

## Work Plan 2021/22

		Extract from Committee Terms of Reference		
Agenda Item	Description	No	Detail	
<b>30<sup>th</sup> September 2021</b>				
External Audit Progress and Update Report (Mazars)	To consider an update report from Mazars in delivering their responsibilities as external auditors.	27	To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.	
Covid-19 Update	As requested by the Committee – update on the Council's response to Covid 19	2	The Committee receives reports and assurances from across the organisation. In doing so the Committee will consider the effectiveness of the arrangements described, identifying further information needed and/or making recommendations for improvements and additional action required. <i>Report received by Corporate Policy Committee, 7<sup>th</sup> September 2021</i>	
Draft Pre-Audit Statement of Accounts 2020/21	This item introduces the 2020/21 pre-audit statement of accounts to the Committee.  This starts the public inspection period and provides members with detail on the next steps to complete the approval of the accounts	26	To review and approve the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.	
Draft Annual Governance Statement 2020/21	This report introduces the draft 2020/21 Annual Governance Statement to the Committee for consideration and comment	6	To review and approve the Annual Governance Statement and consider whether it properly reflects the risk environment and supporting assurances, taking into account internal audit's opinion on the overall adequacy and effectiveness of the council's framework of governance, risk management and control, including an agreed action plan for improvements where necessary	

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Annual Information Governance Update 2020/21	This report provides an update on the Council's Information Governance arrangements during 2020/21.	5	To review the Council's corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
Internal Audit and Counter Fraud Annual Report (2020/21)	Annual opinion on the overall adequacy and effectiveness of the Council's control environment	19	Receive the annual report from the Head of Audit and Risk Management setting out internal activity during the year, and an opinion on the level of assurance as to the Council's arrangements for governance, risk management and internal control.
Upheld Complaints to the Local Government Ombudsmen	Members have requested that they receive a report where there is a complaint upheld by the Local Government Ombudsmen.	29	Subject to the requirements set out below, to consider all findings of the Local Government Ombudsman, including reports resulting in a finding of maladministration against the Council, and to make recommendations as to actions that may be necessary in connection with the Ombudsman's findings. (a) There are statutory obligations which will, in some circumstances, require reports to be taken to Cabinet or full Council. (b) The Ombudsman operates protocols in relation to the timing of the publication of findings. The Council would have to give consideration to those protocols when determining how to manage the Audit and Governance Committee's agenda.
Annual Monitoring Officer Report 2020/21	Annual Report of the Monitoring Officer 2020/21 including a review of the Council's whistleblowing policy and referrals during 2020/21	5	To review the Council's corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
Annual Risk Management Report 2020/21	Annual report on the effectiveness of risk management arrangements in the Council during 2020/21.	7	To consider the effectiveness of the system of risk management arrangements by receiving regular reports on the adequacy and effectiveness of the Council's risk

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			management and reporting arrangements and receive assurance that actions have been taken as necessary
Member Code of Conduct	Verbal update from the Director of Governance and Compliance and Chair of the Councillor Code of Conduct Working Group on progress on the Code.	32	The Committee is responsible for monitoring and advising Council about the operation of its Code of Conduct for Councillors in the light of best practice and any changes in the law.
Work Plan 2021/22	Forward looking programme of meetings and agenda items for 2021/22 to ensure comprehensive coverage of the Committee's responsibilities.	ALL	ALL
Contract Procedure Rule Non-Adherences (Part 1 and Part 2)	Report to update Committee on the quantity and reasons for Non-Adherences approved since the last Committee.	30	To oversee the operation of the Contract Procedure Rules and provide assurance in respect of procurement and significant partnerships or collaborations.
<b>25<sup>th</sup> November 2021</b>			
Annual Audit Letter 2020/21 (Mazars)	Summary of the External Audit findings from the 2020/21 audit. The letter will also confirm the final audit fee.	27	To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.
Certification Report	The report provides a summary of the key findings that have been identified during the External Auditors' certification process for 2020/21 claims and returns.	27	To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.
Audit and Governance Committee Annual Report 2021/22	Annual Report of the Chair of the Audit and Governance Committee for consideration and approval by	4	The Committee will report to full Council on a regular basis on the Committee's performance and effectiveness.

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Agenda Item	Description	No	Detail
	Committee ahead of presentation to Council.		
Risk Management Update	This report will update the Committee on Risk Management and Business Continuity activity in the Council.	7	To consider the effectiveness of the system of risk management arrangements by receiving regular reports on the adequacy and effectiveness of the Council's risk management and reporting arrangements and receive assurance that actions have been taken as necessary.
Internal Audit 2021/22 Plan Progress Update	Progress report against the Internal Audit Plan 2021/22	15	To consider reports from the Head of Audit and Risk Management on internal audit's performance during the year, including (a) updates on the delivery of the audit plan, including key findings, issues of concern and monitoring the actions taken in response to internal audit recommendations. (b) reports on Internal Audit's effectiveness and compliance it's Quality Assurance and Improvement Programme, including conformance with the Public Sector Internal Audit Standards, and the results of the external assessment review of Internal Audit when due.
Annual Statement of Accounts 2021/22	Approval of the Audited Statement of Accounts for 2021/22	26	To review and approve the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.
Annual Governance Statement 2020/21	Approval of the Annual Governance Statement 2020/21	6	To review and approve the Annual Governance Statement and consider whether it properly reflects the risk environment and supporting assurances, taking into account internal audit's opinion on the overall adequacy

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		Extract from Committee Terms of Reference	
Agenda Item	Description	No	Detail
			and effectiveness of the council's framework of governance, risk management and control, including an agreed action plan for improvements where necessary
Member Code of Conduct	To agree a revised Councillor Code of Conduct to be recommended for adoption by full Council	32	The Committee is responsible for monitoring and advising Council about the operation of its Code of Conduct for Councillors in the light of best practice and any changes in the law.
Hearing Sub Committee Findings	To receive a report on the outcome of Hearing Sub Committees	31	The Committee is responsible for the Council's standards arrangements to: (a) promote high standards of ethical behaviour. (b) develop, maintain and update Codes of Conduct and protocols (c) Training Audit and Governance Committee
Procurement of External Audit services	An update on the procurement of external audit services for opted-in bodies, to the national Sector Led Body Public Sector Audit Appointments Ltd (PSAA), for the period 2023/24 – 2027/28.	22	To oversee the process by which the Council's external auditor is appointed.
Covid-19 Update	As requested by the Committee – update on the Council's response to Covid 19	2	The Committee receives reports and assurances from across the organisation. In doing so the Committee will consider the effectiveness of the arrangements described, identifying further information needed and/or making recommendations for improvements and additional action required.
Work Plan 2021/22	Forward looking programme of meetings and agenda items for 2021/22 to ensure comprehensive coverage of the Committee's responsibilities.	ALL	ALL

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		Extract from Committee Terms of Reference	
Agenda Item	Description	No	Detail
Contract Procedure Rule Non-Adherences (Part 1 and Part 2)	Report to update Committee on the quantity and reasons for Non-Adherences approved since the last Committee.	30	To oversee the operation of the Contract Procedure Rules and provide assurance in respect of procurement and significant partnerships or collaborations.
<b>10<sup>th</sup> March 2022</b>			
External Audit Progress and Update Report (Mazars)	To receive an update from the Council's External Auditors in relation to the 2020/21- external audit report and other issues.	27	To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.
Members Code of Conduct Update Report	To review the operation of the revised Code of Conduct for Members.	32	The Committee is responsible for monitoring and advising Council about the operation of its Code of Conduct for Councillors in the light of best practice and any changes in the law.
Annual Governance Statement - Progress Update	Update on actions to improve governance arrangements and respond to emerging issues identified in the 2020/21 Annual Governance Statement. Proposed process for the production of the 2021/22 Annual Governance Statement.	5	To review the Council's corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
Risk Management Update	This report will update the Committee on Risk Management and Business Continuity activity in the Council.	7	To consider the effectiveness of the system of risk management arrangements by receiving regular reports on the adequacy and effectiveness of the Council's risk management and reporting arrangements and receive assurance that actions have been taken as necessary.

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		Extract from Committee Terms of Reference	
Agenda Item	Description	No	Detail
Internal Audit Plan 2021/22: Progress Report	To consider a summary of Internal Audit Work undertaken between September 2021 and December 2021.	15	To consider reports from the Head of Audit and Risk Management on internal audit's performance during the year, including (a) updates on the delivery of the audit plan, including key findings, issues of concern and monitoring the actions taken in response to internal audit recommendations. (b) reports on Internal Audit's effectiveness and compliance it's Quality Assurance and Improvement Programme, including conformance with the Public Sector Internal Audit Standards, and the results of the external assessment review of Internal Audit when due.
Work Plan 2021/22 and 2022/23	Forward looking programme of meetings and agenda items to ensure comprehensive coverage of the Committee's responsibilities.	ALL	ALL
Contract Procedure Rule Non-Adherences (Part 1 and Part 2)	Report to update Committee on the quantity and reasons for Non-Adherences approved since the last Committee.	30	To oversee the operation of the Contract Procedure Rules and provide assurance in respect of procurement and significant partnerships or collaborations.

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Agenda Item	Description	No	Detail
<b>Standing Item – for inclusion on the meeting agenda if required.</b>			
Upheld Complaints to the Local Government Ombudsmen (If required)	<p>Members have requested that they receive a report where there is a complaint upheld by the Local Government Ombudsmen.</p> <p>This will need to be a <u>standing agenda item</u>, and will require ongoing co-ordination between the Compliance Manager, Democratic Services, the responsible service and the Chair/Vice Chair to establish:</p> <ul style="list-style-type: none"> <li>• if there have been any upheld complaints to be reported on to the next agenda</li> <li>• the appropriate part of the agenda for the report to be considered</li> <li>• clarity on the purpose of the report, the nature of the assurances to be provided in the report, and that this process doesn't duplicate any existing process or reporting.</li> </ul>	29	<p>Subject to the requirements set out below, to consider all findings of the Local Government Ombudsman, including reports resulting in a finding of maladministration against the Council, and to make recommendations as to actions that may be necessary in connection with the Ombudsman's findings.</p> <p>(a) There are statutory obligations which will, in some circumstances, require reports to be taken to Cabinet or full Council.</p> <p>(b) The Ombudsman operates protocols in relation to the timing of the publication of findings. The Council would have to give consideration to those protocols when determining how to manage the Audit and Governance Committee's agenda.</p>



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Agenda Item	Description	No	Detail
<b>Unscheduled Items</b>			
Highways; allocation and use of funding	Requested by Members; a report on the allocation and use of Highways funding.  <i>This will be reviewed following the publication of the Scrutiny Task and Finish Flooding report.</i>	TBC	TBC
Partnerships Governance		11	To review the governance and assurance arrangements for significant partnerships or collaborations.