

Audit & Governance Committee – draft work plan

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

Theme	Item	Lead officers	Scope
30th Nov 2020			
Governance	Information Governance & Complaints	<u>CYC</u> Lorraine Lunt	To provide Members with an update on current information governance issues, annual complaint report and proposals for corporate complaint and feedback toolkit including policy and procedures
Risk	York Central Risk Register	<u>CYC</u>	To review the Council's risks in respect of the York Central project
Jan 2021			
Governance	Review of the Constitution	<u>CYC</u> Janie Berry	Janie to confirm
Risk	Key Corporate Risks monitor 2	<u>CYC</u> Sarah Kirby	Update on Key Corporate Risks (KCRs) including: KCR 10 – Workforce/ Capacity
External Audit	Mazars Audit Progress (if required)	<u>Mazars</u> Mark Kirkham	Update report from external auditors detailing progress in delivering their responsibilities as the Council's external auditors
Finance	Treasury Management Mid-year review 2020/21 and review of prudential indicators	<u>CYC</u> Debbie Mitchell	To provide an update on treasury management activity for the first six months of 2020/21
Feb 2021			
Finance	Scrutiny of the Treasury Management strategy statement and Prudential indicators	<u>CYC</u> Debbie Mitchell	To scrutinize the Strategy for the following year
External Audit	Mazars Audit Progress (if required)	<u>Mazars</u> Mark Kirkham	Update report from external auditors detailing progress in delivering their responsibilities as the Council's external auditors

Internal Audit	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.
Internal Audit	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 2021/22.
Governance	Information governance, complaints and feedback report including issues	<u>CYC</u> Lorraine Lunt	To provide Members with an update on current information governance issues.
Internal Audit	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 2020/21 and on current counter fraud activity. Including reporting on progress made by council departments in implementing actions agreed as part of internal audit work
April 2021			
Governance	Information governance, complaints and feedback report including issues	<u>CYC</u> Lorraine Lunt	To provide Members with an update on current information governance issues.
Risk	Key Corporate Risks Monitor 3	<u>CYC</u> Sarah Kirby	Update on Key Corporate Risks (KCRs) including: KCR 11 - External Market Conditions
June 2021			
Finance	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 2020/21 Audit including the Annual Governance Statement
Governance	Annual Report of the Audit & Governance Committee	<u>CYC</u> Janie Berry	To seek Members' views on the draft annual report of the Audit and Governance Committee for the year ended March 2021, prior to its submission to Full Council.
Finance	Treasury Management Outturn Report	<u>CYC</u> Emma Audrain/ Debbie Mitchell	To provide Members with an update on the Treasury Management Outturn position for 2020/21.
Risk	Key Corporate Risks Monitor 1	<u>CYC</u> Sarah Kirby	Update on Key Corporate Risks (KCRs) including: KCR 12 – Major Incidents

External Audit	Mazars Audit Progress Report (if required)	<u>Mazars</u> Mark Kirkham, Mark Dalton	Update report from external auditors detailing progress in delivering their responsibilities as the Council's external auditors
Internal Audit	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 2020/21 and provide an opinion on the overall adequacy and effectiveness of the council's framework of governance, risk management and internal control
July 2021			
External Audit	Mazars Audit Completion Report	<u>Mazars</u> Mark Kirkham	Report from the Councils external auditors setting out the findings of the 2020/21 Audit.
Finance	Final Statement of Accounts	<u>CYC</u> Emma Audrain/ Debbie Mitchell	To present the final audited Statement of Accounts following the 2020/21 Audit.
Governance	Information governance, complaints and feedback report including issues	<u>CYC</u> Lorraine Lunt	To provide Members with an update on current information governance issues.
Sept 2021			
External Audit	Mazars Annual Audit Letter	<u>Mazars</u> Mark Kirkham	Report from the Councils external auditors setting out the findings of the 2020/21 Audit.
Risk	Key Corporate Risks monitor 2	<u>CYC</u> Sarah Kirby	Update on Key Corporate Risks (KCRs) including:
Internal Audit	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 2020/21 and on current counter fraud activity. Including reporting on progress made by council departments in implementing actions agreed as part of internal audit work
Governance	Information governance, complaints and feedback report including issues	<u>CYC</u> Lorraine Lunt	To provide Members with an update on current information governance issues.
Dec 2021			
Risk	Key Corporate Risks monitor 3	<u>CYC</u> Sarah Kirby	Update on Key Corporate Risks (KCRs)
External Audit	Mazars Audit Progress (if required)	<u>Mazars</u> Mark Kirkham	Update report from external auditors detailing progress in delivering their responsibilities as the Council's external auditors

Finance	Treasury Management Mid-year review 20/21 and review of prudential indicators	<u>CYC</u> Debbie Mitchell	To provide an update on treasury management activity for the first six months of 2020/21
Governance	Information governance, complaints and feedback report including issues	<u>CYC</u> Lorraine Lunt	To provide Members with an update on current information governance issues.
Internal Audit	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 2020/21 and on current counter fraud activity. Including reporting on progress made by council departments in implementing actions agreed as part of internal audit work
April 2022			
Risk	Key Corporate Risks monitor 4	<u>CYC</u> Sarah Kirby	Update on Key Corporate Risks (KCRs)
External Audit	Mazars Audit Progress (if required)	<u>Mazars</u> Mark Kirkham	Update report from external auditors detailing progress in delivering their responsibilities as the Council's external auditors