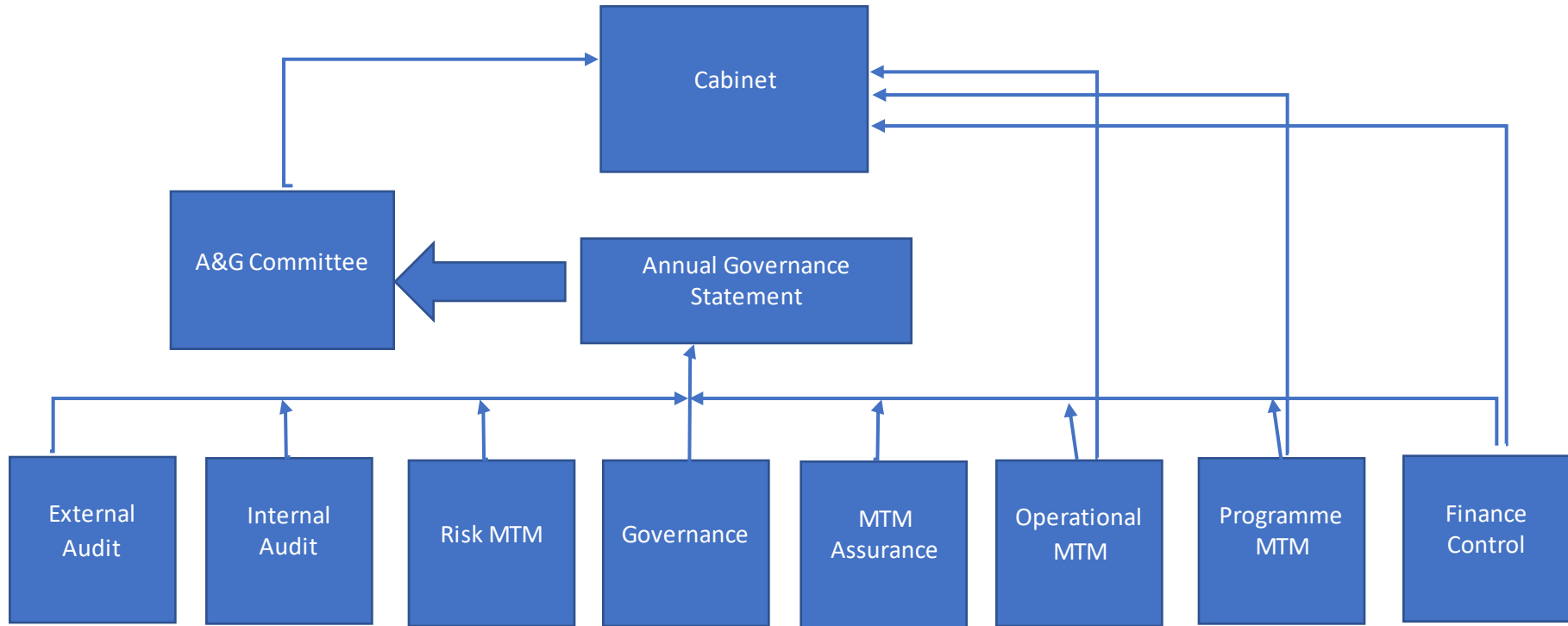


Sefton Assurance framework December 2021



External Audit	Internal Audit	Risk Management	Governance	Management Assurance	Operational Management	Programme Management	Financial Control
Annual External Audit Plan	Chief Internal Auditor's Opinion Report to A&G Committee	Risk Management handbook including Risk Management Strategy regularly reviewed by A&G Committee	Annual Governance Statement	Annual Assurance Statement from Heads of Paid Services, Executive Directors and Heads of Services,	Internal and External Reviews	Committee reporting	Medium Term Financial Plan
Report to those charged with Governance	Annual Internal Audit Plan reviewed by members	Regular report on the Corporate Risk Register to Audit and Governance Committee	Constitution and Key Policies		Action operated local KPIs	Framework for Change Programme Board	Annual Budget set by council
Scrutiny of reports at Audit and Governance Committee	Annual Internal Audit Plan aligned to Council risk register	Risk Management training to staff	Review on the progress of actions on the Strategic Governance Issues		Periodic progress reports	Framework for Change workstream boards (Demand Management, council of 2023, growth and strategic investment)	Robustness and adequacy of reserves report by s151 officer
Audit Opinion	Regular updates on the delivery of the Internal Audit Plan	Risk Management framework in place across the Council	Code of Governance review		Performance Management System		Budget monitoring conducted
Management Letter	Fraud investigations	Risk Appetite for the Council defined	Code of Finance Management		Scrutiny function		Monthly In year reporting to Cabinet and overview and Scrutiny Committee
Ad-hoc projects	Compliance testing	Strategic risks identified through Corporate Risk Register	Annual Report outlining the A&G activities presented to Committee and Cabinet		Ombudsmen reports		Annual accounts
	Periodic review of the effectiveness of Internal Audit		Assurance Statements from key suppliers and or Council owned entities where appropriate		Complaints and Compliments		Financial Procedure Rules
			Overview and Scrutiny Committee		Working Party reports		Schemes of Delegation
					Post implementation review of projects		Treasury Management Strategy and agreed Prudential indicators agreed by Council and monitored by A&G Committee
					Reports by inspectors/ inspections		

Action operated local KPIs – We are launching a standard performance dashboard for all services within the next two months.