

AUDIT COMMITTEE
DRAFT WORK PROGRAMME 2017/18

| Meeting Date | Report Author | Report Details | Routine Work Programme/ Other? | Officer Providing Report | Comments: |
|-----------------------------------|--|---|--|--|--|
| 23rd June 2017 (AGM) | External Audit: Internal Audit: Finance: Legal: | Confirm Dates and Times of Meeting Update Report Audit Committee Annual Report to Full Council Internal Audit Annual Report Draft Annual Governance Statement Draft Statement of Accounts 2016/17 Member Standards items: Information Items: None | Routine Routine Routine Routine Routine Routine | Steve Gregory External Audit Lead Head of Internal Audit Head of Internal Audit Head of Internal Audit Service Director - Finance | Note: suggested timing re June 2018 |
| 20th July 2017 9.30am | Proposed Training: External Audit: Internal Audit: Legal | Improving Audit Committee Effectiveness Workshop Update Report Terms of Reference for Peer Review of Internal Audit Service Internal Audit Update (snapshot report and plan update) External Auditor Appointment Process Update Member Standards items: DBS Check Requirements for Members. Information Items: None | Training Routine Routine Routine Ad hoc Requested | Head of Internal Audit External Audit Lead Head of Internal Audit Head of Internal Audit Head of Internal Audit Legal and Democratic Services | |
| 21st September 2017 2.00pm | Proposed Training: Internal Audit Finance External Audit Corporate Internal Audit Internal Audit Internal Audit Finance Finance Legal Internal Audit | Risk Workshop - The Committee's role and where it needs Assurance Final Annual Governance Statement 2016/17 Final Statement of Accounts 2016/17 ISO 260 Report Bundred Report and Annual Governance Statement Tracker Risk Management Policy Update Corporate Risk Register Update Internal Audit Activity Report Treasury Management Annual Report 2016/17 External Auditor Appointment Process Update DBS Policy Audit Committee Annual Report - Addendum | Training Routine Routine Routine Routine Routine Routine Routine Ad hoc Ad hoc Ad hoc | Internal Audit Service Director: Finance/ Head of Internal Audit Service Director - Finance External Auditor Lead Strategic Director Resources / Service Director Finance Head of Internal Audit Head of Internal Audit Head of Internal Audit Service Director Finance Service Director Finance/ Head of Internal Audit Head of Internal Audit | A Refresh on the Audit Committee's role with regards to Risk Management, and to explore whether greater assurance is required. |

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|--------------------|---------------------------|---|--|---|---|
| | Legal | Member Standards items: Information Items: <i>Ombudsman Letter</i> | | | |
| 23rd November 2017 | Planned Training: | Governance Workshop, including the role of Audit (Both Internal & External - What the Committee need in terms of Assurance) | Training | Internal Audit | To explore the Role of the Internal and External Audit Function and the assurance they can give the Committee |
| 2.00pm | External Audit | Annual Audit Letter | Routine | External Audit Lead | |
| | Internal Audit | Internal Audit Half-Year Activity Report Internal Audit - Half-Year Investigation Update Report including, CIPFA Code of Practice on Managing the Risk of Fraud and Corruption Internal Audit Quality Assurance and Improvement Plan Internal Audit Charter & Strategy Refresh | Routine Routine | Head of Internal Audit Head of Internal Audit | |
| | Corporate | Bundred Report and Annual Governance Statement Tracker Corporate Risk Register - Update | Routine Routine | Head of Internal Audit Head of Internal Audit Strategic Director Resources / Service Director Finance | |
| | Finance: | Treasury Management Half Year Report | Routine | Strategic Director Resources / Service Director Finance | |
| | Legal | Member Standards items: Information Items: | | Service Director Finance | |
| 25th January 2018 | Proposed Training: | Commissioning and Partnership Governance (What the Committee need in terms of Assurance) | Training | Internal Audit to facilitate, with input from Procurement & Commissioning | To provide the Committee with an understanding of the partnership and commissioning governance within the Council, and the role the Committee play in providing Assurance |
| 2.00pm | External Audit: | Grants Audit Report | Routine | External Audit Lead | |
| | Internal Audit: | Results of Peer Review of Internal Audit Service (Deferred to March 2018) Code of Governance Update and Re-design (Draft) Draft Revised Terms of Reference for the Audit Committee Progress report on Council's readiness for General Data Protection Regulations | Routine Ad-Hoc Senior Information Risk Owner | Head of Internal Audit Interim Chief Internal Auditor | Results from the Peer Review will not be received within required meeting timeframe. |
| | SIRO | | | | |
| | Corporate | Bundred Report and Annual Governance Statement Tracker | Routine | Strategic Director Resources / Service Director Finance | |
| | Legal | Member Standards items: Budget Dispensations Information Items: | Routine | Service Director: Legal | |
| 29th March 2018 | Proposed Training: | 1.30pm Audit Committee Effectiveness Workshop | Training | Interim Chief Internal Audit/Head of Internal Audit | To equip the Committee with an understanding of the Accounts and the areas where it requires assurance |
| 2.00pm | Corporate | Bundred Report and Annual Governance Statement Tracker | | Strategic Director Resources / Service Director Finance | |

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|---------------|---------------------------|---|---|--|---|
| | External Audit | Audit Approach and Planning Letter | Routine | External Audit Lead | |
| | Internal Audit | Draft Annual Plan 2018/19 Annual Whistleblowing Review Results of Peer Review of Internal Audit Service (Deferred from January 2018) Internal Audit Activity Report | Routine Routine Required Routine | Head of Internal Audit Head of Internal Audit Head of Internal Audit Head of Internal Audit | |
| | Other | GDPR Update | Routine | Senior Information Risk Owner | |
| | Legal | Member Standards items: Information Items: | | | |
| 24th May 2018 | Proposed Training: | Statement of Accounts - including Financial Governance and what the Committee needs in terms of Assurance.Value for Money Assurance - What the Committee needs! | Training | Finance/Internal Audit to facilitate | To explore the ways in which the Audit Committee can provide assurance in terms of Value for Money in the Council |
| 2.00pm | External Audit | Update Report | Routine | External Audit Lead | |
| | Internal Audit | Internal Audit Annual Report for 2017/18 Draft Annual Governance Statement 2017/18 Annual Fraud Update and Policy Review Audit Committee Annual Report to Full Council (Draft) | Routine Routine Routine Routine | Head of Internal Audit Head of Internal Audit Head of Internal Audit Head of Internal Audit | |
| | Finance | Draft Statement of Accounts 2017/18 Accounting Policies Corporate Risk Register Update | Routine Routine Routine | Service Director - Finance Service Director - Finance | |
| | Legal | Member Standards items: Local Government Ethical Standards Consultation Response DBS Checks for Councillors - Proposed Policy Information Items: | One Off One Off | Service Manager - Legal Service Manager - Legal | |