

**Audit and Governance Work Programme
2017/18**

| Function area | Report | Purpose |
|------------------------------------|---|--|
| September 2017 | | |
| Governance (Quarterly) | Corporate risk register | To consider the quarterly status of the council's corporate risk register in order to monitor the effectiveness of the performance, risk and opportunity management framework. |
| Internal audit | Progress report on 2017/18 internal audit plan | To update members on the progress of internal audit work and to bring to their attention any key internal control issues arising from work recently completed. |
| Internal audit (Annual) | SWAP annual report | To consider SWAP's annual report and opinion, and a summary of the internal audit activity and the level of assurance it can give over the council's corporate governance arrangements |
| Accounts (annual) | Signing of accounts | To approve the statement of account and includes the signing of the letter of representation |
| External audit | External auditor report | Presentation of the Audit Findings Report for consideration by the Committee before approval of the statutory accounts. The report will contain the external audit draft opinion on the accounts, draft value for money conclusion and a summary of the key findings for the 2016/17 financial year. |
| Governance (annual) | Statement on Internal Control | Review the council's Statement of Internal Control and recommend its adoption to council |
| External audit (Every three years) | Appointment of the Council's local (external) auditor | To recommend the appointment of the council's local (external) auditor to council. |
| Governance | Blue School House | To consider a report on Blue School House |
| Governance (every meeting) | Work programme | To note the current work programme of the committee |
| November 2017 | | |
| External audit (annual) | Annual audit letter | To review the annual audit letter |
| External audit | External auditor report | To note the timetable for completion of the 2017/18 audit; 2016/17 audit cycle and current issues update. |

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| Internal audit | Progress report on 2017/18 internal audit plan | To update members on the progress of internal audit work and to bring to their attention any key internal control issues arising from work recently completed. |
| Governance (annual) | Raising Concerns at Work policy | To review and approve, if necessary, any changes to the policy. |
| Governance (annual) | Information governance review | To review the council's information governance requirements to include all complaints (inc. children's social care), information requests, breaches of Data Protection Act, corporate governance and Regulation of Investigatory Act. |
| Internal audit (Bi-annual) | Internal tracking of audit recommendations | Monitor implementation of action plans agreed in response to recommendations made by internal audit |
| Internal/external audit (annual) | Review of performance of internal and external audit | <ul style="list-style-type: none"> • To consider a report dealing with the management and performance of the providers of internal audit services • Ensure that there are effective relationships between external and internal audit and that the value of the combined internal and external audit process is maximised. |
| Governance | Arrangements for reviewing the constitution | <ul style="list-style-type: none"> • Recommendation for reviewing the constitution. |
| Governance (as and when there are working groups) | Working group update | To provide an update |
| Governance (every meeting) | Work programme | To note the current work programme of the committee |
| January 2018 | | |
| External audit | Grant Certification Letter | <ul style="list-style-type: none"> • Report on grant claims completed in 2016/17 plus update on fees |
| External audit | External auditor report | <ul style="list-style-type: none"> • Timetable for completion of 2017/18 and current issues update. |
| Governance (Annual) | Annual governance statement progress | <ul style="list-style-type: none"> • Review of the effectiveness of the council's governance process and system of internal control. |

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| Governance (Annual) | Constitution Review | <ul style="list-style-type: none"> Update on the progress of the annual governance statement Conduct an overview of the council's constitution and recommendation to council of any changes |
| Governance (Annual) | Code of Conduct Review and complaints | <ul style="list-style-type: none"> Review the code of conduct and recommend any changes to the code to council Review code of conduct complaints |
| Governance (Annual) | Contract procedure rules, finance procedure rules and the anti-fraud and corruption strategy | Review of procedure rules/strategy and approve any amendments to the rules. |
| Governance (as and when there are working groups) | Working group update | To provide an update. |
| Governance (Quarterly) | Corporate risk register | To consider the quarterly status of the council's corporate risk register in order to monitor the effectiveness of the performance, risk and opportunity management framework. |
| Governance (every meeting) | Work programme | To note the current work programme of the committee |
| March 2018 | | |
| External audit (Annual) | External auditors annual plan | Review and agree the external auditors annual plan, including the annual audit fee and annual letter. |
| External audit | Informing the risk assessment | Report setting out risks and council's approach to managing risks in key areas. |
| External audit | External auditor report | Timetable for completion of 2017/18 and current issues update. |
| Internal audit (Annual) | Internal audit plan for 2018/19 | To consider the internal audit plan for 2018/19. |
| Internal audit | Progress report on 2017/18 internal audit plan | To update members on the progress of internal audit work and to bring to their attention any key internal control issues arising from work recently completed. |
| Governance (as and when there are working groups) | Working Group Update | To note progress of the working group |
| Governance (Bi-annual) | Internal tracking of audit recommendations | Monitor implementation of action plans agreed in response to |

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| Governance (Annual) Governance (Quarterly) | Future work programme for 2018/19 Corporate risk register | recommendations made by internal audit To note the work programme for 2018/19. To consider the quarterly status of the council's corporate risk register in order to monitor the effectiveness of the performance, risk and opportunity management framework. |