ANNEX A

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	Organisational Knowledge		Audit	Committee Role and Fun	nctions		Piease rate your	
ID	Please rate your understanding of the governance structures of the local authority and its decision-making processes.	Please rate your knowledge of the organisational objectives and major functions of the authority.	Please rate your understanding of the audit committee's role and place within the authority's governance structures.	committee's terms of	Please rate your knowledge of the purpose of the audit committee.	Please rate your knowledge of the seven principles of the CIPFA/Solace Framework.	Please rate your understanding of the requirements of the Annual Governance Statement (AGS).	knowledge of how the principles of governance are implemented locally as set out in the local code of governance.
1	Some understanding	Some knowledge	Some understanding	Some familiarity	Some knowledge	Some knowledge	Some understanding	Some knowledge
2	Good understanding	Good knowledge	Good understanding	Good familiarity	Good knowledge	Good knowledge	Good understanding	Good knowledge
3	Some understanding	Some knowledge	Some understanding	Some familiarity	Good knowledge	Some knowledge	Some understanding	Some knowledge
4	Some understanding	Some knowledge	Some understanding	Some familiarity	Good knowledge	Some knowledge	Some understanding	Some knowledge
5	Good understanding	Good knowledge	Good understanding	Good familiarity	Good knowledge	Some knowledge	Good understanding	Some knowledge
6	No understanding	No knowledge	No understanding		Some knowledge	No knowledge	No understanding	No knowledge
7		Good knowledge	Some understanding	Some familiarity	Some knowledge	Some knowledge	Some understanding	Some knowledge
8	Good understanding	Good knowledge	Good understanding	Some familiarity	Good knowledge	Some knowledge	Some understanding	Some knowledge
9		Some knowledge	Good understanding	Good familiarity	Good knowledge	Some knowledge	Good understanding	Good knowledge
10	Good understanding	Good knowledge	Good understanding	Good familiarity	Good knowledge	Some knowledge	Some understanding	Good knowledge
11	Good understanding	Good knowledge	Good understanding	Good familiarity	Good knowledge	Some knowledge	Good understanding	Good knowledge
		Interna	al Audit			Financial Management		
ID	Please rate your awareness of the key principles of the Public Sector Internal Auditing Standards (PSIAS) and the Local Government Application Note (LGAN).	Please rate your knowledge of the arrangements for delivery of the internal audit service in the authority and how the role of the head of internal audit is fulfilled.	Please rate your understanding of the most recent external assessment and level of conformance with the PSIAS.	Please rate your understanding of internal audit's strategy, plan and most recent annual opinion.	Please rate your awareness of the financial statements that a local authority must produce and the principles it must follow to produce them.	Please rate your understanding of the good financial management principles set out in the FM Code, and the the level of the authority's compliance with it.	knowledge of how the organisation meets the requirements of the role of the CFO, as required by The Role of the Chief Financial Officer in Local Government (CIPFA, 2016).	Please rate your understanding of the principal financial risks the authority faces.
1	Some awareness	Some knowledge	Some understanding	Some knowledge	Some awareness	Some understanding	Some knowledge	Some understanding
2	Good awareness	Good knowledge	Good understanding	Good knowledge	Good awareness	Good understanding	Good knowledge	Good understanding
3	Some awareness	Some knowledge	Some understanding	Some knowledge	Some awareness	Some understanding	Some knowledge	Some understanding
4	Some awareness	Some knowledge	Some understanding	Some knowledge	Some awareness	Some understanding	Some knowledge	Some understanding
5	Good awareness	Good knowledge	Some understanding	Good knowledge	Good awareness	Some understanding	Some knowledge	Some understanding
6	No awareness	No knowledge	No understanding		No awareness	No understanding	No knowledge	Some understanding
7	No awareness	No knowledge	Some understanding	Some knowledge	Some awareness	Some understanding	Some knowledge	Some understanding
8		Some knowledge	Some understanding	Some knowledge	Some awareness	Some understanding	Good knowledge	Some understanding
9	Some awareness	Good knowledge	Some understanding		Good awareness	Good understanding	Some knowledge	Good understanding
10	Some awareness	Good knowledge	Some understanding	Good knowledge	Some awareness	Some understanding	Some knowledge	Good understanding
11	Some awareness	Good knowledge	Some understanding		Good awareness	Good understanding	Good knowledge	Good understanding

ANNEX A

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					Sk	ills				
	Professional accountancy qualification	Professional internal audit qualification	Risk management qualification	Practical experience of applying risk management	Knowledge of risks and opportunities associated with major activity areas	knowledge of specific	Direct experience of managing or working in a service area similar to that operated by the authority		Project management qualifications or knowledge of project management principles	Knowledge gained from management or development work in
D	Yes	No	No	No	Yes	No	No	No	No	Yes
	No	No	No No	No Yes		Yes		No Yes		No
					No		No		Yes	
•	No	No	No	No	No	No	No	Yes	No No	Yes
	No	No	No	No	No	No	No	No	No	No
	No	No	No	No	No	No	Yes	Yes	Yes	No
	No	No	No	No	No	No	No	No	No	No
	No	No	No	No	No	No	No	Yes	No	Yes
	No	No	No	No	No	No	No	No	No	No
	Yes	No	No	No	No	No	No	Yes	No	No
.0	No	No	No	Yes	Yes	No	No	Yes	No	No
.1	No	No	No	Yes	Yes	No	Yes	Yes	No	No
					oility					
	Focus on material	Frame questions that		Ensure there is a clear	Understand the	Support the use of	To confidently evaluate			
		draw out relevant facts		plan of action and	practical implications of	plain English in	information on the	effectively if required:		
	rather than being side	and explanations	while avoiding hostility		recommendations to	communications,	basis of evidence	summarising issues,		
	tracked by detail			responsibility	understand how they	avoiding acronyms,	presented, avoiding	promoting active		
D					might work in practice	jargon, etc.	bias or subjectivity	participation by all and focusing on the outcomes /actions from the meeting		
	Always	Always	Always	Always	Sometimes	Always	Always	Sometimes		
	Always	Always	Always	Always	Always	Always	Always	Always		
	Sometimes	Sometimes	Sometimes	Sometimes	Sometimes	Sometimes	Sometimes	Sometimes		
	Always	Sometimes	Always	Always	Always	Always	Always	Sometimes		
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