

Audit & Governance Committee Draft Forward Plan to July 2020

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 December 2019			
Key Corporate Risks Monitor 3	<u>CYC</u> Sarah Kirby		Update on Key Corporate Risks (KCRs) including: KCR 8 - LOCAL PLAN: Failure to develop a Local Plan could result in York losing its power to make planning decisions and potential loss of funding
Mazars Audit Progress Report	<u>Mazars</u> – Mark Dalton/ Mark Kirkham		To present a report summarising the outcome of the 2018/19 audit and work on the value for money conclusion.
Treasury Management Mid year review 19/20 and review of prudential indicators	<u>CYC</u> Debbie Mitchell		To provide an update on treasury management activity for the first six months of 2019/20
Internal Audit & Fraud progress report	<u>Veritau</u> – <u>Max Thomas/</u> <u>Richard Smith</u>		An update on progress made in delivering the internal audit work plan for 2019/20 and on current counter fraud activity
Review of the effectiveness of the Audit & Governance Committee	<u>Veritau</u> – Max Thomas/ Richard Smith		Review of the effectiveness of committee - committee to determine approach.
Updated Whistleblowing policy	<u>Veritau</u> – Max Thomas/ Richard Smith		An update on the Whistleblowing policy

Review of the implementation of the social media policy	<u>CYC</u> Pauline Stuchfield and Claire Foal		Review of the implementation of the social media policy
Information Governance & Complaints	<u>CYC</u> Lorraine Lunt		To provide Members with an update on current information governance issues.
Settlement Agreements and Non-Disclosure Clause	<u>CYC</u> Trudy Forster		To provide Members with an update on the agreed reporting process and business case to Staffing Matters & Urgency Committee.
Committee February 2020			
Scrutiny of the Treasury Management strategy statement and Prudential indicators	<u>CYC</u> Debbie Mitchell		To provide an update on treasury management activity for the first six months of 2018/19
Mazars Audit Progress Report	<u>Mazars</u> – Mark Dalton/ Mark Kirkham		To present a report summarising the outcome of the 2017/18 audit and work on the value for money conclusion.
Counter Fraud: Risk Assessment & Review of policies	<u>Veritau</u> – Max Thomas/ Richard Smith		An update to the committee on counter fraud arrangements and action taken as part of the counter fraud strategy. To include a review of the fraud risk assessment and any updates to the counter fraud strategy and policy.
Audit & Counter Fraud Plan & Consultation	<u>Veritau</u> – Max Thomas/ Richard Smith		Consultation with the committee on its priorities for internal audit and counter fraud work for 2019/20.
Information Governance & Complaints	<u>CYC</u> Lorraine Lunt		To provide Members with an update on current information governance issues.
Committee April 2020			
Key Corporate Risks Monitor 4	<u>CYC</u> Sarah Kirby		Update on Key Corporate Risks (KCRs) including: KCR 9 - COMMUNITIES: Failure to ensure we have resilient, cohesive, communities who are empowered and able to shape and deliver services

Annex A

Mazars Audit Progress Report	<u>Mazars</u> – Mark Kirkham, Mark Dalton		To present a report summarising the outcome of the 2018/19 audit and work on the value for money conclusion.
Internal Audit Follow up of Audit Recommendations Report	<u>Veritau</u> – <u>Max Thomas/</u> <u>Richard Smith</u>		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
Internal Audit & Fraud Plan Progress Report	<u>Veritau</u> – <u>Max Thomas/</u> <u>Richard Smith</u>		An update on progress made in delivering the internal audit work plan for 2018/19 and on current counter fraud activity
Approval of Internal Audit Plan	<u>Veritau</u> – <u>Max Thomas/</u> <u>Richard Smith</u>		
Information Governance & Complaints	<u>CYC</u> Lorraine Lunt		To provide Members with an update on current information governance issues.
Committee June 2020			
Draft Statement of Accounts incl. Annual Governance Statement	<u>CYC</u> Emma Audrain/ Debbie Mitchell		To present the draft Statement of Accounts to the Committee prior to the 2018/19 Audit including the Annual Governance Statement
Annual Report of the Audit & Governance Committee	<u>CYC</u> Emma Audrain/ Debbie Mitchell		To seek Members' views on the draft annual report of the Audit and Governance Committee for the year ended March 2020, prior to its submission to Full Council.
Treasury Management Outturn Report	<u>CYC</u> Emma Audrain/ Debbie Mitchell		To provide Members with an update on the Treasury Management Outturn position for 2018/19.
Key Corporate Risks Monitor 1	<u>CYC</u> Sarah Kirby		Update on Key Corporate Risks (KCRs) including: KCR 10
Mazars Audit Progress Report	<u>Mazars</u> – Mark Kirkham, Mark Dalton		Update report from external auditors detailing progress in delivering their responsibilities as the Council's external auditors
Annual Report of the Head	<u>Veritau</u> –		This report will summarise the outcome of audit and counter fraud

of Internal Audit	<u>Max Thomas/</u> <u>Richard Smith</u>		work undertaken in 2018/19 and provide an opinion on the overall adequacy and effectiveness of the council's framework of governance, risk management and internal control
Committee July 2020			
Mazars Audit Completion Report	<u>Mazars</u> – Mark Kirkham		Report from the Councils external auditors setting out the findings of the 2019/20 Audit.
Final Statement of Accounts	<u>CYC</u> Emma Audrain/ Debbie Mitchell		To present the final audited Statement of Accounts following the 2019/20 Audit.
Information Governance & Complaints	<u>CYC</u> Lorraine Lunt		To provide Members with an update on current information governance issues.
Other Items to be brought to the Committee - date			