

Annex 1

Audit & Governance Committee Draft Forward Plan to July 2018

Training/briefing events will be held at appropriate points in the year to support members in their role on the Committee.

Item	Lead officers	Other contributing organisations	Scope
Committee Wednesday 6th December 2017			
Treasury Management mid year review report 2017/18 and review of prudential indicators	<u>CYC</u> Debbie Mitchell		To provide an update on treasury management activity for the first six months of 2017/18
Review of Contract Procedure Rules	<u>CYC</u> Debbie Mitchell		To present an update of the Contract Procedure Rules for review before recommending approval to Full Council
Procurement Follow up report	<u>CYC</u> Debbie Mitchell		To update members on progress in implementing recommendations from the LGA Procurement report
Mazars Annual Audit Letter	<u>Mazars</u> – Gareth Davies/ Jon Leece		To present a report summarising the outcome of the 2016/17 audit and work on the value for money conclusion.
Internal Audit & Fraud Progress Report	<u>Veritau</u> – Max Thomas/ Richard Smith		An update on progress made in delivering the internal audit work plan for 2017/18 and on current counter fraud activity
Information Governance & Freedom of Information Report (including information security)	<u>CYC</u> Lorraine Lunt		This report provides Members with an update on the following issues: <ul style="list-style-type: none"> • information governance performance • the new General Data Protection Regulation (GDPR) • the Information Commissioners Office (ICO) data protection audit and recommendations

			<ul style="list-style-type: none"> • compliance with the Local Government Transparency Code 2015 (LGTC 2015) • the Health and Social Care Information Centre (HSCIC) Information Governance Toolkit (IG Toolkit) update • information security checks
Key Corporate Risks Monitor (including project risks)	<u>CYC</u> Sarah Kirby/ Dave Atkinson		Update on Key Corporate Risks (KCRs) and major projects
Committee Wednesday 7th Feb 2018			
Mazars Audit Progress Report	<u>Mazars</u> – Gareth Davies/ Jon Leece		Update report from external auditors detailing progress in delivering their responsibilities as the Council's external auditors
Scrutiny of the Treasury Management strategy statement and Prudential indicators	<u>CYC</u> Debbie Mitchell		<p>To present to members the:</p> <ul style="list-style-type: none"> • Integrated treasury management strategy statement including the annual investment strategy and the minimum revenue provision policy statement; • Prudential indicators • Revised treasury management policy statement • Specified and non-specified investments schedule • Treasury management scheme of delegation and role of the section 151 officer
Counter Fraud: Risk Assessment and review of policies	<u>Veritau</u> – Max Thomas/ Richard Smith		To inform members about potential fraud risks that the council is exposed to, and proposed activity to address those risks. The report will also include a review of the counter fraud strategy and details of any updates required to counter fraud policies.
Audit & Counter Fraud Plan & Consultation	<u>Veritau</u> – Max Thomas/ Richard Smith		To seek members views on the priorities for internal audit in 2018/19 and identify any specific areas which should be a priority for review in 2018/19.
Health & Safety follow up report	<u>CYC</u> Pauline Stuchfield/		
Committee Wednesday 11th April 2018			
Approval of Internal Audit Plan	<u>Veritau</u> – Max Thomas/		To seek the committees approval for the planned programme of internal audit, and counter fraud to be undertaken in 2018/19.

	Richard Smith		
Internal Audit & Fraud Plan Progress Report	<u>Veritau</u> – Max Thomas/ Richard Smith		An update on progress made in delivering the internal audit work plan for 2017/18 and on current counter fraud activity
Internal Audit Follow up of Audit Recommendations Report	<u>Veritau</u> – Max Thomas/ Richard Smith		This is the regular six monthly report to the committee setting out progress made by council departments in implementing actions agreed as part of internal audit work
Mazars Audit Progress Report	<u>Mazars</u> – Gareth Davies/ Jon Leece		Update report from external auditors detailing progress in delivering their responsibilities as the Council's external auditors
Mazars Audit Strategy Report	<u>Mazars</u> – Gareth Davies/ Jon Leece		Report from the Councils external auditors setting out their audit plan in respect of the Councils Audit for the year ending 2018.
Key Corporate Risk Monitor (including project risks)	<u>CYC</u> Sarah Kirby/ Dave Atkinson		Update on Key Corporate Risks (KCRs) and major projects
Committee June 2018			
Mazars Audit Progress Report	<u>Mazars</u> – Gareth Davies/ Jon Leece		Update report from external auditors detailing progress in delivering their responsibilities as the Council's external auditors
Key Corporate Risk Monitor (including project risks)	<u>CYC</u> Sarah Kirby/ Dave Atkinson		Update on Key Corporate Risks (KCRs) and major projects
Treasury Management Outturn Report	<u>CYC</u> Debbie Mitchell		To provide Members with an update on the Treasury Management Outturn position for 2017/18.
Annual Report of the Head of Internal Audit	<u>Veritau</u> – Max Thomas/ Richard Smith		This report will summarise the outcome of audit and counter fraud work undertaken in 2017/18 and provide an opinion on the overall adequacy and effectiveness of the council's framework of governance, risk management and internal control
Draft Annual Governance Statement	<u>CYC</u> Emma Audrain		To present the draft Annual Governance Statement (AGS) for approval
Annual Report of the Audit & Governance Committee	<u>CYC</u> Emma Audrain		To seeks Members' views on the draft annual report of the Audit and Governance Committee for the year ended 5th April 2018, prior to its submission to Full Council.

Committee July 2018

Draft Statement of Accounts	<u>CYC</u> Debbie Mitchell/ Emma Audrain		To present the draft Statement of Accounts to the Committee prior to the 2017/18 Audit.
Key Corporate Risks Monitor (including project risks)	<u>CYC</u> Sarah Kirby/ Dave Atkinson		Update on Key Corporate Risks (KCRs) and major projects
Information Governance & Freedom of Information Report (including information security)	<u>CYC</u> Lorraine Lunt		To provide Members with an update on current information governance issues.