

# Audit and Governance Committee Work Programme

# Forward Plan

Chairman: Cllr David Harris  
Vice Chairman: Cllr Clare Sutton

**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>12 March 2018</b> (10.00am)	1	<b><u>Financial Management 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</u></b>	To consider the Internal Audit Plan for the forthcoming year.	<b>Rupert Bamberger</b> Assistant Director South West Audit Partnership (SWAP)
	3	<b><u>Corporate Plan: Outcomes Focussed Monitoring Report</u></b>	To consider and comment upon the monitoring report for the quarter and agree any future actions with regard to the 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 external audit of Dorset County Council.	<b>Darren Gilbert</b> Director, KPMG
	5	<b><u>Draft Annual Governance Statement and 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 Eyre</b> Senior Assurance Manager (Governance and Assurance)
	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>Date of Meeting</b>		<b>Item</b>	<b>Purpose / Key Lines of Enquiry (KLOE)</b>	<b>Lead Member/Officer</b>
<b>29 June 2018</b> (10.00am)	1	<b><u>Financial Management Report</u></b> (including Statement of Accounts)	To consider the Financial Management Report and Statement of Accounts for 2017/18 that has been reviewed by the Authority's external auditor, KPMG	<b>Jim McManus</b> Chief Accountant
	2	<b><u>Annual Internal Audit Report</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 2017/18.	<b>Rupert Bamberger</b> Assistant Director South West Audit Partnership (SWAP)
	3	<b><u>External Audit Report 2017/18</u></b> (ISA 260 Report)	To consider the External Auditor's report to "Those charged with Governance".	<b>Darren Gilbert</b> Director, KPMG
<b>25 July 2018</b> (10.00am)	1	<b><u>Corporate Plan: Outcomes Focussed Monitoring Report</u></b>	To consider and comment upon the monitoring report for the quarter and agree any future actions with regard to the issues raised.	<b>John Alexander</b> Policy and Performance Manager
	2	<b><u>Corporate Compliments and Complaints Annual Report</u></b>	To consider the Corporate Compliments and Complaints Annual Report 1 April 2017 to 31 March 2018.	<b>Julie Taylor</b> Senior Assurance Manager (Complaints)
	3	<b><u>External Funding Monitoring Report</u></b>	To consider measures of bidding performance and areas of interest in relation to external funding.	<b>Laura Cornette</b> Corporate Policy and Performance Officer
	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>25 October 2018</b> (10.00am)	1	<b><u>Financial Management 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>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)

<b>Date of Meeting</b>		<b>Item</b>	<b>Purpose / Key Lines of Enquiry (KLOE)</b>	<b>Lead Member/Officer</b>
	3	<b><u>Report of Internal Audit Activity – Plan Progress 2018/19</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)
	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>January 2019</b> (date to be advised)	1	<b><u>Financial Management 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>External Audit Plan</u></b>	To consider the External Audit Plan for the forthcoming year.	<b>Darren Gilbert</b> Director, KPMG
	3	<b><u>Report of Internal Audit Activity – Plan Progress 2018/19</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)
	4	<b><u>Treasury Management Year to Date Update</u></b>	To consider the update on treasury management 2017-18.	<b>David Wilkes</b> Finance Manager (Treasury and Investments)
	5	<b><u>Corporate Plan: Outcomes Focussed Monitoring Report</u></b>	To consider and comment upon the monitoring report for the quarter and agree any future actions with regard to the issues raised.	<b>John Alexander</b> Policy and Performance Manager
	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 2018