

Audit & Governance Committee

Date: Tuesday, 24 March 2020
Time: 10.00 am
Venue: South Walks House

Chief Executive: Matt Prosser, South Walks House, South Walks Road,
Dorchester, Dorset DT1 1UZ (Sat Nav DT1 1EE)

**For more information about this agenda please telephone Fiona King on 01305 224186 -
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The Chairman and the Monitoring Officer to lead the discussion.

Please ask for:

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Audit and Governance Committee Forward Plan

Date of Meeting	Item	Purpose / Key lines of Enquiry	Lead councillor / officer
Reserve - 23 April 2020			
10 July 2020			
	Dorset Council Statement of Accounts including Annual Governance Statement	To receive the Statement of Accounts & External Audit report for Dorset Council	Portfolio Holder – Finance, Commercial & Assets Officer contact – Executive Director – Corporate Development & S151
	Internal Audit Annual Report	To receive the report and note the assurance opinions on the council's risk management, governance and internal control environment for 2019/20	Portfolio Holder – Leader of the Council Officer contact – Corporate Director – Legal & Democratic Services & Monitoring Officer and Executive Director – Corporate Development & S151
	Internal Audit 2020/21 Plan Progress Report	To receive the report and note the internal audit progress for 2020/21	Portfolio Holder – Leader of the Council Officer contact – Corporate Director – Legal & Democratic Services & Monitoring Officer and Executive Director – Corporate Development & S151
	Constitutional Changes (if required)	To report to the committee on any changes made to the Constitution under powers delegated to the Monitoring Officer, to seek the views of the committee on any proposed changes requiring full Council approval and to receive an update on the 12 month review of the Constitution. Review of Financial Regulations.	Portfolio Holder - Leader of the Council Lead Officer - Corporate Director -Legal & Democratic Service Monitoring Officer

10 August 2020			
	Review of People Strategy	To undertake a review of the governance arrangements for the Dorset Council People Strategy	Portfolio Holder – Corporate Development & Change Officer contact – Corporate Director (HR & OD)
	Dorset Council Plan – Quarterly Report Q1	To review and monitor the Quarterly Report	Portfolio Holder – Corporate Development & Change Officer contact – Head of Business Intelligence and Corporate Communications
28 September 2020			
	Financial Report Quarter 1 2020/21	To review and scrutinise the Quarter 1 finance report as presented to Cabinet	Portfolio Holder – Finance, Commercial & Assets Officer contact - Executive Director – Corporate Development & S151
	Treasury Management Annual Report	To receive a Treasury Management update	Portfolio Holder – Finance, Commercial & Assets Officer contact - Executive Director – Corporate Development & S151
	Internal Audit 2020/21 Plan Progress Report	To receive the report and note the internal audit progress for 2020/21	Portfolio Holder – Leader of the Council Officer contact – Corporate Director – Legal & Democratic Services & Monitoring Officer and Executive Director – Corporate Dev & S151
	Internal Audit Plan 2020/21 – updated for second half of the year	To receive the Internal Audit Plan updated for the second half of 2020/21	Portfolio Holder – Leader of the Council Officer contact – Corporate Director – Legal & Democratic Services & Monitoring Officer and Executive Director – Corporate Development & S151

	Risk Management Update	To review and challenge the council's corporate risk register	Portfolio Holder – Leader of the Council
		including the effectiveness of the controls identified to bring down the level of risk to an acceptable level	Officer contact – Service Manager for Assurance
	Constitutional Changes (if required)	To report to the committee on any changes made to the Constitution under powers delegated to the Monitoring Officer, to seek the views of the committee on any proposed changes requiring full Council approval and to receive an update on the 12 month review of the Constitution.	Portfolio Holder - Leader of the Council Lead Officer - Corporate Director -Legal & Democratic Services Monitoring Officer
16 November 2020			
	Dorset Council Plan – Quarterly Report Q2	To review and monitor the Quarterly Report	Portfolio Holder – Corporate Development & Change Officer contact – Head of Business Intelligence and Corporate Communications
18 January 2021			
	Financial Report Quarter 2 2020/21	To review and scrutinise the Quarter 2 finance report as presented to Cabinet	Portfolio Holder – Finance, Commercial & Assets Officer contact - Executive Director – Corporate Development & S151
	Internal Audit 2020/21 Plan Progress Report	To receive the report and note the internal audit progress for 2020/21	Portfolio Holder – Leader of the Council Officer contact – Corporate Director – Legal & Democratic Services & Monitoring Officer and Executive Director – Corporate Development & S151

	Risk Management Update	To review and challenge the council's corporate risk register including the effectiveness of the controls identified to bring down the level of risk to an acceptable level	Portfolio Holder – Leader of the Council Officer contact – Service Manager for Assurance
	Constitutional Changes (if required)	To report to the committee on any changes made to the Constitution under powers delegated to the Monitoring Officer, to seek the views of the committee on any proposed changes requiring full Council approval and to receive an update on the 12 month review of the Constitution.	Portfolio Holder - Leader of the Council Lead Officer - Corporate Director -Legal & Democratic Services Monitoring Officer
22 February 2021			
	Financial Report Quarter 3 2020/21 (Theresa Leavy & Vivienne Broadhurst to attend)	To review and scrutinise the Quarter 3 finance report as presented to Cabinet	Portfolio Holder – Finance, Commercial & Assets Officer contact - Executive Director – Corporate Development & S151
	Internal Audit 2020/21 Plan Progress Report	To enable the committee to consider progress against the Internal Audit Plan for the second year half. This will include reporting of and a focus upon the highest priority actions identified through the Plan	Portfolio Holder – Leader of the Council Officer contact – Corporate Director – Legal & Democratic Services & Monitoring Officer and Executive Director – Corporate Development & S151
	Internal Audit Plan 2021/22 & Internal Audit Charter	To approve the proposed internal audit plan for 2021/22. The plan brought to the committee for approval will have been discussed with both the Leader and SLT	Portfolio Holder – Leader of the Council Officer contact - Corporate Director – Legal & Democratic Services & Monitoring Officer
	Risk Management Update	To review and challenge the council's corporate risk register including the effectiveness of the controls identified to bring down the	Portfolio Holder – Leader of the Council Officer contact – Service Manager for Assurance

		level of risk to an acceptable level	
	Annual Audit Update (External Audit)	To receive an update from the council's External Auditor	External Audit
	Annual Governance Statement	To review and challenge the content of the statutory Annual Governance Statement ahead of its signing by the Leader of Council and Chief Executive	Portfolio Holder – Leader of the Council Officer contact - Corporate Director – Legal & Democratic Services & Monitoring Officer
	Constitutional Changes (if required)	To report to the committee on any changes made to the Constitution under powers delegated to the Monitoring Officer, to seek the views of the committee on any proposed changes requiring full Council approval and to receive an update on the 12 month review of the Constitution.	Portfolio Holder - Leader of the Council Lead Officer - Corporate Director -Legal & Democratic Service Monitoring Officer
	Dorset Council Plan – Quarterly Report Q3	To review and monitor the Quarterly Report	Portfolio Holder – Corporate Development & Change Officer contact – Head of Business Intelligence and Corporate Communications
19 April 2021			
	Dorset Council Plan – Quarterly Report Q4	To review and monitor the Quarterly Report	Portfolio Holder – Corporate Development & Change Officer contact – Head of Business Intelligence and Corporate Communications

Other items raised by Audit and Governance Committee requiring further consideration

Issue	Notes	Date raised
Workforce stress / mental health issues	The committee have raised this as a potential area of work but note that it is linked to current transformation work	At committee on 7 November 2019
How Dorset Council holds and shares information	It is understood that some work is being undertaken in this area. A councillor workshop on the Dorset	At committee on 7 November 2019

	Council transformation programmes is being held on 10 January 2020. The suggestion is that councillors attend this session and following this, the committee give further consideration to whether any further work is required in this area	
Peer Challenge Report	Chairman requested – Bridget Downton to advise when final report completed.	

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