

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

| Function area                   | Report  | Purpose  |
|---------------------------------|---|--|
| <b>July 2019</b>                |   |  |
| Governance                      | Annual governance statement                         | To approve the annual governance statement   |
| Accounts<br>(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<br>(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<br>(Annual)          | University Report                                   | To act as the accountability body for the Department for Education funding for the University  |
| Governance<br>(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<br>(every meeting)   | Work programme                                      | To note the current work programme of the committee  |
| <b>September 2019</b>           |   |  |
| Code of conduct<br>(Annual)     | Code of Conduct complaints                          | To receive the annual code of conduct report   |
| Governance<br>(Every two years) | Annual Report<br>Anti-fraud and corruption strategy | To maintain an overview and approve changes to the strategy  |
| 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  |

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| External audit (annual)                   | Annual audit letter   | To review the annual audit letter   |
| Governance                                | Biennial review of constitution   | To agree the arrangements for the review of the Constitution due in 2020.   |
| 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.   |
| 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 (Q4/end of year)  |
| 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 two years)              | Updates to anti-fraud, bribery, corruption and anti-money laundering policies | To maintain an overview and approve any changes   |
| Governance (every meeting)                | Work programme  | To note the current work programme of the committee   |
| <b>November 2019</b>                      |   |   |
| 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 (every meeting)                | Work programme  | To note the current work programme of the committee   |
| <b>January 2020</b>                       |   |   |
| 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.<br>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 (Q2).                                       |
| Governance (every meeting)                     | Work programme  | To note the current work programme of the committee   |
| <b>March 2020</b>                              |   |   |
| 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.   |