

**Audit and Governance Work Programme
2019/20**

Function area	Report	Purpose
July 2019		
Governance	Annual governance statement	To approve the annual governance statement
Accounts (Annual)	Statement of account	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 financial year.
Internal audit (Annual)	SWAP Internal audit annual opinion 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
Governance (Annual)	University Report	To act as the accountability body for the Department for Education funding for the University
Governance (Annual)	Accounting policies update	To approve any amendments to the accounting policies
Internal audit	Progress report on 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 (every meeting)	Work programme	To note the current work programme of the committee
September 2019		
Code of conduct (Annual)	Code of Conduct complaints	To receive the annual code of conduct report
Internal audit	Annual Report Progress report on 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
Waste contract (Annual)	Energy from waste (EFW) Loan Update	To provide assurance to the audit and governance committee on the status of the

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Governance	NMiTE update report	energy from waste (EfW) loan arrangement. To provide the committee with a progress update report (requested at meeting held on 30 July 2019)
Governance (every meeting)	Work programme	To note the current work programme of the committee
November 2019		
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.
External audit (annual)	Annual audit letter	To review the annual audit letter
Governance (Every two years)	Anti-fraud and corruption strategy	To maintain an overview and approve changes to the strategy
Governance	Biennial review of constitution	To agree the arrangements for the review of the Constitution due in 2020.
Governance (six monthly)	Corporate risk register	To consider the status of the council's corporate risk register in order to monitor the effectiveness of the performance, risk and opportunity management framework
Internal and external audit (Six monthly)	Tracking of internal and external audit recommendations	To monitor implementation of action plans agreed in response to recommendations made by internal and external audit
Governance (every meeting)	Work programme	To note the current work programme of the committee
January 2020		
Internal audit	Progress report on 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)	Annual governance statement progress	Review of the effectiveness of the council's governance process and system of internal control. Update on the progress of the annual governance statement

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External audit	Annual Certification Letter	Report on the grant claims completed in 2017/18 plus an update on fees.
External audit (Annual)	External auditors annual plan	Review and agree the external auditors annual plan, including the annual audit fee and annual letter.
Governance (Annual)	Contract procedure rules, finance procedure rules	Review of procedure rules and approve any amendments to the rules.
Internal and external audit (Every six months)	Tracking of internal and external audit recommendations	Monitor implementation of action plans agreed in response to recommendations made by internal and external audit
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 2020		
External audit	External audit progress update	Update on progress to date in order to comment on the scope and depth of external audit work and ensure that it gives value for money and includes interim audit findings and the informing the risk assessment document.
Internal audit (Annual)	Internal audit plan for 2020/21	To consider the internal audit plan for 2020/21.
Internal audit	Progress report on 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)	Internal audit charter	To approve the internal audit charter
Code of Conduct	Remuneration of independent persons	To consider whether or not the appointed independent persons should be remunerated
Governance (Annual)	Future work programme for 2020/21	To note the work programme for 2020/2021.