

# Audit and Governance Committee Work Programme

## Forward Plan

Chairman: Cllr Trevor Jones  
Vice Chairman: Cllr Kate Wheller

**Agreed Items** (yet to be scoped and/or scheduled)

All items that have been agreed for coverage by the Committee have been scheduled in the Forward Plan accordingly.

<b>Date of Meeting</b>		<b>Item</b>	<b>Purpose / Key Lines of Enquiry (KLOE)</b>	<b>Lead Member/Officer</b>
<b>20 September 2016</b> (10.00am)	1	<b><u>Statement of Accounts 2015/16</u></b>	To consider the Statement of Accounts for 2015/16 that has been reviewed by the Authority's external auditor, KPMG.	<b>Jim McManus</b> Chief Accountant
	2	<b><u>Budget Monitoring Quarterly Report</u></b>	To consider and comment upon the budget monitoring information including actions taken to address any overspend.	<b>Jim McManus</b> Chief Accountant
	3	<b><u>Treasury Management Update</u></b>	To consider the update on treasury management.	<b>Nick Buckland</b> Chief Treasury and Pension Manager
	4	<b><u>Performance Monitoring Report</u></b>	To consider and comment upon the performance monitoring report for the quarter and agree any future actions with regard to the performance issues raised.	<b>John Alexander</b> Policy and Performance Manager
	5	<b><u>Business Continuity</u></b>	To receive a report on the outcomes of a Business Continuity planning exercise for ICT and identify any lessons learned.	<b>Richard Pascoe</b> Head of ICT and Customer Services
	6	<b><u>ISA 260 Report</u></b>	To consider the External Auditor's report to "Those charged with Governance".	<b>John Oldroyd</b> KPMG
	7	<b><u>Corporate Compliments and Complaints Annual Report 1 April 2015 to 31 March 2016</u></b>	To consider the Annual Report.	<b>Julie Taylor</b> Senior Assurance Manager (Complaints)
	8	<b><u>Council Tax Single Person's Discount</u></b>	To receive an update on the work plan for the next review of Council Tax Single Person's Discount.	<b>Jim McManus</b> Chief Accountant
	9	<b><u>Internal Audit Quarterly Report</u></b>	To receive a report on SWAP's independent work and assess the Council's risk, governance and control framework.	<b>Rupert Bamberger</b> Assistant Director South West Audit Partnership (SWAP)

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	10	<b><u>Governance and Oversight Lessons in Failing Authorities</u></b>		<b>Patrick Myers</b> Head of Corporate Development
	11	<b><u>Constitutional Changes</u></b> (if required)	To consider any changes to the Constitution which have arisen that will need to be considered by the County Council.	<b>Lee Gallagher</b> Democratic Services Manager
<b>January 2017</b> (10.00am) <i>Date to be advised</i>	1	<b><u>Budget Monitoring Quarterly Report</u></b>	To consider and comment upon the budget monitoring information including actions taken to address any overspend	<b>Jim McManus</b> Chief Accountant
	2	<b><u>Internal Audit Quarterly Report</u></b>	To receive a report on SWAP's independent work and assess the Council's risk, governance and control framework.	<b>Rupert Bamberger</b> Assistant Director South West Audit Partnership (SWAP)
	3	<b><u>Treasury Management Update</u></b>	To consider the update on treasury management.	<b>Nick Buckland</b> Chief Treasury and Pension Manager
	4	<b><u>Performance Monitoring Report</u></b>	To consider and comment upon the performance monitoring report for the quarter and agree any future actions with regard to the performance issues raised.	<b>John Alexander</b> Policy and Performance Manager
	5	<b><u>Constitutional Changes</u></b> (if required)	To consider any changes to the Constitution which have arisen that will need to be considered by the County Council.	<b>Lee Gallagher</b> Democratic Services Manager
<b>March 2017</b> (10.00am) Date to be advised	1	<b><u>Budget Monitoring Quarterly Report</u></b>	To consider and comment upon the budget monitoring information including actions taken to address any overspend.	<b>Jim McManus</b> Chief Accountant

<b>Date of Meeting</b>		<b>Item</b>	<b>Purpose / Key Lines of Enquiry (KLOE)</b>	<b>Lead Member/Officer</b>
	2	<b><u>Internal Audit Quarterly Report</u></b>	To receive a report on SWAP's independent work and assess the Council's risk, governance and control framework.	<b>Rupert Bamberger</b> Assistant Director South West Audit Partnership (SWAP)
	3	<b><u>Performance Monitoring Report</u></b>	To consider and comment upon the performance monitoring report for the quarter and agree any future actions with regard to the performance issues raised.	<b>John Alexander</b> Policy and Performance Manager
	4	<b><u>Constitutional Changes</u></b> (if required)	To consider any changes to the Constitution which have arisen that will need to be considered by the County Council.	<b>Lee Gallagher</b> Democratic Services Manager
<b>June 2017</b> (10.00am)  <i>Date to be advised</i>	1	<b><u>Annual Internal Audit Report 2016/17</u></b>	To receive the annual report of internal audit activity and to provide an independent opinion on the Council's governance, risk and control framework for 2015/16.	<b>Rupert Bamberger</b> Assistant Director South West Audit Partnership (SWAP)
	2	<b><u>Internal Audit Plan 2017/18</u></b>	To consider the Internal Audit Plan for 2016/17.	<b>Rupert Bamberger</b> Assistant Director South West Audit Partnership (SWAP)
	3	<b><u>External Audit Plan 2016/17</u></b>	To consider the External Audit Plan for 2015/16.	<b>John Oldroyd</b> KPMG
	4	<b><u>Draft Annual Governance Statement 2016/17</u></b>	To consider the Annual Governance Statement which sets out key features of the governance framework in place in the Authority and provides a review of its effectiveness.	<b>Mark Taylor</b> Group Manager (Governance and Assurance)
	5	<b><u>Draft 2016/17 Budget Outturn and Financial Management Report</u></b>	To provide an update on the budget for 2016/17 and the Council's overall budget position.	<b>Jim McManus</b> Chief Accountant

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	6	<b><u>Performance Monitoring Report</u></b>	To consider and comment upon the performance monitoring report for the quarter and agree any future actions with regard to the performance issues raised.	<b>John Alexander</b> Policy and Performance Manager
	7	<b><u>Treasury Management Update</u></b>	To consider the update on treasury management.	<b>Nick Buckland</b> Chief Treasury and Pension Manager
	8	<b><u>Constitutional Changes</u></b> (if required)	To consider any changes to the Constitution which have arisen that will need to be considered by the County Council.	<b>Lee Gallagher</b> Democratic Services Manager
<b>Other draft items / issues identified for potential review</b>				

**Debbie Ward**  
Chief Executive  
June 2016