

**Audit & Governance Committee
Work Plan**

Committee Date/Agenda Item	Description
28 March 2013	
External Audit – Certification of Claims & Returns	The Committee considered a report which detailed the key findings identified during the External Auditor’s certification process for 2011/12 grant claims and returns.
External Audit Plan	The Committee considered the External Auditor’s plan which set out the work for the 2012/13 audit. It was agreed that that the emerging issues from the Audit Plan would be considered at the relevant Member/Officer groups.
Internal Audit Plan 13/14	The Committee approved the Internal Audit Plan for 2013/14 noting that when a more detailed audit plan became available, it would be shared with the specialist Member groups appointed by the Committee.
Audit Committee Self Assessment	The Committee considered a report on the results of a self-assessment of the effectiveness of the Audit and Governance Committee.
Whistleblowing Policy Update	The Committee considered a report which provided an update on the effectiveness of the Council’s Whistleblowing Policy and a breakdown of the number of reports received during 2012/13.
Risk Management Update Report	The Committee considered an update report on risk management.
Update on Programme and Project Management and Other Compliance Issues	The Committee received an update on programme and project management and other compliance issues.
Regulation of Investigative Powers Act (RIPA)	The Committee considered a report on the Council’s compliance with the Regulation of Investigatory Powers Act 2000.
Work Plan	The Committee considered the updated Work Plan.
27 June 2013	
External Audit – Progress Report 12/13	External Audit to report progress against their 12/13 Plan/emerging issues.
Draft Statement of Accounts 12/13	Overview of the key issues within the 12/13 Draft Statement of Accounts
Draft Annual Governance Statement (AGS) 12/13	Draft AGS 12/13 for comment/agreement; final version to be approved at September meeting.

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Committee Date/Agenda Item	Description
Internal Audit Annual Report 12/13	Opinion on the overall adequacy and effectiveness of the Council's control environment for 12/13
Corporate Risk Management Group Annual Report 12/13 & Risk Management Policy Review <i>including Risk Owner Mitigation Plan</i>	Annual Report of the Corporate Risk Management Group, an update of the Risk Management Policy and attendance by a Corporate Risk Owner to explain their mitigation plan (Commissioning and Services Delivery Chains). A copy of the Risk Register from the Welfare Reform Working Group is made available to the Committee.
Compliance with International Auditing Standards	To comply with International Auditing Standards, each year the Council's External Auditors are required to refresh their understanding of how the Audit and Governance Committee gain assurance over management processes and arrangements.
Update on Public Sector Internal Audit Standards (PSIAS) and Audit Charter NEW	To inform the Audit and Governance Committee of the new Public Sector Internal Audit Standards (PSIAS) which came into effect on 1 April 2013, note the implications and further actions necessary to meet compliance with the PSIAS, including the development of an Audit Charter.
Regulation of Investigatory Powers Act (RIPA) NEW	Update following the inspection from the Office of the Surveillance Commissioner outlining the Inspector's findings and recommendations.
Work Plan	Forward looking programme of meetings and agenda items to ensure comprehensive coverage of the Committee's responsibilities
26 Sept 2013	
External Audit – Audit Findings Report 12/13	Summary of findings from the 12/13 audit and key issues identified by External Audit in issuing their opinion on the Council's financial statements and its arrangements for securing economy, efficiency & effectiveness in the use of resources.
Financial Resilience Report NEW	A report from the Council's External Auditors
Annual Report 12/13	Annual Report of the Chair of the Audit & Governance Committee to Council

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Statement of Accounts 2012/13 Audited	Approval of the final 12/13 Financial Statements.
Final AGS 12/13	Final AGS 12/13 for approval.
Internal Audit Charter NEW	The Internal Audit Charter defines the internal audit activity's purpose, authority and responsibility.
Treasury Management Update Report	Update report on Treasury Management.
Risk Management Update Report <i>including Risk Owner Mitigation Plan</i>	Update report on Risk Management and attendance by a Corporate Risk Owner to explain their mitigation
Compliance with Contract Procedure Rules NEW	A report setting out the number of non-compliance instances in the previous period, broken down by Service, and a description of exceptional instances
Members Code Of Conduct – Complaints Update. NEW	Review of operation of arrangements and update on the number and outcome of complaints.
Work Plan	Forward looking programme of meetings and agenda items to ensure comprehensive coverage of the Committee's responsibilities.
28 Nov 2013	
External Audit – Annual Audit Letter 12/13	Summary of the External Audit findings from 12/13 audit.
External Audit update report and audit fee letter	To consider an update report from Grant Thornton in delivering their responsibilities as external auditors. The report will also specify the level of audit fees.
Internal Audit Interim Report	Progress report against the Internal Audit Plan 13/14.
Update on Governance Framework and Code of Corporate Governance, 12/13 Action Plan & 13/14 Process	Council's Governance Framework for discussion/agreement and approval of updates to Code of Corporate Governance. Progress to date on the 12/13 AGS Action Plan and suggested approach for the 13/14 AGS for approval.
Anti Fraud and Corruption Update	Periodic review of Anti Fraud and Corruption Policy and arrangements against best practice.
Annual Report of Corporate Complaints and Local Government Ombudsman's Annual Review 12/13	Summary of the complaints received by the Council and also those dealt with by the Local Government Ombudsman about the Council for 12/13.

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Committee Date/Agenda Item	Description
Work Plan	Forward looking programme of meetings and agenda items to ensure comprehensive coverage of the Committee's responsibilities.
30 Jan 2014	
Internal Audit Interim Report	Progress against the Internal Audit Plan 13/14.
Members Code of Conduct Complaints Update	Update on the number and outcome of complaints.
Treasury Management Strategy and MRP Statement 2014/15	The CIPFA Code of Practice on Treasury Management requires all local authorities to agree a Treasury Management Strategy Statement including an Investment Strategy annually in advance of the financial year. The strategy should incorporate the setting of the Council's prudential indicators for the three forthcoming financial years. The Treasury Management Strategy is also reported to Cabinet before being presented to Full Council for approval.
Data Protection and Freedom of Information Update	Update on Data Protection and Freedom of Information issues including volumes of requests and trends.
Compliance with International Auditing Standards 2013/14	To comply with International Auditing Standards, each year the Council's External Auditors are required to refresh their understanding of how the Audit and Governance Committee gain assurance over management processes and arrangements.
Risk Management Update Report <i>including Risk Owner Mitigation Plan</i>	Update report on Risk Management and attendance by a Corporate Risk Owner to explain their mitigation
Work Plan	Forward looking programme of meetings and agenda items to ensure comprehensive coverage of the Committee's responsibilities.
27 March 2014	
Compliance with Contract Procedure Rules	A report setting out the number of non-compliance instances in the previous period, broken down by Service, and a description of exceptional instances.
External Audit – Audit Plan 13/14	External Audit's planned work for the audit of financial statements and the value for money conclusion 13/14.

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Committee Date/Agenda Item	Description
External Audit – Certification of Claims & Returns	Annual report on the issues, amendments and qualifications arising from certification work of grant claims and returns.
Internal Audit Plan 13/14	Approval of risk based Internal Audit Plan for following year.
Audit Committee Self Assessment	Self assessment of the effectiveness of the Committee, which feeds into the AGS process.
Whistleblowing Policy	To provide the Committee with an update on the effectiveness of the Council's Whistleblowing Policy and a breakdown of the number of reports received during 2013/14
Risk Management Update Report <i>including Risk Owner Mitigation Plan</i>	Update report on Risk Management and attendance by a Corporate Risk Owner to explain their mitigation
Compliance with Regulation of Investigatory Powers Act (RIPA)	A report on the Council's compliance with the Regulation of Investigatory Powers Act.
Work Plan	Forward looking programme of meetings and agenda items to ensure comprehensive coverage of the Committee's responsibilities.
	<i>The following items may, subject to requirement, be presented to the Committee.</i>
Insurance NEW	The Committee is, where necessary, responsible for overseeing and agreeing the arrangements for Members to be indemnified for and insured against risks and liabilities arising from the performance of their duties as Members of the Council, and as the Council's representatives on outside bodies. To be included in a future Risk Management Update Report.
Anti Money Laundering	Consideration of any updates to the Anti Money Laundering Policy and assurance from management that measures are operating effectively.
Training for Standards Hearings NEW	Hearings training for panel members.