

AUDIT AND GOVERNANCE COMMITTEE WORK PROGRAMME

Committee Date: 23 September 2020			
Agenda Item	Overview of Agenda Item	Lead Officer	Has agenda item previously been deferred? Details and date of deferment required
External Auditors' Progress Report	To consider the external auditors' report on progress against planned outputs.	External Auditors.	Yes – moved from 25 March 2020 (meeting cancelled) due to impact of COVID-19.
External Auditors' Fee Letters 2020/21	To consider the external auditors' fee letter in relation to the audit work to be undertaken during 2020/21.	External Auditors. Head of Finance and Asset Management.	Yes – moved from 29 July 2020. Revised approach now requires Head of Finance and Asset Management to present rather than external auditors.
Regulation of Investigatory Powers / Investigatory Powers Act Policies	To recommend to the Executive Committee that the Regulation of Investigatory Powers Act 2000 Surveillance and Covert Human Intelligence Source Policy and the Investigatory Powers Act 2016 Acquisition of Communications Data Policy be approved and to delegate authority to the Borough Solicitor to approve future minor amendments in consultation with the Counter Fraud Manager and the Lead Member for Corporate Governance.	Counter Fraud Unit / Borough Solicitor	Yes – moved from 23 March 2020 (meeting cancelled) due to impact of COVID-19.
Internal Audit Six Month Plan 2020/21	To approve the Internal Audit Six Month Plan 2020/21 (Oct-Mar).	Head of Corporate Services.	No.

NB – Changes from previous work programme highlighted in bold

Committee Date: 23 September 2020

Agenda Item	Overview of Agenda Item	Lead Officer	Has agenda item previously been deferred? Details and date of deferment required
Monitoring of Significant Governance Issues	To consider the monitoring report on the Significant Governance Issues identified in the Annual Governance Statement and to review progress against the actions.	Borough Solicitor.	No.
Corporate Risk Register	To consider the risks contained within the Corporate Risk Register and assurance that the risks are being effectively managed.	Head of Corporate Services.	No.
Audit and Governance Committee Annual Report 2018/19	To approve the Audit and Governance Committee Annual Report 2019/20.	Head of Corporate Services.	Yes – moved from 29 July 2020 due to impact of COVID-19.

NB – Changes from previous work programme highlighted in bold

Committee Date: 4 November 2020 – ADDITIONAL MEETING			
Agenda Item	Overview of Agenda Item	Lead Officer	Has agenda item previously been deferred? Details and date of deferment required
External Auditor’s Audit Findings	To consider the external auditors’ Audit Findings 2019/20.	External Auditors.	Yes – moved from 23 September 2020 due to impact of COVID-19.
Letter of Representation	To consider the S151 Officer’s Letter of Representation on the closure of the accounts for the year ended 31 March 2020.	Head of Finance and Asset Management	Yes – moved from 29 July 2020 due to impact of COVID-19.
Statement of Accounts 2019/20	To approve the Statement of Accounts 2019/20.	Head of Finance and Asset Management.	Yes – moved from 29 July 2020 due to impact of COVID-19.
Annual Governance Statement 2019/20	To approve the Annual Governance Statement 2019/20.	Borough Solicitor.	Yes – moved from 29 July 2020 due to impact of COVID-19 (Approved at the same time as the Statement of Accounts).
Internal Audit Annual Report 2019/20	To consider the Internal Audit Annual Report 2019/20 and the assurance from the work undertaken during the year on the level of internal control within the systems audited during the year.	Head of Corporate Services.	Yes – moved from 29 July 2020 due to impact of COVID-19 (overall opinion feeds into Annual Governance Statement).
Internal Audit Plan Monitoring Report	To consider the Internal Audit work undertaken and the assurance given on the adequacy of internal controls operating in the systems audited.	Head of Corporate Services.	Yes – moved from 23 September 2020 due to impact of COVID-19.

NB – Changes from previous work programme highlighted in bold

Committee Date: 4 November 2020 – ADDITIONAL MEETING

Agenda Item	Overview of Agenda Item	Lead Officer	Has agenda item previously been deferred? Details and date of deferment required
Money Laundering Policy	To consider the policy and recommend to Executive Committee that it be approved.	Head of Finance and Asset Management / Counter Fraud Manager.	Yes – moved from 29 July 2020. Postponed due to impact of COVID-19 on resource availability.
Annual Update on Council's Safeguarding Arrangements	Annual report to give assurance as to the level of the Council's compliance with its safeguarding duty.	Head of Community Services.	Yes – moved from 29 July 2020. Postponed due to impact of COVID-19 on resource availability.
Food Standards Agency Audit	To consider the findings of the Food Standards Agency.	Head of Community Services	Yes – moved from 29 July 2020. Postponed due to impact of COVID-19 on resource availability.

NB – Changes from previous work programme highlighted in bold

Committee Date: 16 December 2020			
Agenda Item	Overview of Agenda Item	Lead Officer	Has agenda item previously been deferred? Details and date of deferment required
External Auditor's Progress Report	To consider the external auditors' report on progress against planned outputs.	External Auditors.	No.
Annual Audit Letter 2019/20	To consider the external auditors' Audit Letter 2019/20.	External Auditors.	Yes – moved from 23 September 2020 due to impact of COVID-19.
Internal Audit Plan Monitoring Report	To consider the Internal Audit work undertaken and the assurance given on the adequacy of internal controls operating in the systems audited.	Head of Corporate Services.	No.
Monitoring of Significant Governance Issues	To consider the monitoring report on the Significant Governance Issues identified in the Annual Governance Statement and to review progress against the actions.	Borough Solicitor.	No.
Counter Fraud Unit Update	To consider the six monthly update from the Counter Fraud Unit.	Head of Finance and Asset Management / Counter Fraud Manager.	No.
Annual Report on Health and Safety Activities	To consider the adequacy of the Council's health and safety arrangements.	Head of Community Services.	Yes – moved from 23 September 2020 due to impact of COVID-19.

NB – Changes from previous work programme highlighted in bold

Committee Date: 16 December 2020

Agenda Item	Overview of Agenda Item	Lead Officer	Has agenda item previously been deferred? Details and date of deferment required
Corporate Risk Register	To consider the risks contained within the Corporate Risk Register and assurance that the risks are being effectively managed.	Head of Corporate Services.	No.

NB – Changes from previous work programme highlighted in bold

Committee Date: 24 March 2021			
Agenda Item	Overview of Agenda Item	Lead Officer	Has agenda item previously been deferred? Details and date of deferment required
Local Authority Serious and Organised Crime Checklist	To consider progress made against the action plan.	Head of Finance and Asset Management / Counter Fraud.	No.
External Auditor's Progress Report	To consider the external auditors' report on progress against planned outputs.	External Auditors.	No.
External Auditor's Audit Plan 2020/19	To consider the external auditors' Audit Plan 2020/19.	External Auditors.	No.
Statement of Accounting Policies	To approve the accounting policies to be used during the 2020/21 closedown.	Finance Manager.	No.
Internal Audit Plan Monitoring Report	To consider the Internal Audit work undertaken and the assurance given on the adequacy of internal controls operating in the systems audited.	Head of Corporate Services.	No.
Internal Audit Six Month Plan 2021/22	To approve the Internal Audit Six Month Plan 2021/22 (Apr-Sept).	Head of Corporate Services.	No.
Monitoring of Significant Governance Issues	To consider the monitoring report on the Significant Governance Issues identified in the Annual Governance Statement and to review progress against the actions.	Borough Solicitor.	No.
Annual Update on Council's Safeguarding Arrangements	Annual report to give assurance as to the level of the Council's compliance with its safeguarding duty.	Head of Community Services.	No – Latest update rescheduled for 4 November 2020. Will need to be reprogrammed for 2021/22.

NB – Changes from previous work programme highlighted in bold

Committee Date: 24 March 2021			
Agenda Item	Overview of Agenda Item	Lead Officer	Has agenda item previously been deferred? Details and date of deferment required
Internal Audit Quality Assurance and Improvement Programme	To consider the annual update on the Internal Audit Quality Assurance and Improvement Programme.	Head of Corporate Services.	Yes – moved from 29 July 2020 meeting as quality assurance and improvement programme but back to March 2021 due to impact of COVID-19.
Corporate Risk Register	To consider the risks contained within the Corporate Risk Register and assurance that the risks are being effectively managed.	Head of Corporate Services.	No.

OTHER ITEMS			
Agenda Item	Overview of Agenda Item	Lead Officer	Comments

NB – Changes from previous work programme highlighted in bold