

## Audit and Governance Committee Forward Plan

Date of Meeting	Item	Purpose / Key lines of Enquiry	Lead councillor / officer
<b>10 August 2020</b>			
	Value for money – policies and Procedures	Request from Minute 72 – 20 May 2020	Portfolio Holder – Finance, Commercial & Assets
<b>28 September 2020</b>			
	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
	Internal Audit Annual Report	To receive the internal Audit Annual Report	Portfolio Holder – Leader of the Council

	Fraud and Whistlowing Annual Report		Portfolio Holder – Leader of the Council Officer contact – Service Manager for Assurance
	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
	Dorset Council’s Performance Framework	To receive an updated draft following members’ comments on 10 July 2020.	Portfolio Holder – Deputy Leader of the Council Officer contact – Head of Business Insight and Corporate Communications
	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
<b>16 November 2020</b>			
	Dorset Council Statement of Accounts	To receive the Statement of Accounts & External Audit report for Dorset Council	Portfolio Holder – Finance, Commercial & Assets

	Annual Audit Letters	To consider the Deloitte external auditor annual audit letters in relation to the 2019-20 accounts for the legacy sovereign authorities of Dorset Council.	
<b>18 January 2021</b>			
	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
<b>22 February 2021</b>			

<p>Financial Report Quarter 3 2020/21 (Theresa Leavy &amp; Vivienne Broadhurst to attend)</p>	<p>To review and scrutinise the Quarter 3 finance report as presented to Cabinet</p>	<p>Portfolio Holder – Finance, Commercial &amp; Assets</p> <p>Officer contact - Executive Director – Corporate Development &amp; S151</p>
<p>Internal Audit 2020/21 Plan Progress Report</p>	<p>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</p>	<p>Portfolio Holder – Leader of the Council</p> <p>Officer contact – Corporate Director – Legal &amp; Democratic Services &amp; Monitoring Officer and Executive Director – Corporate Development &amp; S151</p>
<p>Internal Audit Plan 2021/22 &amp; Internal Audit Charter</p>	<p>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</p>	<p>Portfolio Holder – Leader of the Council</p> <p>Officer contact - Corporate Director – Legal &amp; Democratic Services &amp; Monitoring Officer</p>
<p>Risk Management Update</p>	<p>To review and challenge the council’s corporate risk register including the effectiveness of the controls identified to bring down the</p>	<p>Portfolio Holder – Leader of the Council</p> <p>Officer contact – Service Manager for Assurance</p>

		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
<b>19 April 2021</b>			
	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**

<b>Issue</b>	<b>Notes</b>	<b>Date raised</b>
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

	<p>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</p>	
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