Clear purpose, focus on outcomes for the Community, creating and implementing a vision for the local area.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	Strategic leadership Clear communication of the authority's purpose and vision and outcomes for citizens Users receive a high quality of service whether directly, or in partnership or by commissioning.	
SOURCE(S)	CIPFA / SOLACE six core principles Annual Governance Statement	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Partnership Toolkit Review of Annual Governance Statement (Apr-Jun 2009) Directors self assessment questionnaires (March - April 2009) Local Area Agreement (Internal Audit review - Full Assurance) Corporate Governance (Internal Audit review - Significant Assurance)	
EXTERNAL	External Audit: Annual Audit Letter (March 2009)	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Further self assessments to be coordinated	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.45
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Councillors and officers working together to achieve a common purpose, with clearly defined function and roles.
ASSURANCE REQUIRED	
STRATEGIC PRIORITY	-
NATURE OF ASSURANCE REQUIRED	Effective leadership throughout the council Clarity about executive and non-executive functions and of the roles and responsibilities of the scrutiny function. Constructive working relationship exists between Councillors and officers Responsibilities of Councillors and Officers are carried out to a high standard.
SOURCE(S)	CIPFA / SOLACE six core principles Annual Governance Statement
RESPONSIBLE OFFICER	ALL DIRECTORS
RESPONSIBLE PORTFOLIO HOLDER	ALL
ASSURANCE CURRENTLY AVAILABLE	
INTERNAL	Directors / Heads of Service Assurance Statements Corporate Governance (Internal Audit review - Significant Assurance) Review of Annual Governance Statement (June 2009) Member / Officer Relations protocol Ethics awareness through Standards Committee Development Strategy for members
EXTERNAL	Internal Control KLOE Use of Resources Assessment - Level 3 External Audit: Annual Audit Letter (March 2009)
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED	
INTERNAL	Annual Governance Statement review (March-May 2010) Directors / Heads of Service self assessment questionnaires (March - April 2010)
EXTERNAL ASSURANCE	Comprehensive Area Assessment
LEVEL OF ASSURANCE	
FULL ASSURANCE	MODERATE
	FURTHER WORK REQ'D

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REFERENCE	AF.46	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	Councillors and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance. Organisational values are put into practice and are effective.	
SOURCE(S)	CIPFA / SOLACE six core principles Annual Governance Statement	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	Directors / Heads of Service Assurance Statements Corporate Governance (Internal Audit review - Significant Assurance) Review of Annual Governance Statement (June 2009) Confidential reporting (whistleblowing policy)	
EXTERNAL	Internal Control KLOE Use of Resources Assessment - Level 3 External Audit: Annual Audit Letter (March 2009)	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	Annual Governance Statement review (March-May 2010) Directors / Heads of Service self assessment questionnaires (March - April 2010)	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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REFERENCE	AF.47	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Tackling informed and transparent decisions which are subject to effective scrutiny and managing risk.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<p>Rigorous and transparent decision making</p> <p>Listening and acting on the outcomes of effective scrutiny.</p> <p>Good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs.</p> <p>Effective risk management system is in place.</p> <p>Legal powers used to the full benefit of the citizens and communities in their area.</p>	
SOURCE(S)	<p>CIPFA / SOLACE six core principles</p> <p>Annual Governance Statement</p>	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<p>Directors / Heads of Service Assurance Statements</p> <p>Corporate Governance (Internal Audit review - Significant Assurance)</p> <p>Review of Annual Governance Statement June 2009</p> <p>Risk Management (Internal Audit review - Significant Assurance)</p>	
EXTERNAL	<p>Internal Control KLOE Use of Resources Assessment - Level 3</p> <p>External Audit: Annual Audit Letter (March 2009)</p>	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<p>Annual Governance Statement review (March-May 2010)</p> <p>Directors / Heads of Service self assessment questionnaires (March - April 2010)</p>	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

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ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.48	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Developing the capacity and capability of members and officers to be effective.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<p>Making sure that Councillors and officers have the skills, knowledge, experience and resources they need to perform well in their roles.</p> <p>Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group.</p> <p>Encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal.</p>	
SOURCE(S)	<p>CIPFA / SOLACE six core principles</p> <p>Annual Governance Statement</p>	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<p>Directors Assurance Statements</p> <p>Scrutiny Committee</p> <p>Corporate Governance (Internal Audit review - Significant Assurance)</p> <p>Review of annual governance statement June 2009</p> <p>Member training development</p>	
EXTERNAL	<p>Internal Control KLOE Use of Resources Assessment - Level 3</p> <p>External Audit: Annual Audit Letter (March 2009)</p>	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<p>Annual Governance Statement review (March-May 2010)</p> <p>Directors / Heads of Service self assessment questionnaires (March - April 2010)</p>	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

Priority areas per Sustainable Community Strategy

- E = Creating the UK's environmental capital
- H = Creating strong and supportive communities
- L = Delivering substantial and truly sustainable growth
- C = Creating opportunities - tackling inequalities

With the overarching requirement of delivering value for money (E & E)

ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

REFERENCE	AF.49	
KEY CONTROL AREA WHERE ASSURANCE REQUIRED	Engaging with local people and other stakeholders to ensure robust public accountability.	
ASSURANCE REQUIRED		
STRATEGIC PRIORITY	-	
NATURE OF ASSURANCE REQUIRED	<p>Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.</p> <p>Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning.</p> <p>Making best use of human resources by taking an active and planned approach to meet responsibility of staff.</p>	
SOURCE(S)	<p>CIPFA / SOLACE six core principles</p> <p>Annual Governance Statement</p>	
RESPONSIBLE OFFICER	ALL DIRECTORS	
RESPONSIBLE PORTFOLIO HOLDER	ALL	
ASSURANCE CURRENTLY AVAILABLE		
INTERNAL	<p>Directors Assurance Statements</p> <p>Corporate Governance (Internal Audit review - Significant Assurance)</p> <p>Review of annual governance statement June 2009</p> <p>Community Development Scrutiny Panel reports (e.g. Housing Strategy, Culture Services, Community Strategy)</p> <p>Strategies established for Arts, Sports, Heritage, Green Spaces, Childrens Play</p>	
EXTERNAL	<p>Internal Control KLOE Use of Resources Assessment - Level 3</p> <p>External Audit: Annual Audit Letter (March 2009)</p>	
FURTHER ASSURANCE WORK REQUIRED / PROGRAMMED		
INTERNAL	<p>Annual Governance Statement review (March-May 2010)</p> <p>Directors / Heads of Service self assessment questionnaires (March - April 2010)</p> <p>Internal Audit Plan 2009/10: Community Safety</p>	
EXTERNAL ASSURANCE	Comprehensive Area Assessment	
LEVEL OF ASSURANCE		
FULL ASSURANCE	MODERATE	FURTHER WORK REQ'D

Priority areas per Sustainable Community Strategy

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With the overarching requirement of delivering value for money (E & E)

ASSURANCE FRAMEWORK: DETAILED (SIX MONTH RE-FRESH: OCTOBER 2009)

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Priority areas per Sustainable Community Strategy

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