

# 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>13 March 2017</b> (10.00am)	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 Plan 2017/18</u></b>	To consider the Internal Audit Plan for 2017/18.	<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>Annual Audit Letter</u></b>	This report summarises the key findings from the audit of Dorset County Council	<b>John Oldroyd</b> Senior Manager, Audit KPMG
	5	<b><u>External Audit Plan 2017/18</u></b>	To consider the External Audit Plan for 2017/18.	<b>John Oldroyd</b> Senior Manager, Audit KPMG
	6	<b><u>Draft Annual Governance Statement and 2016/17 Local Code of Corporate Governance</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)
	7	<b><u>External Funding Monitoring Report</u></b>	An annual report that provides measures of bidding performance and highlights areas of interest in relation to external funding.	<b>Laura Cornette</b> Corporate Policy and Performance Officer
	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

Date of Meeting		Item	Purpose / Key Lines of Enquiry (KLOE)	Lead Member/Officer
<b>24 July 2017</b> (10.00am)  <i>Please note this is a revised date.</i>	1	<u><b>Annual Internal Audit Report 2016/17</b></u>	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 2016/17.	<b>Rupert Bamberger</b> Assistant Director South West Audit Partnership (SWAP)
	2	<u><b>Statement of Accounts</b></u> (including 2016/17 Budget Outturn and Financial Management Report)	To consider the Statement of Accounts for 2016/17 that has been reviewed by the Authority's external auditor, KPMG	<b>Jim McManus</b> Chief Accountant
	3	<u><b>Annual Governance Statement 2016/17</b></u>	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> <b>Group Manager</b> <b>(Governance and Assurance)</b>
	4	<u><b>Debt Recovery Performance 2016/17</b></u>	To review the debt recovery performance of the County Council, and review the status of the authorities debt collection systems and procedures.	<b>Sarah Baker</b> Group Finance Manager
	5	<u><b>Performance Monitoring Report</b></u>	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
	6	<u><b>Constitutional Changes</b></u> (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>20 September 2017</b> (10.00am)	1	<u><b>Budget Monitoring Quarterly Report</b></u>	To consider and comment upon the budget monitoring information including actions taken to address any overspend.	<b>Jim McManus</b> Chief Accountant

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	2	<b><u>Treasury Management and Prudential Code Review</u></b>	To consider an update on the economic background and performance against the annual investment strategy and compliance with the Prudential Code.	<b>David Wilkes</b> Finance Manager (Treasury and Investments)
	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>External Audit Report 2016/17</u></b> (ISA 260 Report)	To consider the External Auditor's report to "Those charged with Governance".	<b>John Oldroyd</b> Senior Manager, Audit KPMG
	5	<b><u>Corporate Compliments and Complaints Annual Report</u></b>	To consider the Corporate Compliments and Complaints Annual Report 1 April 2016 to 31 March 2017.	<b>Julie Taylor</b> Senior Assurance Manager (Complaints)
	6	<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)
	7	<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 2018</b> <i>(date to be advised)</i>	1	<b><u>Budget Monitoring Quarterly</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	<b>Rupert Bamberger</b> Assistant Director South West Audit Partnership

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			framework.	
	3	<b><u>Treasury Management Year to Date Update 2017/18</u></b>	To consider the update on treasury management.	<b>Tom Wilkinson</b> Group Finance 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>External Funding Monitoring Report</u></b>	An annual report that provides measures of bidding performance and highlights areas of interest in relation to external funding.	<b>Laura Cornette</b> Corporate Policy & Performance Officer
	6	<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  
January 2017