

**Audit and Governance Work Programme
2018/19**

Function area	Report	Purpose
May 2018		
Governance (annual) Internal audit	Annual governance statement Progress report on 2017/18 internal audit plan	To consider the draft annual governance statement. 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 (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 (Q3)
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.
Governance	Capital project management and control internal audit progress update	To update the committee on progress in implementing the recommendations relating to capital project management and control raised in the Internal Auditors audit findings report regarding the joint customer services hub (Blueschool House) capital project presented in September 2017.
Governance (annual)	Annual review of the constitution	To approve recommendations to be made to full Council in connection with changes to the constitution
Governance (as and when there are working groups)	Working group update	To consider updates from working groups.
Governance (every meeting)	Work programme	To note the current work programme of the committee
July 2018		
Governance (quarterly)	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 (Q4/end of year)
Accounts (Annual)	Statement of account	To approve the statement of account and includes the signing of the letter of representation

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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.
Waste contract (Annual)	Energy from waste (EFW) Loan Update	To provide assurance to the audit and governance committee on the status of the energy from waste (EFW) loan arrangement.
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
Internal audit (bi-annual)	Internal tracking of audit recommendations	To monitor implementation of action plans agreed in response to recommendations made by internal audit
Governance	Capital project management and control internal audit progress update	To update the committee on progress in implementing the recommendations relating to capital project management and control raised in the Internal Auditors audit findings report regarding the joint customer services hub (Blueschool House) capital project presented in September 2017.
Governance (every meeting)	Work programme	To note the current work programme of the committee
September 2018		
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 (Q1)
Governance (Annual)	Arrangements for conducting the annual review of the Constitution	To agree the arrangements for conducting the annual review of the constitution
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

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Governance (as and when there are working groups)	Working group update	key internal control issues arising from work recently completed. To provide an update and the work of the two working groups.
External audit (annual)	Annual audit letter	To review the annual audit letter
Governance (Annual)	Code of Conduct complaints Annual Report	To receive the code of conduct complaints annual report
Governance	Capital project management and control internal audit progress update	To update the committee on progress in implementing the recommendations relating to capital project management and control raised in the Internal Auditors audit findings report regarding the joint customer services hub (Blueschool House) capital project presented in September 2017.
Governance (every meeting)	Work programme	To note the current work programme of the committee
November 2018		
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)	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.
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 2019		
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. Update on the progress of the annual governance statement
Governance (Annual)	Constitution Review	Conduct an overview of the council's constitution and

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External audit	Annual Certification Letter	recommendation to council of any changes 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 and the anti-fraud and corruption strategy	Review of procedure rules/strategy and approve any amendments to the rules.
Internal audit (Bi-annual)	Internal tracking of audit recommendations	Monitor implementation of action plans agreed in response to recommendations made by internal audit
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 (Q2).
Governance	Capital project management and control internal audit progress update	To update the committee on progress in implementing the recommendations relating to capital project management and control raised in the Internal Auditors audit findings report regarding the joint customer services hub (Blueschool House) capital project presented in September 2017.
Governance (every meeting)	Work programme	To note the current work programme of the committee
March 2019		
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 2019/20	To consider the internal audit plan for 2019/20.
Internal audit	Progress report on 2018/19 internal audit plan	To update members on the progress of internal audit work

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<p>Internal audit (annual)</p> <p>Governance (as and when there are working groups)</p> <p>Governance</p>	<p>Internal audit charter</p> <p>Working Group Update</p> <p>Capital project management and control internal audit progress update</p>	<p>and to bring to their attention any key internal control issues arising from work recently completed.</p> <p>To approve the internal audit charter</p> <p>To note progress of the working group</p> <p>To update the committee on progress in implementing the recommendations relating to capital project management and control raised in the Internal Auditors audit findings report regarding the joint customer services hub (Blueschool House) capital project presented in September 2017.</p>
<p>Governance (Annual)</p>	<p>Future work programme for 2019/20</p>	<p>To note the work programme for 2019/20.</p>