

**Audit and Governance Work Programme
2020/21**

Function area	Report	Purpose
May 2020		
External audit 3.5.11 (a)	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.
External audit 3.5.11(a)	Annual audit fee letter	To note the annual audit fee
Internal audit (Annual)	Internal audit plan for 2020/21	To consider the internal audit plan for 2020/21.
Internal audit (annual)	Internal audit charter	To approve the internal audit charter
Governance	NMiTE update report	To provide the committee with a progress update report
Code of Conduct	Remuneration of independent persons	To consider whether or not the appointed independent persons should be remunerated
Governance	Work programme	To comment on the 2020/21 work programme
June 2020 [NEW MEETING PROPOSED]		
Governance 3.5.12 (c)	Whistleblowing policy	To review and approve the whistleblowing policy
Internal and external audit 3.5.10 (d)	Tracking of internal and external audit recommendations	Monitor implementation of action plans agreed in response to recommendations made by internal and external audit
Governance 3.5.12 (b)	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 audit 3.5.10 (b)	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 3.5.12 (a)	Health and Wellbeing Board Review and suggested amendment to the constitution	To consider recommending changes to the constitution to council in relation to the Health and Wellbeing Board
Governance	Work programme	To note the current work programme of the committee
July 2020		
Waste contract 3.5.13	Energy from waste (EFW) Loan Update	To provide assurance to the audit and governance

**Audit and Governance Work Programme
2020/21**

Function area	Report	Purpose
External audit 3.5.11 (a)	External audit progress update	committee on the status of the energy from waste (EfW) loan arrangement. 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.
Internal audit 3.5.10 (a)	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
Internal audit 3.5.10 (b)	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	Work programme	To note the current work programme of the committee
September 2020		
External audit 3.5.11 (a)	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.
Internal audit 3.5.10 (b)	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 3.5.12 (e)	Annual governance statement	To consider the draft annual governance statement.
Code of conduct 3.5.14	Code of Conduct complaints	To receive the annual code of conduct report
Governance 3.5.12 (a)	Annual Report Re-thinking Governance (Constitution review)	To make recommendations to Council on the governance model.
Governance	Work programme	To note the current work programme of the committee
October 2020 [NEW MEETING PROPOSED]		
External audit 3.5.11 (a)	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

**Audit and Governance Work Programme
2020/21**

Function area	Report	Purpose
Internal audit 3.5.10 (b)	Progress report on internal audit plan	value for money and includes interim audit findings. 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 3.5.12 (b)	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 3.5.10 (e)	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 3.5.12 (c)	Anti-fraud and corruption strategy	To receive an update on the anti-fraud and corruption strategy.
Governance 3.5.12 (g)	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	Work programme	To note the current work programme of the committee
November 2020		
Accounts 3.5.15	Statement of account	To approve the statement of account and includes the signing of the letter of representation
Accounts 3.5.15	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.

**Audit and Governance Work Programme
2020/21**

Function area	Report	Purpose
Governance	Accounting policies update	To approve any amendments to the accounting policies, if needed
Governance 3.5.12 (h)	Annual governance statement	To approve the annual governance statement
Internal audit 3.5.10 (b)	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	Work programme	To note the current work programme of the committee
January 2021		
External audit 3.5.1 (a)	Annual audit letter	To review the annual audit letter
Internal audit 3.5.10 (b)	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
External audit 3.5.11 (a)	External auditors annual plan	Review and agree the external auditors annual plan, including the annual audit fee and annual letter.
Governance 3.5.12 (a)	Contract procedure rules, finance procedure rules	Review of procedure rules and approve any amendments to the rules.
Governance	Work programme	To note the current work programme of the committee
March 2021		
Governance 3.5.12 (e) and (f)	Annual governance statement progress	Review of the effectiveness of the council's governance process and system of internal control.
Governance 3.5.12 (b)	Corporate risk register	Update on the progress of the annual governance statement 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 3.5.10 (e)	Tracking of internal and external audit recommendations	To monitor implementation of action plans agreed in response to recommendations made by internal and external audit
External audit 3.5.11 (a)	External audit progress update	Update on progress to date in order to comment on the scope

**Audit and Governance Work Programme
2020/21**

Function area	Report	Purpose
Internal audit 3.5.10 (a)	Internal audit plan for 2021/22 and internal audit charter	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. To consider the internal audit plan for 2020/21 and approve the internal audit charter.
Internal audit 3.5.10 (a)	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	Future work programme for 2021/22	To note the work programme for 2021/22.